No.: 1341/2009-RCI
Government of India
Ministry of Environment & Forests
NATIONAL RIVER CONSERVATION DIRECTORATE

Sanyavaran Bhawan, C.G.O. Complex
Lodhi Road, New Delhi-110001
Dated: 22nd February, 201

To

Shri Alok Ranjan,
Principal Secretary,
Department of Urban Development,
Government of Uttar Pradesh,
"Bapu Bhawan", Sachivalaya,
Lucknow (UP).

Sub:- Administrative Approval and Expenditure Sanction for the project of "Sewerage System and Sewage Treatment Plant (STP) works at Garhmukteshwar, Ghaziabad U.P." under National Ganga River Basin Authority (NGRBA) at an estimated cost of Rs.46.51 crore (Rupees Forty six crore and Fifty one lakh only) – Release of Grant-in-Aid of 1st installment of Rs.7,69,00,000/- (Rupees Seven crore and Sixty nine lakh only) in favour U.P. Jal Nigam, Lucknow for the financial year 2010-2011.

Sir,

I am directed to convey the sanction of the President to the grant of Administrative Approval and Expenditure Sanction for the project of "Sewerage System and Sewage Treatment Plant (STP) works at Garhmukteshwar, Ghaziabad U.P." under National Ganga River Basin Authority (NGRBA) at an estimated cost of Rs.46.51 crore (Rupees Forty six crore and Fifty one lakh only). The cost is to be shared on 70:30 basis between Govt. of India and the State Govt. of U.P. The Govt. of India’s share at 70% will be Rs.32.56 crore and the State Govt.’s share at 30% will be Rs.13.95 crore.

2. Sanction of the President is also conveyed to the release of Grant-in-Aid of 1st installment payment of Rs.7,69,00,000/- (Rupees Seven crore and Sixty nine lakh only) being the 25% of Govt. of India’s share of capital cost in favour of U.P. Jal Nigam, Lucknow for the above mentioned project proposal.

3. Break-up of the sanctioned cost is at Annexure-I.

4. Administrative Approval and Expenditure Sanction for the scheme is granted subject to the following conditions:-

(i) State Project Monitoring Group (SPMG) for NGRBA projects is required to be registered and notified.

(ii) Any cost escalation, over and above the sanctioned cost, will be the responsibility of the State Govt as committed by them. The Govt. share of the total project cost shall be limited to Rs.32.56 crore.

(iii) The period of completion of the scheme is 30 months from the date of this sanction i.e., 31.8.2013. Progress of implementation of the project shall be closely monitored by the Govt. of Uttar Pradesh so as to ensure that the project is completed within the stipulated time. Schedule for completion of scheme and all other conditions shall be strictly adhered to.
(iv) Operation & Maintenance costs will be the responsibility of the State Govt./Local Body. The cost of O&M for the first 5 years will be shared between Gol & State Government on 70:30 basis. After the 5 years O&M cost will be borne by the State Government/ULB. The continuation of Gol funding for O&M after 5 years will be dependent on a review carried out to determine satisfactory achievement of commitments made by ULB in the O&M Plan submitted. Cost overrun for O&M, if any, will also be met by the State Government/ULB.

(v) The State Govt. shall expeditiously release its share of funds corresponding to the Gol release made for the project.

(vi) The choice of technology for sewage treatment shall be left open during the tendering process but will be guided by the least life cycle cost and the output to be achieved as prescribed.

(vii) Detailed design & engineering of the sewerage system and STP based on proper survey and investigations before execution shall be ensured by the State Govt./Implementing agency to achieve economy in the proposal as well as to avoid any shortfall in the design.

(viii) The State Govt. shall ensure appointment of agency (ies) for third party inspection/evaluation of projects implemented under NGRBA in Uttar Pradesh latest by 31-3-2011. Inputs from third party monitoring will be taken into consideration in processing future release of funds.

(ix) Commitments made by the State Govt. & concerned ULB in the Tripartite MoA signed by them for the project relating to timely project execution, evaluation and monitoring at regular intervals, proper O&M and commitment to reforms shall be strictly adhered to.

(x) Progress of works to be achieved commensurate to the present release is indicated in the Annexure-II.

(xi) The Government of Uttar Pradesh shall also keep in view the following for compliance:

(a) The independent agencies while appraising the projects, have made suggestions. These need to be addressed by States during implementation.

(b) Need to establish synergy between NGRBA projects and other Central State sponsored schemes in the town to avoid any overlap/duplication.

(c) Sewage works now proposed under the project will form part of City Sanitation Plan.

(d) Service level benchmarking will be ensured by the States/ULBs to ensure highest level of quality for treated sewage / industrial effluents.

(e) The baseline data for characteristic of river water would be obtained. The projection to the likely improvement of river water quality would be prescribed and regularly monitored.

