

APPENDICES

Appendix-1.1.1
(Reference: Paragraph 1.1.9.1; Page 4)

Position regarding receipt of ATNs on the paragraphs included in the ARs

| Audit Reports | Year | Department (s) | ATNs pending as of 31 March 2017 | Date of presentation in the State Legislature | Due date for receipt of ATNs |
|---|---|--|----------------------------------|---|------------------------------|
| Civil/Social, General and Economic Sectors (Non-PSUs) | 2000-01 | Medical Health & Family Welfare | 01 | 23.06.2003 | 22.09.2003 |
| | | Agriculture | 01 | | |
| | | Irrigation Department | 01 | | |
| | | Environment Department | 01 | | |
| | | Finance Department | 01 | | |
| | 2002-03 | Irrigation Department | 01 | 12.01.2005 | 11.04.2005 |
| | | Financial & Social Welfare | 01 | | |
| | 2003-04 | Irrigation Department | 01 | 05.10.2005 | 04.01.2006 |
| | | Panchayati Raj | 01 | | |
| | | Medical Health & Family Welfare | 01 | | |
| | 2004-05 | P.W.D | 01 | 19.04.2006 | 18.07.2006 |
| | 2005-06 | Medical Department | 01 | 27.06.2007 | 26.09.2007 |
| | | Food & Civil Supplies | 01 | | |
| | | Sports & Youth Welfare | 01 | | |
| | | Rural Development Department | 01 | | |
| | 2006-07 | Peyjal Department | 01 | 07.03.2008 | 06.06.2008 |
| | | Information Department | 02 | | |
| | | Civil Aviation Department | 01 | | |
| | 2007-08 | Urban Development Department | 01 | 13.07.2009 | 12.10.2009 |
| | | Technical Education Department | 01 | | |
| | | Information & Public Relations | 01 | | |
| | 2008-09 | Uttarakhand Peyjal Nigam | 02 | 22.09.2010 | 21.12.2010 |
| | | Revenue Department | 01 | | |
| | | Rural Engineering Services | 01 | | |
| | | Energy Department (P.P.P) | 01 | | |
| | 2009-10 | Rural Development Department | 01 | 29.03.2011 | 28.06.2011 |
| | | Uttarakhand Peyjal Nigam | 02 | | |
| | | P.W.D | 03 | | |
| | 2010-11 | Uttarakhand Peyjal Nigam | 01 | 11.12.2012 | 10.03.2013 |
| | | Police Department | 01 | | |
| | | Animal Husbandry | 01 | | |
| | | AYUSH Department | 01 | | |
| | | Election Department | 01 | | |
| | 2011-12 | Department of Labour | 01 | 18.09.2013 | 17.12.2013 |
| | | Women Empowerment & Child Development | 01 | | |
| | | Social Welfare Department | 02 | | |
| | | Department of Sports | 01 | | |
| | | Department of Higher Education | 01 | | |
| | | P.W.D | 02 | | |
| | | Horticulture Department | 01 | | |
| | | Rural Development Department | 01 | | |
| | 2012-13 | Medical Health & Family Welfare Department | 02 | 27.11.2014 | 26.02.2015 |
| | | Irrigation Department | 01 | | |
| | | Home Department | 01 | | |
| | | Medical Education Department | 02 | | |
| | | P.W.D | 01 | | |
| | | Technical Education Department | 01 | | |
| | | Sports & Youth Welfare Department | 01 | | |
| | | Rural Development Department | 02 | | |
| | | Peyjal Department | 01 | | |
| 2013-14 | Drinking Water And Sanitation Department | 01 | 03.11.2015 | 02.02.2016 | |
| | Dairy Development Department | 01 | | | |
| | Forest Department | 01 | | | |
| | Higher Education Department | 01 | | | |
| | Medical Education Department | 01 | | | |
| | Home Department | 01 | | | |
| | Medical, Health & Family Welfare Department | 02 | | | |
| | P.W.D | 01 | | | |
| | Chief Minister Office | 01 | | | |
| | Peyjal Department | 01 | | | |
| | Sericulture Department | 01 | | | |
| | Social Welfare And Education Department | 01 | | | |
| | Urban Development Department | 01 | | | |
| | Uttarakhand Renewal Energy Development Agency | 01 | | | |
| Geology And Mining Department | 01 | | | | |

| | | | | | |
|---|-------------------------------|---|--------------|------------|------------|
| | 2014-15 | Education Department | 01 | 07.11.2016 | 06.02.2017 |
| | | Elementary Education Department | 01 | | |
| | | Agriculture Department | 01 | | |
| | | Civil Aviation Department | 01 | | |
| | | Culture Department | 01 | | |
| | | Forest Department | 01 | | |
| | | Medical, Health & Family Welfare Department | 01 | | |
| | | Home Department | 01 | | |
| | | Industrial Development Department | 01 | | |
| | | Rural Development Department | 01 | | |
| | | P.W.D | 03 | | |
| | | Revenue Department | 01 | | |
| | | Social Welfare Department | 01 | | |
| | 2015-16 | Elementary Education Department | 01 | 02.05.2017 | 01.08.2017 |
| | | Home Department | 01 | | |
| | | AYUSH Department | 01 | | |
| | | Commissioner, Food Safety and Standards | 01 | | |
| | | Forest Department | 02 | | |
| | | Higher Education Department | 01 | | |
| | | Horticulture Department | 01 | | |
| | | Land Revenue Department | 01 | | |
| | | Medical, Health & Family Welfare Department | 02 | | |
| P.W.D | | 03 | | | |
| Social Welfare Department | 01 | | | | |
| Tourism Department | 01 | | | | |
| Urban Development Department | 01 | | | | |
| Women Empowerment and Child Development | 02 | | | | |
| State Finances | 2000-01 | Finance and Misc. Departments | All Chapters | 23.06.2003 | 22.09.2003 |
| | 2001-02 | Finance and Misc. Departments | All Chapters | 19.07.2004 | 18.10.2004 |
| | 2002-03 | Finance and Misc. Departments | All Chapters | 12.01.2005 | 11.04.2005 |
| | 2003-04 | Finance and Misc. Departments | All Chapters | 05.10.2005 | 04.01.2006 |
| | 2004-05 | Finance and Misc. Departments | All Chapters | 19.04.2006 | 18.07.2006 |
| | 2005-06 | Finance and Misc. Departments | All Chapters | 27.06.2007 | 26.09.2007 |
| | 2006-07 | Finance and Misc. Departments | All Chapters | 07.03.2008 | 06.06.2008 |
| | 2007-08 | Finance and Misc. Departments | All Chapters | 13.07.2009 | 12.10.2009 |
| | 2008-09 | Finance and Misc. Departments | All Chapters | 22.09.2010 | 21.12.2010 |
| | 2009-10 | Finance and Misc. Departments | All Chapters | 29.03.2011 | 28.06.2011 |
| | 2010-11 | Finance and Misc. Departments | All Chapters | 11.12.2012 | 10.03.2013 |
| | 2011-12 | Finance and Misc. Departments | All Chapters | 18.09.2013 | 17.12.2013 |
| | 2012-13 | Finance and Misc. Departments | All Chapters | 27.11.2014 | 26.02.2015 |
| | 2013-14 | Finance and Misc. Departments | All Chapters | 03.11.2015 | 02.06.2016 |
| | 2014-15 | Finance and Misc. Departments | All Chapters | 07.11.2016 | 06.02.2017 |
| 2015-16 | Finance and Misc. Departments | All Chapters | 02.05.2017 | 01.08.2017 | |
| Nainital District | 2011-12 | Miscellaneous Departments | All Chapters | 18.09.2013 | 17.12.2013 |
| | 2012-13 | Miscellaneous Departments | All Chapters | 27.11.2014 | 26.02.2015 |

Appendix-1.2.1

(Reference: Paragraph 1.2.4; Page 8)

