

No.-140/2022/187/21-27-S0-4-42(D)/20

Muktaak Ahmad
Special Secretary
Government of Uttar Pradesh.

To,

The Chief Engineer and Departments,
Irrigation and Water Resources Department,
Uttar Pradesh, Lucknow.

Irrigation and Water Resources Section-4

Lucknow, Dated: 26th April, 2022

Subject: Conducting a "Process Audit" of the implementation of Participatory Irrigation management.

Sir,

In reference to the above subject, I am directed by the Chief Engineer (Projects), Irrigation and Water Resources Department, Uttar Pradesh, Lucknow, vide letter No. 1174/PIM/PAT/20B dated 07th September 2020, to state that under Section 46 of the Uttar Pradesh Participatory Irrigation Management Act, 2009, the following procedure is prescribed for conducting a Process Audit of the implementation of Participatory Irrigation Management, utilizing the powers vested therein:

1. Responsibility for Conducting the
The concerned Chief Engineer shall ensure the conduct of a "Process Audit" of the implementation of Participatory Irrigation Management in their jurisdiction.

2. Formation of Audit Teams
The concerned Chief Engineer shall form two-member audit teams from the officers/employees of their respective departments from the members of the district-level PIM committees.

3. Audit Process
(I) The audit team shall conduct the "Process Audit" and submit its report to the Chief Engineer.
(II) The Chief Engineer shall review the report submitted by the audit team, prepare a final report, and submit it to the Director (PIM), Office of the Chief Engineer, Irrigation and Water Resources Department, after approval from the concerned Chief Engineer.

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(III) The Director (PIM) shall review the report, prepare an action report, and issue necessary orders/instructions after obtaining approval from the Chief Engineer (Projects).

4. Frequency of

The "Process Audit" of the implementation of Participatory Irrigation Management shall be conducted after every crop season (Rabi and Kharif).

5. Timeline for Submission of Audit

The timeline for conducting the "Process Audit" and submitting the report for each crop season shall be as follows:

S.No.	Audit Activity	Deadline for Kharif Season	Deadline for Rabi Season
1.	Formation of audit team by Chief Engineer	01 December	01 June
2.	Submission of report by audit team to Chief Engineer	31 December	30 June
3.	Forwarding of report by PIM committees to Director (PIM)	31 January	31 July
4.	Submission of report by Director (PIM) to Chief Engineer (Projects)	28 February	31 August

6. Audit Points and

The main points and sub-points for the "Process Audit" are listed in Appendix-1. The Chief Engineer (Projects) shall have the authority to amend Appendix-1.

7. Format of Audit

The audit report shall include both quantitative and qualitative data based on the sub-points listed in Appendix-1.

The implementation of Participatory Irrigation Management is a process-oriented system. For its positive outcomes, strict adherence to the Participatory Irrigation Management Act, 2009, the Participatory Irrigation Management Rules, 2010, and the Participatory Irrigation Management Manual is essential.

Kindly ensure strict compliance with the above instructions.

Enclosures: As above.

Yours

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- 1.The Chief Engineer (Projects), Irrigation and Water Resources Department, Uttar Pradesh, Lucknow, for necessary action and submission of the annual audit report to the government.
- 2.The Chief Engineer (Planning and Monitoring), Irrigation and Water Resources Department, Uttar Pradesh, Lucknow.
- 3.The Chief Engineer (Research/Budget/Final Planning), Irrigation and Water Resources Department, Uttar Pradesh, Lucknow.
- 4.The Director (PIM), Irrigation and Water Resources Department, Uttar Pradesh, Lucknow. 5.The Chief Engineer (Water Resources), Irrigation and Water Resources Department, Uttar Pradesh, Lucknow.
- 6.Guard File.