(f) Monitoring of project deliverables by the PIA is the integral part of responsibility of PIA. State Govt. to regularly respond to MIU or NRCD for regular monitoring.

(g) DBO (Design, Build Operate) model will be followed for the STPs proposed to be constructed.

(h) Treated effluents parameters from the STPs will be regularly monitored ensuring that they meet the discharge standards. The data of STP monitoring would be made available online.
(i) State will ensure effective control of industrial pollution and sewer industries treat their effluents to prescribed standards before discharge into the sewerage system.

(j) State will ensure effective control of Municipal solid waste.

(k) A plan of action for giving 100% connections to sewer network year wise during the implementation period of work shall be prepared and a suitable provision is to be made in the byelaws to enforce compulsory sewer connection and user charges on the beneficiaries in the project area.

(l) State Govt / PIA to ensure Stakeholder consultation during implementation. The suggestions made are to be taken care of during implementation stage.

(m) Treated waste water should be reused for irrigation or industrial purposes.

(n) Commitments by State Govt./ULBs along with the time lines for suitable O&M of assets with specific reference to commitments on User Charges given by the State Govt. under JnNURM.

(o) Commitments by State Govt. to ensure water supply as per MoUD guidelines so that water flow attains self-cleansing velocity.

(p) Commitments by State Govt / ULB
  - To reforms & outcomes
  - Provision for TPI to ensure quality of work & scheduled progress of work
  - To countersigning of UCs by State authorities
  - On O&M and revenue generation
  - Given to MoUD
  - Continuous water monitoring at the outlet of STP
  - On rate of water supply

(xii) Conditions/commitments indicated in the ESC Memo, Minutes and other documents shall be strictly adhered to in the project implementation and management.

(xiii) The funds for the project implementation will be released by the GOI in suitable instalments and each instalment will be released only after scrutiny of the Utilization Certificate and Progress Report in respect of the previous instalment, periodical examination of any mismatch between the funds released and physical progress achieved component-wise and ensuring that the matching share of the State Government, if any, has been released to the implementing agency.

(xiv) The State Government shall release their corresponding share in the project from time to time commensurate with the Govt. of India release and confirm.

(xv) Subsequent release of the GOI share of the project cost will be in appropriate instalments upon production of Utilization Certificate in Form GFR-19A duly signed by the authorized signatory; production of Expenditure Statement and Progress Report showing progress in respect of provisions instalment in terms of percentage.
5. The release of funds is subject to the following terms and conditions:

**Financial Aspects:**

i) The terms and conditions as stipulated in the order conveying Administrative Approval & Expenditure Sanction (AA&ES) in respect of the scheme under the Plan shall be adhered to during implementation of the project.

ii) Any escalation over and above the sanctioned cost of the scheme shall be borne by the State Government. The Implementing Agency has to take this into account while incurring expenditure on the approved project.

iii) Funds shall be made available to the implementing agencies without delay or diversion.

iv) The State Govt. shall take all necessary legal and executive measures to ensure that local bodies augment its resources for Operation & Maintenance of the assets created under the River Conservation Plan.

v) Appropriate policy initiatives will be taken by State Govt. to tackle non-point sources of pollution including agricultural run-off, industrial pollution and solid waste management.

vi) On receipt of the grant, the grantee/State Government shall make available its share in the cost of the project, if any. Further instalments of grants of the Central would be released only after the such contribution, if any.

vii) The funds released for the project shall be operated through a separate interest earning bank account. The interest thus earned should be credited to the project and reflected in the Utilization Certificates from time to time and shall be adjusted towards future funds release for the project. For any diversion of funds, the signatory of the bank account shall be held responsible.

viii) The Government of India reserves the right to withdraw the sanction at any stage if it is convinced that the amount released has not been properly utilized or appropriate progress is not being made.

ix) The Implementing Agency is not permitted to seek or utilize funds for the same purpose from any other organization (Government, semi-Government, autonomous or private).

x) The implementing agency shall furnish monthly expenditure statements in the prescribed forms from the commencement of the project. These shall be submitted by the 20th of the following month for the preceding month.

xi) The implementing agency shall furnish to the NRCD a utilization certificate in respect of grants-in-aid received during the various quarters as under:

(a) For the 1st, 2nd and 3rd quarters in the prescribed form 'A' to be provided by NRCD.

(b) For the 4th Quarter in the prescribed form 'B' to be provided by NRCD.