Details of projects selected for audit

| Sl. No. | Name of Projects |
|---------|--|
| 1. | Sewerage Scheme of Ahbabnagar Haridwar |
| 2. | Sewerage Scheme at Triveni Ghat |
| 3. | Sewerage system & 3.5 MLD STP at Tapovan Area |
| 4. | Devprayag 1.4 MLD STP |
| 5. | Devprayag Reconstruction & Restoration |
| 6. | Devprayag Interception & Diversion (I&D) |
| 7. | Sewerage Scheme & 1 MLD STP at Gangotri |
| 8. | Jagjeetpur 68 MLD STP |
| 9. | Sarai 14 MLD STP |
| 10. | Interception and Diversion Jagjeetpur, Haridwar |
| 11. | I&D Sarai, Haridwar |
| 12. | Rudraprayag I&D with STP |
| 13. | Muni ki Reti I&D with STP |
| 14. | Gopeshwar I&D with STP |
| 15. | Gyansu STP Upgradation |
| 16. | Upgradation of 3.5 MLD Srinagar |
| 17. | Rishikesh I&D and STP |
| 18. | I&D and STP at Karnprayag |
| 19. | I&D and STP at Kirtinagar |
| 20. | Development of Ghats and Crematoria in the stretch from Devprayag to Uttarkashi |
| 21. | Development of Ghats and Crematoria in the stretch from Rudraprayag to Karnprayag |
| 22. | Development of Ghats and Crematoria in the stretch from Karnprayag to Vishnuprayag |
| 23. | Development of Ghats and Crematoria in the stretch from Uttarkashi to Maneri |

Appendix-1.2.2
(Reference: Paragraph 1.2.8.1 (a); Page 17)

Questionnaire for beneficiary survey

During beneficiary survey, questionnaire was set to ascertain the following aspects:

- location of IHHL;
- availability of water;
- technical assistance provided for construction of IHHL;
- connectivity to sewer line;
- maintaining of overall cleanliness;
- quality of constructed IHHL;
- IEC activities to promote use of toilets *etc.*

Following information was obtained from the beneficiaries during physical survey:

- Is the IHHL located inside the house or outside?
- Is the water facility available in the IHHL or not?
- From whom the technical assistance was sought for construction of pits and toilet room in the IHHL?
- Quality of the constructed IHHL (Good/Very Good/Bad/Very Bad).
- Is the IHHL connected to some sewer leading to drain?
- Is village maintaining over all cleanliness?
- Was any Information, Education and Communication (IEC) activities taken up to make user understand the need and promote use of toilets for clean Ganga?

Appendix-1.2.3
(Reference: Paragraph 1.2.9; Page 27)

Details of the audit finding on compliance with the directions issued by Hon'ble High Court of Uttarakhand

| Sl. No. | Issues | Our Observations | | | | | | | | |
|------------------|---|--|---------------|--|------------------|---|-----------------|--|---------------|--|
| 1. | Whether the capacity of Sewage Treatment Plants at Haridwar and Rishikesh, has been enhanced within a period of three months from the date of court judgement (<i>i.e.</i> 2 December 2016), taking into consideration the sewage load in these two towns? | There are three STPs in Haridwar and one STP in Rishikesh. The sewage load of Haridwar and Rishikesh is 107.2 MLD and 16 MLD respectively against which 63 MLD and 6 MLD are being treated as on date. The balance sewage of 44.2 and 10 MLD respectively of these towns is being discharged into the river without being treated. A 40 MLD treatment capacity STP was sanctioned for Jagjeetpur, Haridwar in the year 2015 but the same was cancelled in March 2016 and new STPs of 68 MLD and 14 MLD capacities were sanctioned in March 2017 on the orders of the NMCG. Similarly, for enhancement of treatment capacity of existing STP in Rishikesh, 26 MLD capacity treatment STP was sanctioned in March 2017. The time line provided for completion of these new STPs is 24 months. As of date, bidding for construction is under process. Further, upgradation of present STP of 27 MLD capacity at Jagjeetpur and tertiary treatment of 18 MLD STP at Sarai, Haridwar, has also been sanctioned. | | | | | | | | |
| 2. | Whether Bharat Heavy Electricals Ltd. (BHEL) has installed Sewage Treatment Plant of 11 MLD capacity, as per the direction issued by Uttarakhand Environment Protection & Pollution Control Board (UEPPCB) on 21 December 2015? | From review of records, it was observed that in connection with setting up of STP, BHEL-Haridwar failed to comply with orders or commitments made before various legal authorities: <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="text-align: center;">Date of order</th> <th style="text-align: center;">Description of order passed by legal authorities</th> </tr> </thead> <tbody> <tr> <td style="text-align: center;">10 December 2015</td> <td>National Green Tribunal (NGT) directed BHEL, Haridwar to install STP by January 2016.</td> </tr> <tr> <td style="text-align: center;">2 December 2016</td> <td>Hon'ble High Court of Uttarakhand directed BHEL to install STP having capacity of 11 MLD as per directions issued by the UEPPCB on 21 December 2015 within six months from 02 December 2016, if not already installed.</td> </tr> <tr> <td style="text-align: center;">17 March 2017</td> <td>Hon'ble High Court of Uttarakhand mentioned in its order that BHEL through its General Manager has undertaken to complete the STP within a period of nine months (<i>i.e.</i> by 17 December 2017).</td> </tr> </tbody> </table> <p>BHEL stated (June 2017) that continuous efforts were in process for setting up the STP within nine months from the date of order (dated 17 March 2017) of the Court.</p> | Date of order | Description of order passed by legal authorities | 10 December 2015 | National Green Tribunal (NGT) directed BHEL, Haridwar to install STP by January 2016. | 2 December 2016 | Hon'ble High Court of Uttarakhand directed BHEL to install STP having capacity of 11 MLD as per directions issued by the UEPPCB on 21 December 2015 within six months from 02 December 2016, if not already installed. | 17 March 2017 | Hon'ble High Court of Uttarakhand mentioned in its order that BHEL through its General Manager has undertaken to complete the STP within a period of nine months (<i>i.e.</i> by 17 December 2017). |
| Date of order | Description of order passed by legal authorities | | | | | | | | | |
| 10 December 2015 | National Green Tribunal (NGT) directed BHEL, Haridwar to install STP by January 2016. | | | | | | | | | |
| 2 December 2016 | Hon'ble High Court of Uttarakhand directed BHEL to install STP having capacity of 11 MLD as per directions issued by the UEPPCB on 21 December 2015 within six months from 02 December 2016, if not already installed. | | | | | | | | | |
| 17 March 2017 | Hon'ble High Court of Uttarakhand mentioned in its order that BHEL through its General Manager has undertaken to complete the STP within a period of nine months (<i>i.e.</i> by 17 December 2017). | | | | | | | | | |
| 3. | Whether all the 21 Hydroelectric Projects located in the mainstream of the River Ganga have installed Sewage Treatment Plants of appropriate capacity during construction phase and thereafter, at operational phases, within a period of six months from the date of Court judgement (<i>i.e.</i> 2 December 2016)? | The status is as below: <ol style="list-style-type: none"> a. Eight¹ Hydroelectric Projects have installed STPs. b. Six² Hydroelectric Projects are using Septic Tanks/Soak Pits. c. One³ Hydroelectric Project was washed away in natural calamity in the year 2013. d. Six⁴ Hydroelectric Projects have not started construction yet. | | | | | | | | |

¹ Vishnuprayag, Singloi Bhatwari, Srinagar, Koteshwar, Tehri, Maneri Bhali II, Birahi Ganga, Bhilangana III.

² Vanala, Rajwakti, Gangnani, Badyar, Bhilangana & Deval.

³ Hanuman Ganga Ext II.

⁴ JhalaKoti, Kakora Gad, Jalandhari Gad, Siyangad, Melkhet, Nayar Valley Project.