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No.-140/2022/187/21-27-S0-4-42(D)/2020 Dated 26th April, 2022 Enclosure (Appendix-1) Audit Points
Sub-Points for the Implementation of the Uttar Pradesh Participatory Irrigation Management Act,

Audit Points	Audit Sub-Points	Documents for Verification	Responsible Officer	Ref in P Mar
1. Participation				
1. General Body Meetings of Water User Associations (WUAs)	- Conduct meetings before Rabi/Kharif seasons with participation of canal officers/representatives.	Minutes of meetings, photos/videos.	Canal Officer	Para
2. Meetings of WUA Members with Canal Officers	- Monthly meetings of Executive Committee members with canal officers.	Meeting records.	Canal Officer	Para
3. Evaluation of WUAs	- Assessment of WUA functionality by Executive Engineers/Assistant Engineers.	Evaluation reports.	Canal Officer	Para
2. Construction/Repair Works				
4. Implementation Structure	- Classification of WUAs and availability of lists.	Classification records.	Executive Engineer	Para
5. Walkthroughs of Minors and Distributaries	- Conduct participatory walkthroughs before Rabi/Kharif seasons.	Walkthrough reports.	Executive Engineer	Para
6. Technical Approval of Works	- Budget approval for works by WUAs and technical sanction by PIM committees.	Approval records.	Executive Engineer	Para

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	Audit Points	Audit Sub-Points	Documents for Verification	Responsible Officer	Ref in P Mar
	7. Meter Rolls	- Provision of meter rolls to WUAs and maintenance of records.	Meter roll records.	Executive Engineer	Para
	8. Work Orders	- Issuance of work orders to WUAs and maintenance of records.	Work order records.	Executive Engineer	Para
	9. Contracts	- Participation of canal officers in tender processes and contract finalization.	Contract documents.	Canal Officer	Para
	10. Measurement of Works	- Issuance of measurement books to WUAs and verification by engineers.	Measurement books.	Canal Officer	Para
	11. Payments by WUAs	- Presence of officers during final payment meetings of WUAs.	Payment records.	Canal Officer	Para
	12. Monitoring and Verification	- Field visits by engineers for monitoring and verification of works.	Monitoring reports.	Canal Officer	Para
	13. Emergency Works	- Maintenance of records for emergency works by WUAs.	Emergency work records.	Canal Officer	Para
	14. Works by Department on Behalf of WUAs	- Formation of verification committees for works executed by the department.	Committee records.	Canal Officer	Para
3. Financial Management					
	15. Bank Accounts of WUAs	- Updating of bank accounts in the name of WUAs.	Bank account records.	Executive Engineer	Para

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Audit Points	Audit Sub-Points	Documents for Verification	Responsible Officer	Ref in PIM
16. Budget Allocation for Water Tax Shares	- Proposal for budget allocation of water tax shares to WUAs.	Budget allocation records.	Executive Engineer	Para
17. Annual Work Plans (Budget) of WUAs	- Preparation of annual budgets by WUAs.	Budget records.	Canal Officer	Para
18. Fund Flow	- Availability of approved budgets and fund transfers to WUAs.	Fund transfer records.	Canal Officer	Para
19. Financial Audit of WUAs	- Conducting audits of WUA accounts.	Audit reports.	Sub-Divisional Officer	Para
4. Functional PIM Committees				
20. Formation of District PIM Committees	- Formation and role assignment of district PIM committees.	Committee records.	Executive Engineer	Para
21. Activities of District PIM Committees	- Conducting meetings and preparing status reports of WUAs.	Meeting records.	Executive Engineer	Para
5. Records				
22. Maintenance of Records	- Availability of agreements, inventory registers, complaint registers, etc.	Record registers.	Executive Engineer	Para
6. Water Management				
23. Alignment of Channels	- Verification of channel alignments by WUAs and availability of land records.	Alignment records.	Executive Engineer	Para 111

Audit Points	Audit Sub-Points	Documents for Verification	Responsible Officer	Ref in P Mar
24. Preparation of Rosters with WUA Participation	- Meetings with WUAs for roster preparation before crop seasons.	Roster records.	Sub-Divisional Officer	Para
25. Unauthorized Water Use/Canal Offenses	- Maintenance of offense registers and legal actions by canal officers.	Offense registers.	Canal Officer	Para 102