(c) Utilization certificates will be furnished to NRCD in respect of grants received in various quarters by the dates indicated as follows:

<table>
<thead>
<tr>
<th>Quarter</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1st Quarter</td>
<td>April – June</td>
</tr>
<tr>
<td>2nd Quarter</td>
<td>July – September</td>
</tr>
<tr>
<td></td>
<td>15th August</td>
</tr>
<tr>
<td></td>
<td>15th November</td>
</tr>
</tbody>
</table>
xii) The cost of the scheme will be shared on 70:30 basis between the Government of India and the State Govt. The sanctioned amount should be spent exclusively in accordance with the guidelines of the scheme and within the stipulated time. The liability of NRCD will not exceed the amount sanctioned for the project/scheme. Any unspent amount(s) should be surrendered to the Directorate. For carrying forward the unutilized amounts beyond the specified time limit prior approval from NRCD should be obtained.

xiii) It is the responsibility of the implementing agency to ensure that the assets are exclusively used for the purpose for which the grant is sanctioned and to maintain the assets and their records properly.

xiv) All the assets acquired/created out of the grants shall not be disposed of, encumbered, or utilized for any purpose other than that for which sanctioned.

5.1 Audit:

a) The Comptroller & Auditor General of India at his discretion shall have the right of access to the book and accounts of the Implementing Agency receiving the funds from the Government of India for the purpose of Audit.

b) The Books of accounts of the grantee, relating to this grant, shall be open to Audit by the Internal Audit Wing of this Ministry.

c) The Implementing agency shall furnish to the Government annually a report of its work within three months, and its audited statement of accounts within nine months of the financial year.

5.2 Electronic Remittance of Funds:

The fund releases by this Ministry are being remitted by Electronic transfer. The following details may be kept in updated from time to time to enable electronic remittance:

(a) Bank account details both in figures and words to NRCD

(b) MICR Code and IFSC Code of the Bank Branch.

(c) Necessary authorization by the grantee organization to its bank to receive the remittances on its behalf and to issue necessary bank receipt to the Ministry’s bank for receipt of funds.

5.3 Submission of Monthly Physical & Financial Progress Reports (PFPR):

(a) Monthly Physical and Financial Progress Reports (PFPR) in the prescribed format shall be signed by at least two designated officers of the Implementing Agency, one of whom will be Chief Engineer/ Head of the Department.

(b) The signing officer will indicate his name and designation in full in capital letters and affix official seal under the signature. While fax PPRs will be accepted for commencement of the processing of the case, ink-signed PPRs must follow by Speed Post.

(c) Consistency between physical progress and expenditure shall be maintained and reasons for substantial variations, i.e., more than 10% shall be appropriately explained against each item.

5.4 Submission of Utilisation Certificates (UCs):

The Utilisation Certificates (UCs) in the prescribed format shall be signed and stamped by the Head of the Organization, Head of the Accounts Department and field level functionary at Executive Engineer level/ Principal Investigator, as applicable. The name and designation of the officers signing the UCs shall be clearly mentioned in full and in capital letters.
5.5 Project Management & Monitoring:

(a) The State Government will centrally monitor and review progress of the project in order to ensure that there is no time and cost overrun and that it is commissioned on time. Time and cost overrun leading to delay in implementation of projects is viewed with serious concern by the Government and as per instructions contained in Cabinet Secretary’s D.O. letter No.261/1/10/2000-Cab. Dated June 4, 2001 read with Planning Commission’s D.O. letter No.O-14015/2/98-PAMD dated 19.8.1998, mandatory Review of the Schemes must be carried out from time to time so as to assess the expenditure trend and time schedule of the schemes and appropriate action against those responsible delay shall be taken in accordance with the instructions.

(b) The State River Conservation Authority and its Standing Executive Committee shall monitor the project from time to time.

(c) The State Project Management Group being formed shall regularly monitor and report on the implementation issues.

(d) City Level Monitoring Committees shall also be constituted in the town for regular monitoring as per the extant guidelines.

5.6 Inspection:

(a) The Government of India may depute any person to visit the implementing agency for the purpose of monitoring its work. Full facilities shall be provided by the implementing agency to the persons deputed for inspection by the Government of India.

(b) The implementing agency shall maintain separate audited accounts for the project. If it is found expedient to keep a part or the whole amount in a bank account interest, the interest thus earned has to be reported as a credit to the grantee adjustable towards further installments of grant.

5.7 Operation & Maintenance:

(a) Assets created under the GAP/ NRCP shall be handed over to the local body after completion and the construction agency shall continue to maintain assets on contract basis till such time the local body acquires the necessary technical expertise for this purpose.

(b) Local communities shall be involved in the operation and maintenance of non-core schemes.

5.8 Miscellaneous:

Any staff that may be employed for preparation, execution or operation of the project by the implementing agency are not to be treated as employees of the Government of India. They shall be governed solely by the rules of the grantee with respect to all matters including terms and tenure of service. The deployment of such staff at the time of completion or termination of the project will not be the concern or responsibility of the Government of India.