| Sl. No. | Issues | Our Observations |
|---------|---|---|
| 4. | Whether NMCG got Sewage Treatment Plant of 40 MLD capacity installed at Jagjeetpur within three months from date of Court judgement (<i>i.e.</i> 2 December 2016)? | A new STP with a total capacity of 68 MLD was sanctioned in March 2017 and work has been awarded. The target date for completion is twenty four months (March, 2019). |
| 5. | Action taken by UEPPCB against the 180 defaulting industries which were issued Show cause notices during 2015-16. | <ol style="list-style-type: none"> 1. Out of 180 defaulting industries to whom show cause notices were issued, in 109 cases, the notices were revoked between December 2015 and May 2017. 2. Out of 109, 67 defaulting units complied with the directions of the UEPPCB. However, 42 (Sl. No. 68 to Sl. No. 109 of Appendix-1.2.4) defaulting units neither submitted their compliance to the show cause notice nor approached the UEPPCB for inspection for watching compliance within the time prescribed in the show cause notices. Further, these units were <i>suo-motu</i> inspected by the concerned Regional Officers after the expiry of compliance periods as indicated in the show cause notices issued to these units and on their recommendations, the show cause notices were revoked by the UEPPCB. 3. In remaining 71 cases, closure notices were issued to 32 (Sl. No. 110 to Sl. No. 141 of Appendix-1.2.4) defaulting industries for non-compliance. In three cases, units were self-closed (Sl. No. 142 to Sl. No. 144 of Appendix-1.2.4) and in 32 cases, (Sl. No. 145 to Sl. No. 176 of Appendix-1.2.4), correspondence between defaulting units and the UEPPCB was still on. Case files of four units (Sl. No. 177 to Sl. No. 180 of Appendix-1.2.4) were not made available to Audit by the UEPPCB. 4. Site visits to five units⁵ declared as closed out of 16 units (as detailed in Appendix-1.2.5) and located in Haridwar district was carried out as a sample check. All the five units were found closed. |
| 6. | Status of operation of 44 defaulting industries which were served closure notices by the UEPPCB during 2014-15. | <ol style="list-style-type: none"> 1. Of the 44 closure notices, 23 notices were revoked (Sl. No. 1 to Sl. No. 23 of Appendix-1.2.6), including one case where unit was operational under NGT Orders). 2. In 17 cases (Sl. No. 24 to Sl. No. 40 of Appendix-1.2.6), where the defaulter units were declared as closed by the UEPPCB, evidence of action taken for closure was available in 11 cases (Sl. No. 24 to Sl. No. 34 of Appendix-1.2.6) whereas, in remaining six cases (Sl. No. 35 to Sl. No. 40 of Appendix-1.2.6), closure notices were issued but no evidence of follow up activities was available in the files of the UEPPCB. 3. In four cases (Sl. No. 41 to Sl. No. 44 of Appendix-1.2.6), the matter was under process. 4. Site visits to nine units⁶ declared as closed out of 13 (Sl. No. 1 to Sl. No. 9 of Appendix-1.2.7) units located in Haridwar district |

⁵ M/s Rachna Enterprises, Peeth Bazar, Bahadarabad, M/s Jain Poly Packaging Solutions, Bahadarabad, M/s Hotel Polaris Restaurant 48 Civil Lines, Roorkee, M/s Hotel Amber, 48 Civil Lines, Bus Stand, Roorkee, M/s Hotel Highway, Aadarsh Nagar, Haridwar Road, Roorkee.

⁶ M/s Baba Brickfield, Jhabreda; M/s Roshan Brick Field, Nagla, Landhora, Roorkee; M/s Savera Brick Field, Bijola, Landhora, Roorkee; M/s United Engineers, Begampur; M/s Anchal Brick Field, Bijholi, Landhora; M/s Akbar Khan Brick field, Kaliyar, Roorkee; M/s Chand Brick Supply, Nagla, Landhora; M/s Shabri Brick Field, Station Road, Landhora, Haridwar; M/s Indian Bhatta, Bijholi, Haridwar.

| Sl. No. | Issues | Our Observations |
|---------|--|---|
| | | was carried out as a sample check. It was found that seven out of nine units (Sl. No. 1 to Sl. No. 7 of <i>Appendix-1.2.7</i>) were operating as on date (June 2017). |
| 7. | Status of operation of 106 defaulting industries which were served Closure notices during 2015-16. | <ol style="list-style-type: none"> 1. Out of 106 closure notices issued, 60 (Sl. No. 1 to Sl. No. 60 of <i>Appendix-1.2.8</i>) cases were revoked (including 18 cases where units were operational under NGT Orders). 2. In remaining 46 cases (Sl. No 61 to Sl. No. 106 of <i>Appendix-1.2.8</i>) where the defaulter units were declared as closed by the UEPPCB, records regarding actual closing down of nine units, (including one sealed unit and one self-closed) were found in the files, whereas, in 37 cases (Sl. No. 70 to Sl. No. 106 of <i>Appendix-1.2.8</i>), closure notices were issued but no evidence of follow up activities was available in the files of the UEPPCB. 3. Site visits to six units⁷ declared as closed out of 18 (<i>Appendix-1.2.9</i>) units located in Haridwar district was carried out as a sample check and it was found that all the units were closed as on date. |
| 8. | Whether any action was taken by the State Government against UEPPCB under Section 62 of the Water (Prevention and Control of Pollution) Act of 1974 in respect of non-discharging of statutory duties under the State Act? | The State Government issued a notice under Section 62 of the Water (Prevention and Control of Pollution) Act, 1974, to the UEPPCB in March 2017 wherein the Board was asked to file its reply within a period of 45 days. The UEPPCB filed the reply to the Additional Secretary, Government of Uttarakhand in May 2017. |
| 9. | Initiation of criminal proceedings against the defaulters for contravention of the provisions of Water (Prevention and Control of Pollution) Act, 1974 as well as the Environment (Protection) Act, 1986. | Scrutiny of records of the UEPPCB revealed that court cases were filed against 37 units, out of which six cases were settled after imposing penalty of ₹ 5.30 lakh by the Court which was deposited by the said units. Proceedings are in progress in remaining 31 cases. Moreover, five FIRs have been lodged against defaulters for contravention of provisions. |
| 10. | Closure of ashrams permitting untreated sewage into the River Ganga. | The UEPPCB instructed the District Magistrate and SSP, Haridwar (February 2017) to seal and close down five ashrams permitting untreated sewage into the River Ganga. The Municipal Commissioner, Haridwar had constituted a committee to conduct joint inspection and submitted report in March 2017 which stated that all the five ashrams have set up their septic tanks which are being cleaned by the Jal Sansthan. Thus, as per the findings of this committee, these five ashrams were not permitting untreated sewage into the River Ganga as on date. |
| 11. | Action by UEPPCB against industry/hotel/ commercial establishment/educational institution discharging untreated sewage into the River Ganga. | Three hotels discharging untreated sewage into the River Ganga were identified. These were issued closure notices during December 2015 to January 2016. The closure notices were revoked after corrective measures were taken by these hotels. The hotels are operational as on date. |
| 12. | Action taken by UEPPCB against drains opening into the River Ganga. | During the scrutiny of the records of the EAs and as per the information provided by the SPMG, it was noticed that all the drains opening into the River Ganga and its tributaries have been identified |

⁷ M/s Sharp Industries, IIE Ranipur, Haridwar; M/s Raltronics India Pvt. Ltd, Haridwar; M/s Tex Plas Textiles India Pvt. Ltd, Bahadurpursaini; M/s STP Enterprises, Madhupur, Roorkee; M/s Raja Ice Factory, Dudhpur, Haridwar; and M/s Nazma Ice Factory, Dudhpur, Haridwar.

| Sl. No. | Issues | Our Observations |
|---------|--|---|
| | | <p>in the priority towns. There are 112 <i>Nallas</i> discharging 56.871 MLD of sewage into the River Ganga and its tributaries viz, Alaknanda and Bhagirathi. Out of these 112 <i>Nallas</i>, 47 <i>Nallas</i> (Sl. No. 1 to Sl. No. 15 of Appendix-1.2.10) having a discharge of 30.579 MLD have been tapped till the date of audit. Thus, a discharge of 26.292 MLD is still falling into the river or its tributaries without any treatment.</p> <p>Further, the Member Secretary, UEPPCB, vide letter no 10073-2083 dated 27 February 2017, directed the MD, Peyjal Nigam to seal all the drains falling into the River Ganga in compliance with the Hon'ble High Court directions. Action taken report was to be submitted to the UEPPCB. The Chief Engineer, Uttarakhand Peyjal Sansadhan Vikas Evam Nirman Nigam has intimated that the DPRs for up gradation and Interception and Diversion of drains along the Ganga River have been approved by the NMCG and the tendering is in process. Hence, it was stated that the directions issued shall be complied after completion of these projects.</p> |
| 13. | Relocation of most polluting units situated on the banks of the River Ganga. | <p>As per the directions of the State Government vide letter No: 172(1) X-3-17-15(10)/2017 dated 7 March 2017, a survey was to be conducted by the UEPPCB within two weeks and a report submitted to the Government regarding most polluting units situated on the banks of the River Ganga. During scrutiny of the records and information provided by UEPPCB, Audit was informed that no 'Most Polluting Unit' was situated on the banks of the River Ganga. However, the survey was still in progress.</p> |
| 14. | Fines imposed in respect of littering/defecating and urinating in open within a radius of 500 metres on both sides of the River Ganga. | <p>The State Government has promulgated the "Uttarakhand Anti Littering and Anti Spitting Act, 2016" with effect from 30 November 2016 in which specific provision has been made for prohibiting littering, urinating or defecating by pets or humans in open. Contravention of the Act invokes a penalty of ₹ 5,000 or imprisonment up to six months or both.</p> <p>Besides, the State Government has also issued directions vide letter No:172(2)/X-3-17-15(10)/2017 dated 7 March 2017 to the District Magistrates (DMs) of Uttarkashi, Rudraprayag, Tehri, Pauri, Haridwar and the Member Secretary, UEPPCB for compliance of the order of Hon'ble High Court of Uttarakhand. The DMs of Haridwar, Pauri, Rudraprayag and Tehri had issued instructions to SDMs and DM, Haridwar had nominated Mobile Magistrates as well. Campaigning for mass awareness is being conducted through wall writings, hoardings and regular announcements.</p> |
| 15. | Total ban of sale, use and storage of plastic carry bags in the State. | <p>During scrutiny of the records of UEPPCB, it was noticed that Secretary, Urban Development Department vide GO No 94 dated 13 January 2016 in compliance with NGT's orders and Chief Secretary, Govt. of Uttarakhand vide GO No. 88 dated 25 January 2017 in compliance of Hon'ble High Court of Uttarakhand order, issued letters to all the Municipal Corporations/Councils, District Forest Officers/Senior Superintendents of Police and the Transport Commissioner, Uttarakhand regarding imposing a total ban on sale, use and storage of bags/ packing materials made of plastic and thermocol in the State. A penalty of ₹ 5,000 shall be imposed on any person violating the direction imposed.</p> <p>Scrutiny of the records of the Urban Development Department revealed that ULB's have imposed/ collected a fine of ₹ 57.94 lakh in their respective territories while enforcing the ban.</p> <p>Awareness is being created through public meetings, wall writings, announcements and Pole kiosks.</p> |