6. **The Drawing and Disbursing Officer, National River Conservation Directorate, Ministry of Environment & Forests is hereby authorized to prepare and submit bill for Rs.7,69,00,000/- (Rupees Seven crores and Sixty nine lakhs only) to Pay and Accounts Officer, Ministry of Environment & Forests,**
New Delhi to make payment electronically i.e. through CBS: 4, Managing Director
6. Rana Pratap Marg, Lucknow (UP). whose bank details are as under:

<table>
<thead>
<tr>
<th>Name of the Implementing Agency</th>
<th>Address of Implementing Agency</th>
<th>Name of Bank where Account of Agency held</th>
<th>Name of Bank Branch</th>
<th>MICR Code &amp; IFSC Code</th>
<th>Type of Account</th>
<th>Account No.</th>
</tr>
</thead>
<tbody>
<tr>
<td>U.P. Jail Ingun, Lucknow-226001</td>
<td>Managing Director, U.P. Jail Ingun, 6, Rana Pratap Marg, Lucknow-226001</td>
<td>Union Bank of India</td>
<td>Union Bank of India, Hazaragani Branch, 29, Hazaragani</td>
<td></td>
<td>Savings Bank</td>
<td>302202010701122</td>
</tr>
</tbody>
</table>

Receipt of funds may kindly be acknowledged by way of a letter. Changes if any in the bank details shall be communicated to this Ministry immediately.

7. This is a recurring grant and the release of 1st instalment. No Utilization Certification is involved in this case. The grantee institution is a State Government Body.

8. The funds for expenditure on the schemes would be debitable to the Major Head 3435.04.101.06.03.35-Grant-in-Aid(Capital Assets) - National Ganga River Basin Authority (NGRBA), under Demand No. 30-Ministry of Environment & Forests for the financial year 2010-2011 (Plan).

9. In case of violation of any of these conditions of the grant or in case of closure or dissolution of the grantee organization, the Government shall take possession of all the assets of the organization acquired out of the Government grants and use them in any manner deemed appropriate or to recover from the organization the value of such assets at its discretion.

10. This sanction issues under the powers delegated to the Ministry of Environment & Forests and with the approval of the Chief Accounting Authority in the Ministry of Environment & Forests as well as with the approval of Minister of State (I/C), Environment & Forests. The advice of IFD was conveyed vide their C No.333/AS&FA/11 dated 18.2.2011.

Yours faithfully

(C. UPPII)
Under Secretary to the Government of India

Copy forwarded for information and necessary action to:-

2) DDO (NRCD) (2 copies)
3) Joint Director of Public Health and Sanitation, Delhi.
4) The Chief Secretary, Govt. of Uttar Pradesh, Sachivalaya, Lucknow (UP).
5) Principal Secretary, Department of Urban Development, Govt. of Uttar Pradesh, "Bapu Bhavan", Sachivalaya, Lucknow (UP).
6) Special Secretary, Department of Urban Development, Govt. of Uttar Pradesh, "Bapu Bhavan", Sachivalaya, Lucknow.
7) Managing Director, U.P. Jal Nigam, 6, Rana Pratap Marg, Lucknow (UP).
8) Chief Engineer (Ganga), U.P. Jal Nigam, 6, Rana Pratap Marg, Lucknow (UP).
9) Chief Engineer, U.P. Jal Nigam, Raj Nagar, Ghaziabad (UP).
10) Executive Officer, Nagar Palika, Garhmukteshwar, Ghaziabad (UP).
11) Director (Finance)/Director (KCR)/Director (BS)/DG(EST)/US (F)/US (P).

Under Secretary to the Government of India.

C.U.P.P.I.LI
<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Item</th>
<th>Rs. in crore</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Sewerage System including appurtenant work</td>
<td>30.02</td>
</tr>
<tr>
<td>2</td>
<td>Sewage Pumping Stations</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Civil Works</td>
<td>1.02</td>
</tr>
<tr>
<td></td>
<td>E &amp; M Works</td>
<td>2.54</td>
</tr>
<tr>
<td>3</td>
<td>Sewage Treatment Plants (total 9.0 mld capacity)</td>
<td>6.67</td>
</tr>
<tr>
<td>4</td>
<td>Effluent Pipe Line</td>
<td>0.43</td>
</tr>
<tr>
<td>5</td>
<td>Sub-Total</td>
<td>40.68</td>
</tr>
<tr>
<td>6</td>
<td>Centages @ 8%</td>
<td>3.25</td>
</tr>
<tr>
<td>7</td>
<td>Total</td>
<td>43.93</td>
</tr>
<tr>
<td>8</td>
<td>O&amp;M for 5 years</td>
<td>2.58</td>
</tr>
<tr>
<td>9</td>
<td>Grand Total</td>
<td>46.51</td>
</tr>
<tr>
<td>10</td>
<td>Govt. of India share</td>
<td>32.56</td>
</tr>
<tr>
<td>11</td>
<td>Govt. of U.P. share</td>
<td>13.95</td>
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