| Sl. No. | Issues | Our Observations |
|---------|--|---|
| 16. | How is the State Government ensuring that people do not use soap, oil and shampoo while taking a bath in the River Ganga? | The Government of Uttarakhand issued directions vide order no. 172(3)/X-3-17-15(10)/2017 dated 7 March 2017 to the District Magistrates of Uttarkashi, Rudraprayag, Tehri, Pauri and Haridwar prohibiting use of soap, oil and shampoo while taking bath in the River Ganga. Mobile Magistrates have been posted and awareness campaigns are being carried out. |
| 17. | What steps has the State Government taken to ban bathing of cattle in the River Ganga? | As per the directions of the Government of Uttarakhand vide no. 172(3)/X-3-17-15(10)/2017 dated 7 March 2017, issued to the District Magistrates of Uttarkashi, Rudraprayag, Tehri, Pauri and Haridwar, bathing of cattle in the River Ganga has been banned. The concerned DMs issued directions to SDMs to enforce the ban. In Haridwar, Mobile Magistrates have been posted. |
| 18. | What steps has the State Government taken to prohibit begging in all the holy places in the State of Uttarakhand? | The State Government vide no. 201/XVII-2/17-321(saka)/2002 dated 9 March 2017 issued directions to all the District Magistrates prohibiting begging in all holy places in the State. The DMs have issued orders to the respective SSPs, Municipal Councils and Revenue Officers for ensuring strict compliance. |
| 19. | How is the State Government ensuring whether sufficient number of skimmers are provided to clean the Ganga at Haridwar, Rishikesh and downstream? | During scrutiny of the records and information provided by SPMG, it was noticed that the NMCG had awarded a contract for installation of skimmers at Haridwar and Rishikesh to M/s Ashwath Infratech in December 2016 with instructions to deploy the skimmers by 01.01.2017. Respective Urban Local Bodies are responsible for coordinating with the contractor. One skimmer each at Rishikesh and Haridwar was deployed on 1 May 2017. Presently, the skimmer deployed at Rishikesh has been shifted to Delhi due to high velocity of water at Rishikesh. In Haridwar, trial run is in progress. Further, in Haridwar, Municipal Commissioner has nominated nodal officer along with seven officials for daily verification of the skimmer. Designated place for disposal of collected waste has also been identified. A tripartite agreement between SPMG, concerned ULB and the Contractor is yet to be executed. |
| 20. | Number of skimmers deployed in all the towns on the banks of the River Ganga with effect from December 2016. | Two skimmers one each at Haridwar and Rishikesh respectively were deployed in May 2017. However, one skimmer which was deployed in Rishikesh has since been shifted to Delhi on the instructions of NMCG on 25 May 2017. |
| 21. | Whether the Municipal Bodies situated on the banks of the River Ganga have a framework for disposal of garbage on the scientific lines? | The State's Solid Waste Management (SWM) Action Plan (2016-21) has been prepared in 2015, which is now being revised as per SWM Rules, 2016 to cover 92 ULBs. With the support of Deutsche Gesellschaft Für Internationale Zusammenarbeit (GIZ) GmbH, German Technical Cooperation Programme, a City Sanitation Plan (CSP) is being prepared for 12 towns out of above 92 towns. The CSP will cover all the urban liquid and solid waste, and provide complete solution for generation, collection, treatment and disposal of waste. 12 of the 15 priority towns are being covered under this programme. |
| 22. | As per the provision of the Municipal Solid Wastes (Management & Handling) Rules, 2000, have the Waste to Energy Plants been set up by the Municipal Bodies for disposal of garbage within six months from the date of court judgement (<i>i.e.</i> 2 December 2016). | Waste to Energy Project of 550 MT capacity has been proposed at Roorkee. Project is under review in Ministry of New & Renewable Energy, Govt of India. This proposed plant will collect waste from 18 ULBs <i>i.e.</i> Roorkee, Manglore, Landura, Bhagwanpur, Jhabrera, Laksar, Haridwar, BHEL Haridwar, Shivalik Nagar, Rishikesh, Muni ki Reti, Swargashram, Narendra Nagar, Doiwala, Dehradun, Herbertpur, Vikasnagar, Mussoorie (Related to State Infrastructure and Industrial Development Corporation of Uttarakhand). |

| Sl. No. | Issues | Our Observations |
|----------------|--|--|
| 23. | Whether any directions have been issued by the State Government for prohibiting operation of new water based industries like Sugarcane, Pulp/Paper Industries, Distilleries, Textile Industries etc. within a radius of two kilometres from the banks of the River Ganga with effect from December 2016? | Government of Uttarakhand vide its letter no. 172(4)/x-3-17-15(10)/2017 dated 7 March 2017, has prohibited setting up of new water based industries like Sugarcane, Pulp/Paper Industries, Distilleries, Textile Industries, etc. within a radius of two kilometres from the banks of the River Ganga. Directions have been issued to concerned District Magistrates for neither accepting such applications nor permitting to set up such industries. Further, UEPPCB has also been directed not to issue Consolidated Consent and Authorisation (CCA) to such industries. |
| 24. | Whether new commercial establishments (employing more than 50 persons), hotels (having capacity of more than 50 guests), Ashrams (housing more than 100 devotees) operating have set up Effluent Treatment Plant or Sewage Treatment Plant? | Government of Uttarakhand vide letter no. 172(4)/X-3-17-15(10)/2017 dated 7 March 2017 has issued directions to the Department of Industry, State Infrastructure and Industrial Development Corporation of Uttarakhand (SIIDCUL), District Magistrate, UEPPCB and State Level Environment Impact Assessment Authority (SEIAA) to comply with the Court directions and not to permit or issue Consolidated Consent and Authorisation (CCA) under Water Act and environmental clearance respectively in such cases without ensuring compliance with Hon'ble High Court orders. |
| 25. | Whether State Government has taken action on the new commercial establishments, Hotels and Ashrams which do not have ETP or STP? | Government of Uttarakhand has issued directions to Industry Department/SIDCUL/UEPPCB vide No. 172(4)/x-3-17-15 (10)/2017 dated 07.03.2017 to comply with the directions. |
| 26. | Have any directions to construct sufficient number of toilets, based on the technology employed in the toilets used in aeroplanes been issued by the Municipal Corporation, Haridwar as well as the Municipal Council, Rishikesh to maintain hygiene in the religious places? | During the scrutiny of records at Haridwar, it was noticed that 53 toilet complexes and 12 bio digester complexes were proposed under BHEL Corporate Social Responsibility Funds out of which six bio digester complexes are in working condition. Construction of five complexes has been completed and one location is yet to be identified. In Rishikesh no toilet has been constructed so far. |
| 27. | Whether "River Conservation Zones" (where no construction activity should be permitted on the banks of the River Ganga from the highest flood plain by private as well as Governmental agencies) have been identified by the State Government in respect of the River Ganga? | Notification no. 381/11-2017/06(65)/2016 dated 28.02.2017 and notification no. 382/11-2017/06(66)/2016 dated 28.02.2017 have been issued under the Uttarakhand Flood Plain Zoning Act, 2012. Notifications have been issued notifying 60 Km reach of the River Ganga in Uttarkashi and Haridwar District as River Conservation Zones and 'no objections' have been invited from all concerned. Works in this flood plain zoning area have been categorized as prohibited and restricted. |
| 28. | Have any declarations been issued by the State Government prohibiting construction activity in "River Conservation Zones"? | Notification no. 381/11-2017/06(65)/2016, dated 28.02.2017 and notification no. 382/11-2017/06(66)/2016 dated 28.02.2017 have been issued under the Uttarakhand Flood Plain Zoning Act, 2012. Any construction works in the notified flood plain zone have been categorized as prohibited and restricted. |

Appendix-1.2.4

(Reference: Appendix 1.2.3; Sl. No.5, Page 148)

Present Status of 180 Industries/Units to whom Show Cause Notices were issued during 2015-16

| Sl. No. | Name and location of the Defaulting Industry |
|---------|--|
| 1. | M/s Himalaya Grits, Haldwani, Nainital |
| 2. | M/s Hotel Ganga Beach Resort & Hotel, Laxmanjhula, Rishikesh, Dehradun |
| 3. | M/s Shri Radhey Enterprises, IP-42, Raipur Ind. Estate, Bhagwanpur, Haridwar |
| 4. | M/s J.D. Talc, Motinagar, Haldwani, Nainital |
| 5. | M/s Hotel Invitation, Rampur Chungi, Roorkee, Haridwar |
| 6. | M/s Hotel All Season, Manglore Road, Roorkee, Haridwar |
| 7. | M/s Hotel Pacific Garden, Manglore Road, Roorkee, Haridwar |
| 8. | M/s Hotel Valley, Adarsh Nagar, Roorkee, Haridwar |
| 9. | M/s Sheel Chand Agro Oil Pvt. Ltd., Lalpur, Udham Singh Nagar |
| 10. | M/s Cooper Pharma Ltd., Selaqui, Dehradun |
| 11. | M/s Kent Industries, Lakeshwari, Haridwar |
| 12. | M/s Suraksha Pharma, Roorkee, Haridwar |
| 13. | M/s Panchwati Nutrients, Roorkee, Haridwar |
| 14. | M/s Pulse Pharmaceuticals Pvt. Ltd., Karondi, Haridwar |
| 15. | M/s Britannia Industries Ltd., IIE Pantnagar, Udham Singh Nagar |
| 16. | M/s Miter & Miter Engineers Pvt. Ltd., IIE Pantnagar, Udham Singh Nagar |
| 17. | M/s AICA Laminates India Pvt. Ltd., IIE Pantnagar, Udham Singh Nagar |
| 18. | M/s Sunmax Auto Engineering Pvt. Ltd., IIE Haridwar |
| 19. | M/s Sagar Pulp and Paper Mills Ltd., Jhabreda Road, Manglore, Haridwar |
| 20. | M/s Megic Wire (Unit-2), Salempur Ind. Estate, Roorkee, Haridwar |
| 21. | M/s Raj Rajeshwari Technofeb, Dev Bhoomi Ind. Estate, Haridwar |
| 22. | M/s Surin Automotive Pvt. Ltd., ESIPL, Sitarganj |
| 23. | M/s Parle Biscuits Pvt. Ltd., ESIPL, Sitarganj |
| 24. | M/s Gujrat Ambuja Exports Ltd., ESIPL Sitarganj, Udham Singh Nagar |
| 25. | M/s Balaji Action Buildwell, ESIPL Sitarganj, Udham Singh Nagar |
| 26. | M/s Uttaranchal Pulp and Paper Mills Ltd., Mendate, Manglore, Haridwar |
| 27. | M/s Sagar Pulp & Papers Mills Ltd., Manglore-Devband Rd., Manglore, Haridwar |
| 28. | M/s Galfar Engineering & Contracting Pvt. Ltd., Buchpuri, Udham Singh Nagar |
| 29. | M/s Corbett Rattan, Dhikuli, Ramnagar, Nainital |
| 30. | M/s Krishna Wilderness Retreat, Dhikuli, Ramnagar, Nainital |
| 31. | M/s Myrica Resorts, Dhikuli, Ramnagar, Nainital |
| 32. | M/s Kan Whizz Hum Tum Resorts, Dhikuli, Ramnagar, Nainital |
| 33. | M/s La Parle Resorts, Dhikuli, Ramnagar, Nainital |
| 34. | M/s Corbett Tiger Den, Bel Parav, Kaladungi Road, Ramnagar, Nainital |
| 35. | M/s Corbett Aroma Havens, (Park), Dhikuli, Ramnagar, Nainital |
| 36. | M/s The Monal Nest, Dhikuli, Ramnagar, Nainital |
| 37. | M/s Jpee Drugs, IIE Haridwar |
| 38. | M/s Bolt Master India Pvt. Ltd., IIE Pantnagar, Udham Singh Nagar |
| 39. | M/s Amar Polypack Pvt. Ltd., IE Haridwar |
| 40. | M/s Dixon Technology Pvt. Ltd., Selaqui, Dehradun |
| 41. | M/s Hotel Shiva Palace, Mayapur, Haridwar |
| 42. | M/s Sundram Fastners Ltd., IIE Pantnagar, Udham Singh Nagar |
| 43. | M/s Radhu Products, Pvt. Ltd., IIE Pantnagar, Udham Singh Nagar |
| 44. | M/s Eurasia Door devices, IIE Pant Nagar, Udham Singh Nagar |
| 45. | M/s Pankaj Gas Cylinders, IE Pant Nagar, Udham Singh Nagar |
| 46. | M/s SLG Bright Wires, IIE Pant Nagar, Udham Singh Nagar |
| 47. | M/s Piyush Industries, Saleempur, Haridwar |
| 48. | M/s Corbett Jungle Treasure, Dhikuli, Ramnagar, Nainital |
| 49. | M/s Country Inn, Dhikuli, Ramnagar, Nainital |

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| 50. | M/s Camp Hornbill, Kyari, Ramnagar, Nainital |
| 51. | M/s Clarks Inn Corbett, Kyari, Ramnagar, Nainital |
| 52. | M/s Wild Crest, Dhikuli Ramnagar, Nainital |
| 53. | M/s Ramganga Resort, Jamaria, Almora |
| 54. | M/s Platidum Safari Lodge, Bhakrakot, Almora |
| 55. | M/s Jukaso Manu Maharani, Dhikuli, Ramnagar, Nainital |
| 56. | M/s Treff Hotel, Dhikuli, Ramnagar, Nainital |
| 57. | M/s Corbett Comfortable Resort, Ramnagar, Nainital |
| 58. | M/s Corbett River Creek, Jhadgaon, Almora |
| 59. | M/s Jungle Paradise Retreat, Dhikuli, Ramnagar, Nainital |
| 60. | M/s P.M. Tools and Abrasives, Raipur Ind. Area, Bhagwanpur, Haridwar |
| 61. | M/s Jindal Refinery Pvt. Ltd., Kashipur, Udham Singh Nagar |
| 62. | M/s Raj Deluxe, Sabzi Mandi, Vishnu Ghat, Haridwar |
| 63. | M/s Hotel Trishul, Railway Road, Haridwar |
| 64. | M/s Hotel Sachin International, Shravan Nath Nagar, Haridwar |
| 65. | M/s Monal Resort, Rudraprayag |
| 66. | M/s Amana Metal Finishers Pvt. Ltd., Ranipur, Haridwar |
| 67. | M/s Arham Technochem, Roorkee, Haridwar |
| 68. | M/s International Sales Corporation, IIE Haridwar |
| 69. | M/s Project Director, Construction and Maintenance Div. Jal Nigam, DGVR Camp. Ashutosh Nagar, Rishikesh, Dehradun |
| 70. | M/s LRC Speciality Surfactants, Lakeshwari, Bhagwanpur, Haridwar |
| 71. | M/s ITC (Food Division), IIE Haridwar |
| 72. | M/s Godwin Hotel, Haripur, Dehradun |
| 73. | M/s Hotel Dynasty, 48 Civil Line, Roorkee, Haridwar |
| 74. | M/s Hotel Prem Dynasty, 48, Civil Lines, Roorkee, Haridwar |
| 75. | M/s Hotel Grand President, 48 Civil Lines, Roorkee Haridwar |
| 76. | M/s Hotel Solitare, Makhanpur, Bhagwanpur, Haridwar |
| 77. | M/s Hotel Raj Palace, Haridwar Road, Roorkee, Haridwar |
| 78. | M/s Hotel Suvidha & Guest House, 48 Civil Line, Roorkee, Haridwar |
| 79. | M/s Hotel Royal Palace, 22 Civil Lines, Roorkee, Haridwar |
| 80. | M/s Hotel Sagar & Restaurant, 19 Civil Lines, Roorkee, Haridwar |
| 81. | M/s Hotel Maya Palace, Rampur Changi, Roorkee, Haridwar |
| 82. | M/s Hotel Blue Saffoir, Rampur Chowk, Roorkee, Haridwar |
| 83. | M/s Hotel Surya Farms, Manglore Road, Roorkee, Haridwar |
| 84. | M/s Hotel Aryan, Manglore Road, Roorkee, Haridwar |
| 85. | M/s Patanjali Ayurved Ltd., Old Ind. Area, Haridwar |
| 86. | M/s Kotek Health Care, Roorkee, Haridwar |
| 87. | M/s Avina Milk Products, Bahgwanpur, Haridwar |
| 88. | M/s Roop Polymers Ltd., IIE Pantnagar |
| 89. | M/s Metalman Micro Turners, IIE Pantnagar, Udham Singh Nagar |
| 90. | M/s Endurance Technologies Pvt. Ltd., IIE Pantnagar |
| 91. | M/s Nipman Fastners Ind. Pvt. Ltd., Salempur Mehdood, Haridwar |
| 92. | M/s Sagar Stone Crusher, Devrampur, Haldwani, Nainital |
| 93. | M/s Country Club Wild Exotica, Dhikuli Ramnagar, Nainital |
| 94. | M/s Rosewood Resort, Dhikuli, Ramnagar, Nainital |
| 95. | M/s Shree Cement Ltd., Akbarpur, Laksar, Haridwar |
| 96. | M/s Pyrax Polymers, Sunehra Rd. Roorkee, Haridwar |
| 97. | M/s E-Durables, C-5 UPSIDC Selaqui, Dehradun |
| 98. | M/s Emkay Automobiles Industry Ltd., IIE Pantnagar, Udham Singh Nagar |
| 99. | M/s Lucas TVS Ltd., IIE Pantnagar, Udham Singh Nagar |
| 100. | M/s Jim's Jungle Retreat, Dhela, Ramnagar, Nainital |
| 101. | M/s Corbett Wild Irish Spa & Resort, Kyari, Ramnagar, Nainital |
| 102. | M/s Hridesh Spa & Resort, Dhikuli, Ramnagar, Nainital |

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| 103. | M/s Euro Life Healthcare Pvt. Ltd., Bhagwanpur, Haridwar |
| 104. | M/s Hotel Shiv Murti, Railway Road, Haridwar |
| 105. | M/s Bharat Bhoomi Tourist Complex, Haridwar Road, Rishikesh, Dehradun |
| 106. | M/s Hotel Chotiwal, New Bypass Road, Bhupatwala, Haridwar |
| 107. | M/s Hotel Chotiwal, Dhudhari Chowk, Haridwar |
| 108. | M/s Sarovarpartica, Badrinath, Chamoli |
| 109. | M/s Krishna Cottage, Swargashram Rishikesh, Pauri |
| 110. | M/s Jain Gramodhyog, Jaspur Khurd, Kashipur, Udham Singh Nagar |
| 111. | M/s Hotel The Amaris, Natraj Chowk, Rishikesh, Dehradun |
| 112. | M/s Deccan Valley Housing Society, Rishikesh, Dehradun |
| 113. | M/s Ranjana Minerals and Chemicals, Motinagar, Haldwani, Nainital |
| 114. | M/s Guru Nanak Minerals, Motinagar, Haldwani, Nainital |
| 115. | M/s Hotel Park Prime, Dhudhan Chowk, Haridwar |
| 116. | M/s Kumaon Minerals, Motinagar, Haldwani |
| 117. | M/s Raj Bags, Katiya, Kashipur, Udham Singh Nagar |
| 118. | M/s Hotel Polaris Restaurant, 48 Civil Lines, Roorkee, Haridwar |
| 119. | M/s Hotel President, 48, Civil Lines, Roorkee, Haridwar |
| 120. | M/s Hotel Urvashi, Civil Line Bus Stand, Roorkee, Haridwar |
| 121. | M/s Hotel Amber, 48, Civil Line, Roorkee, Haridwar |
| 122. | M/s Hotel Motel Punjab, Ramnagar Chowk, Roorkee, Haridwar |
| 123. | M/s Hotel Highway, Aadarsh Nagar, Haridwar Road, Roorkee, Haridwar |
| 124. | M/s Hotel Siddharth, Ramnagar Chowk, Roorkee, Haridwar |
| 125. | M/s Anand Lodge, 32 Civil Line, Near Nilam Talkez, Roorkee, Haridwar |
| 126. | M/s Keshav Polymers and Traders, Roorkee, Haridwar |
| 127. | M/s Shanti Gramodhyog Sansthan, Haridwar |
| 128. | M/s Mahashakti Gramodhyog Sansthan, Banjerawala, Roorkee, Haridwar |
| 129. | M/s Micro Turners, IIE Pantnagar, Udham Singh Nagar |
| 130. | M/s Windlas Auto Pvt. Ltd. (Unit-1), IIE Pantnagar, Udham Singh Nagar |
| 131. | M/s Tex Zipper, Dev Bhoomi Ind Estate, Bantakhedi, Haridwar |
| 132. | M/s Deshmesh Rosin Company, Bhujiaghat, Nainital |
| 133. | M/s Jindal Research Labs Ltd., Mahuakhedaganj, Udham Singh Nagar |
| 134. | M/s Bharat Construction Company, Vill. Pora, Teh. Purola, Uttarkashi |
| 135. | M/s Shivalik Infrastructure Pvt. Ltd., Tyuni, Distt. Dehradun |
| 136. | M/s Avanti Metal Industries, IIE Pantnagar, Udham Singh Nagar |
| 137. | M/s Corbett Country Resort, Dhikuli, Ramnagar, Nainital |
| 138. | M/s Dharamveer, Behind Bal Kunj School, Govindpur Dadupur, Haridwar |
| 139. | M/s Daksh Plater, Behind Bal Kunj School, Govindpur, Dadupur, Haridwar |
| 140. | M/s Uday Palace, Peepalkoti, Chamoli |
| 141. | M/s Rama Hotel, Srikot, Pauri Garhwal |
| 142. | M/s Jain Poly Packaging Solution, Bahadarabad, Haridwar |
| 143. | M/s Rachna Enterprises, Peeth Bazar, Bahadarabad, Haridwar |
| 144. | M/s Mari Mant Hotel, Dhudhachari Chowk, Bhupatwala, Haridwar |
| 145. | M/s Omaxe Rivera, Plot No. B- IIE, Pantnagar, Udham Singh Nagar |
| 146. | M/s Neel Metal Products Ltd., IIE, Haridwar |
| 147. | M/s Ganga Kinare, 237, Veerbhadra Road, Rishikesh, Dehradun |
| 148. | M/s Bharat Heavy Electricals Ltd (BHEL) Haridwar |
| 149. | M/s Country Inn, Motichur |
| 150. | M/s Hotel Regenta, Motichur, Dehradun |
| 151. | M/s Hotel Divine International, 48 Civil Lines, Roorkee, Haridwar |
| 152. | M/s Hotel Premhans, 48, Civil Lines, Roorkee, Haridwar |
| 153. | M/s Hotel Kazri, 48 Civil Line, Roorkee, Haridwar |
| 154. | M/s Bharat PG Guest House, Rampur Chungi, Roorkee, Haridwar |
| 155. | M/s Anand Guest house, Ramnagar Chowk, Roorkee, Haridwar |

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| 156. | M/s Hotel Stayam Palace, Rampur Chungi, Roorkee, Haridwar |
| 157. | M/s Hotel Godavari, Manglore Road, Roorkee, Haridwar |
| 158. | M/s Hotel Vishal, Manglore Road, Roorkee, Haridwar |
| 159. | M/s Hotel Prakash, 19 Civil Line, Roorkee, Haridwar |
| 160. | M/s R.G. Buildwell Engineer Ltd., Rudraprayag |
| 161. | M/s Pacific Estate (Apartment), Dehradun |
| 162. | M/s Jindal ESIP CETP (Sitarganj) Ltd. Sitarganj, Udham Singh Nagar |
| 163. | M/s Halax Health Care, Karondi, Roorkee, Haridwar |
| 164. | M/s Roots Corporation Ltd., Udham Singh Nagar |
| 165. | M/s Surya Smelters Pvt. Ltd., Sunhera Road, Rajputana, Roorkee, Haridwar |
| 166. | M/s Global Energy Solutions, Dineshpur, Gadarpur, Udham Singh Nagar |
| 167. | Station Master, Northern Railways, Kathgodam, Nainital |
| 168. | M/s Jivanta Laboratories Pvt. Ltd., IIE Haridwar |
| 169. | M/s Uttaranchal Metal Pvt. Ltd., Plot No.-11, 12, 13 Sector-02 IIE, Distt. Haridwar |
| 170. | M/s Hotel Astha Palace, Mayapur, Haridwar |
| 171. | M/s The Corbett View Resort, Dhela, Ramnagar, Nainital |
| 172. | M/s Sunshine Industries, Govindpur Dadupur, Bahadarabad, Haridwar |
| 173. | M/s Natraj Enterprises, Behind Bal Kunj, Govindpur Dadupur, Haridwar |
| 174. | M/s Neel Kanth Dham, Rishikesh Road, Haridwar |
| 175. | M/s Hotel Sachin International, Rudraprayag |
| 176. | M/s Hotel Hayat Palace, Manglore Road, Roorkee, Haridwar |
| 177. | M/s Divine Resort, Laxman Jhulla Road, Rishikesh |
| 178. | M/s Mahadev Thermopack, Mahuahedaganj, Udham Singh Nagar |
| 179. | M/s Naman Buildcon Ltd., Kanwali, Central Hope Town, Dehradun |
| 180. | M/s Komal Metal Finishers, IIE Pantnagar, Udham Singh Nagar |

Appendix-1.2.5

(Reference: Appendix 1.2.3; Sl. No.5, Page 148)

List of Industries declared as closed

| Sl. No. | Name of Industry | Date of Show Cause |
|---------|--|--------------------|
| 1. | M/s Rachna Enterprises, Peeth Bazar, Bahadarabad | 30.03.2016 |
| 2. | M/s Jain Poly Packaging Solution, Bahadarabad | 11.12.2015 |
| 3. | M/s Hotel Polaris Restaurant, 48 Civil Lines, Roorkee | 08.06.2015 |
| 4. | M/s Hotel Amber, 48, Civil Line, Roorkee | 18.06.2015 |
| 5. | M/s Hotel Highway, Aadarsh Nagar, Haridwar Road, Roorkee | 18.06.2015 |
| 6. | M/s Dharamverr, Behind Bal Kunj School, Govindpur Dadupur | 21.03.2016 |
| 7. | M/s Daksh Plater, Behind Bal Kunj School, Govindpur, Dadupur | 21.03.2016 |
| 8. | M/s Natraj Enterprises, Behind Bal Kunj, Govindpur Dadupur | 30.03.2016 |
| 9. | M/s Hotel Urvashi, Civil Line Bus Stand, Roorkee | 18.06.2015 |
| 10. | M/s Hotel Motel Punjab, Ramnagar Chowk, Roorkee | 18.06.2015 |
| 11. | M/s Hotel Siddharth, Ramnagar Chowk, Roorkee | 18.06.2015 |
| 12. | M/s Anand Lodge, 32 Civil Line, Near Nilam Talkez, Roorkee | 18.06.2015 |
| 13. | M/s Keshav Polymers and Traders, Roorkee | 12.08.2015 |
| 14. | M/s Shanti Gramodhyog Sansthan, Haridwar | 01.09.2015 |
| 15. | M/s Mahashakti Gramodhyog Sansthan, Banjerawala, Roorkee | 02.09.2015 |
| 16. | M/s Tex Zipper, Dev Bhomi Ind. Estate, Bantakhedi | 12.10.2015 |

Appendix-1.2.6

(Reference: Appendix 1.2.3; Sl. No.6, Page 148)

Present Status of 44 defaulting industries which were served Closure Notices during 2014-15

| Sl. No. | Name of the defaulting industry |
|---------|---|
| 1. | M/s Iqbal Ice Factory, Bhagwanpur, Haridwar |
| 2. | M/s Tirupati LPG Industries Ltd., Selaqui, Dehradun |
| 3. | M/s Vanguard Laboratories, Selaqui, Dehradun |
| 4. | M/s Devanshu Appliances Pvt. Ltd., Selaqui, Dehradun |
| 5. | M/s E-Durables Unit-2, Selaqui, Dehradun |
| 6. | M/s PMV Nutrients Pvt. Ltd., Mahuakhedaganj, Kashipur |
| 7. | M/s Arham Technochem, Devbhoomi Ind. Estate, Bantakhedi |
| 8. | M/s Himalaya Brick Field, Tikola, Roorkee |
| 9. | M/s Eli Pharmaceuticals, Sisona, Bhagwanpur |
| 10. | M/s Anishaka Polysurf, Devbhoomi Ind. Estate, Bantakhedi |
| 11. | M/s Ganesh Brick Field, Roorkee |
| 12. | M/s UP Bone Mills, Roorkee, Haridwar |
| 13. | M/s Tejas Stone Crusher, Bhogpur, Haridwar |
| 14. | M/s Om Sai Screening Plant, Bhogpur, Haridwar |
| 15. | M/s Shreejee Stone Crusher, Bhogpur, Haridwar |
| 16. | M/s Kosi Mineral & Stone Crusher, Ladhpora, Bazpur, Udham Singh Nagar |
| 17. | M/s B.R. Papers Ltd., Lalpur, Jaspur, Kashipur |
| 18. | M/s Shubham Chemicals Pvt. Ltd., Lalpur, Kichha |
| 19. | M/s GS Pharmabutor Pvt. Ltd. IIE Pantnagar |
| 20. | M/s Rama Penel Pvt. Ltd., IIE Pantnagar |
| 21. | M/s U & K Steel, Sunhera, Roorkee |
| 22. | M/s Hanuang Toys and Textile Ltd., Lakeshwari |
| 23. | M/s Multiwal Duplex Pvt. Ltd., Kashipur |
| 24. | M/s Shree Shyam Pulp & Board Mill Ltd. (Unit-1), Kashipur |
| 25. | M/s Roshan Brick Field, Nagla, Landhora |
| 26. | M/s Savera Brick Field, Bijola, Landhora, Roorkee |
| 27. | M/s Anchal Brick Field, Bijholi, Landhora |
| 28. | M/s Akbar Khan Brick Field, Kaliyar, Roorkee |
| 29. | M/s Chand Brick Supply, Nagla, Landhora |
| 30. | M/s Baba Brick Field, Jhebreda |
| 31. | M/s Shabri Brick Field, Station Road, Landhora, Haridwar |
| 32. | M/s Indian Bhatta, Bijholi, Haridwar |
| 33. | M/s JBM Enterprises, Shiv Ganga Ind. Estate, Lakeshwari |
| 34. | M/s JMJ Paper Products Pvt. Ltd., Khempur-Shikarpur |
| 35. | M/s Swasti RMC, Brahmanwala, Haridwar-Bye-pass, Dehradun |
| 36. | M/s Apple Formulation Pvt. Ltd., Kishanpur, Bhagwanpur |
| 37. | M/s Nijam Udhayag, Manglore, Roorkee |
| 38. | M/s United Engineers, Begampur |
| 39. | M/s Riddhi Vinayak Techno Concreate Products, Majra |
| 40. | M/s Rava Hitech Rudrapur Pvt. Ltd., Rudrapur |
| 41. | M/s Daffohills Laboratory Pvt. Ltd., Selaqui, Dehradun |
| 42. | M/s Daffohills Laboratories Pvt. Ltd., Selaqui Dehradun |
| 43. | M/s PMV Malting (P) Ltd., Mahuakhedaganj |
| 44. | M/s Skymap Pharmaceuticals, Devbhoomi Ind. Estate, Bantakhedi |

Note: M/s Daffohills Laboratory Pvt. Ltd., Selaqui, Dehradun appears twice in the list since UEPPCB served closure notice two times.

Appendix-1.2.7

(Reference: Appendix 1.2.3; Sl. No. 6, Pages 148 & 149)

List of closed Industries which were served Show Cause Notices during 2014-15

| Sl. No. | Name of the defaulting industry | Date on which the Closure notice was issued |
|---------|--|---|
| 1. | M/s Baba Brick Field, Jhebreda | 01.08.2014 |
| 2. | M/s Roshan Brick Field, Nagla, Landhora | 02.07.2014 |
| 3. | M/s Savera Brick Field, Bijola, Landhora, Roorkee | 02.07.2014 |
| 4. | M/s Anchal Brick Field, Bijholi, Landhora | 01.08.2014 |
| 5. | M/s Chand Brick Supply, Nagla, Landhora | 01.08.2014 |
| 6. | M/s Shabri Brick Field, Station Road, Landhora, Haridwar | 06.09.2014 |
| 7. | M/s Indian Bhatta, Bijholi, Haridwar | 06.09.2014 |
| 8. | M/s United Engineers, Begampur | 16.07.2014 |
| 9. | M/s Akbar Khan Brick Field, Kaliyar, Roorkee | 01.08.2014 |
| 10. | M/s Apple Formulation Pvt. Ltd., Kishanpur, Bhagwanpur | 02.07.2014 |
| 11. | M/s Nijam Udhyag, Manglore, Roorkee | 02.07.2014 |
| 12. | M/s JMJ Paper Products Pvt. Ltd., Khempur-Shikarpur | 10.02.2015 |
| 13. | M/s JBM Enterprises, Shiv Ganga Ind. Estate, Lakeshwari | 24.02.2015 |

Appendix-1.2.8

(Reference: Appendix 1.2.3; Sl. No.7, Page 149)

Present status of 106 defaulting industries which were served Closure Notices during 2015-16

| Sl. No. | Name of the defaulting industry |
|---------|--|
| 1. | M/s VIP Industries Ltd., IIE Haridwar |
| 2. | M/s Khatema Fibres Ltd., Khatima |
| 3. | M/s Konark Industries, Mahuakhedaganj, Kashipur |
| 4. | M/s Omkar Infratech Ltd., Ratanpuri, Bazpur, Kashipur, Udham Singh Nagar |
| 5. | M/s Just In Agri Food (P) Ltd., Mahuakhedaganj |
| 6. | M/s Mega County, Mussoorie Diversion, Dehradun |
| 7. | M/s Project Manager, Construction and Maintenance Unit, Rishikesh |
| 8. | M/s KVN Auto Engineering Pvt Ltd. Lalpur |
| 9. | M/s Rudra Auto Tech Engineering Pvt. Ltd., IIE Pantnagar |
| 10. | M/s Shree Radhey Enterprises, Raipur Ind. Estate, Raipur |
| 11. | M/s DPS Polymers, Bhagwanpur |
| 12. | M/s Sameer Bright Bar Industries, Rudrapur |
| 13. | M/s Shri Guru Stone Crusher Pvt. Ltd., Kanauri, Bazpur |
| 14. | M/s Asha Stone Crusher, Bazpur |
| 15. | M/s Hari Har Stone Crusher Pvt. Ltd., Kanori, Bazpur |
| 16. | M/s Redission Blu Hotel Haridwar, IIE Haridwar |
| 17. | M/s Gagan Brick Supply, Roorkee |
| 18. | M/s Gagan Brick Supply, Tanda Bhaneda, Roorkee |
| 19. | M/s Alpha Ingots, Gangnoli. Laksar |
| 20. | M/s Shri Bankey Bihari Ispat Pvt. Ltd., Kishanpur, Kichha |
| 21. | M/s Van Health Care, Karondi, Haridwar |
| 22. | M/s Panchwati Prayogshala, Roorkee |
| 23. | M/s HMI Manufacturing Corporation, Haridwar |
| 24. | M/s JMD Heat Treatment, Bhagwanpur |
| 25. | M/s Iqbal Ice Factory, Bhagwanpur, Haridwar |
| 26. | M/s Apple Industries, Old Ind. Area, Haridwar |
| 27. | M/s Micro Turner, Begumpur, Haridwar |
| 28. | M/s Tech Hard India, Bahadarabad Ind. Area |
| 29. | M/s Verizon Energy System, Industrial Area |
| 30. | M/s Makino Automotive, Bahadarabad Ind. Area |
| 31. | M/s Avanti Bufa Pvt. Ltd., Raipur, Bhagwanpur, Roorkee |
| 32. | M/s Mahakali Stone Crusher, Haldwani |
| 33. | Raj Rajeshwari Techno feb, Devbhoomi Ind. Estate, Bantakhedi |
| 34. | M/s Hotel Shiv Sai, Indira Basti, Haridwar |
| 35. | M/s Vivek Hotel, Indira Enclave, Shantikunj, Haridwar |
| 36. | M/s Dexbio Pharma Pvt. Ltd., Raipur, Bhagwanpur |
| 37. | M/s Mitter & Mitter Engineers Pvt. Ltd., IIE Pantnagar |
| 38. | M/s Kashi Vishwanth Textile Pvt. Ltd., Kashipur |
| 39. | M/s Mitter & Mitter Engineers Pvt. Ltd., IIE Pantnagar |
| 40. | M/s Sundram Fastner Ltd., IIE Pantnagar |
| 41. | M/s Verizon Energy System, Industrial Area, Haridwar |
| 42. | M/s Uttaranchal Pulp and Paper, Manglore |
| 43. | M/s Alps Industries Ltd., IIE Haridwar |
| 44. | M/s Sai Auto Industries, Shimla Pistaaur, Rudrapur |
| 45. | M/s Surin Automotive Pvt. Ltd., Kishanpur |
| 46. | M/s Bharat Glass and Aluminium Works, Begumpur |
| 47. | Multiwal Pulp and Board Mill Pvt. Ltd., Bazpur Road, Kashipur |
| 48. | Multiwal Duplex Pvt. Ltd., Kundeshwari Road, Kashipur, Udham Singh Nagar |
| 49. | M/s Euresia Doordevices, IIE Pantnagar |
| 50. | M/s Radhu Products Pvt. Ltd., IIE Pantnagar |
| 51. | M/s Arham Technochem, Bantakhedi, Bhagwanpur |
| 52. | M/s Sunmax Auto Engineering Pvt. Ltd., IIE Haridwar |
| 53. | M/s Pankaj Gas Cylinders, IIE Pantnagar |
| 54. | M/s SSV Hi Tech Rudrapur |

| | |
|------|---|
| 55. | M/s Takshi Auto Components Pvt. Ltd., IIE Ranipur |
| 56. | M/s ANG Auto Ltd., Eldeco-Sidcul Ind. Park, Sitarganj |
| 57. | M/s Ferro Terro India Pvt. Ltd., Lakeshwari, Bahgwanpur |
| 58. | M/s Needle Eye Plastic Industries Pvt. Ltd., Bazpur |
| 59. | M/s Aman Metal Finisher, IIDC Ranipur, Haridwar |
| 60. | M/s Ashish Agri Food Pvt. Ltd., Mahuakhedaganj |
| 61. | M/s Shri Sai Enterprises, Kichha Road, Rudrapur |
| 62. | M/s Windals Auto Parts Pvt. Ltd. (Unit-3), Rudrapur |
| 63. | M/s Shree Shyam Pulp and Board Mill Pvt. Ltd., Unit-2, Kashipur |
| 64. | M/s Quede Export, IIE Pantnagar |
| 65. | M/s SLG Bright Wires, IIE Pantnagar |
| 66. | M/s R.R. Enterprises, IIE Pantnagar, Udham Singh Nagar |
| 67. | M/s Sharp Industries, IIE Ranipur |
| 68. | M/s P.N. Pulp & Paper Kicha Road, Udham Singh Nagar |
| 69. | M/s Tex Plas Textile India Pvt. Ltd., Bahadurpur Saini |
| 70. | M/s Hillways Construction Com. Pvt. Ltd., Rudraprayag |
| 71. | M/s Rudradham Recyclers Pvt. Ltd., Rorkee, Haridwar |
| 72. | M/s The Artigo Residency, Mussoorie Diversion |
| 73. | M/s Seema Construction, Shyampur, Haridwar |
| 74. | M/s Hotel Tapovan Resort, Laxman Jhulla Road, Rishikesh |
| 75. | M/s Raltronics India Pvt. Ltd. IIE Ranipur |
| 76. | M/s Raja Ice Factory, Dudhpur, Haridwar |
| 77. | M/s Sheetla Finishers, Dadupur, Haridwar |
| 78. | M/s Nazma Ice Factory, Dadupur, Haridwar |
| 79. | M/s Sabri Brick Field, Godharana Road, Akbarpur Road |
| 80. | M/s Bansal Impex, Kichha Road, Rudrapur, Udham Singh Nagar |
| 81. | M/s STP Enterprises, Madhupur, Roorkee |
| 82. | M/s Durga Engineering , Lakeshwari, Haridwar |
| 83. | M/s Scaff India, Raipur, Haridwar |
| 84. | M/s Indian Bhatta, Bijholi |
| 85. | M/s Agrawal Aluminium, Sitarganj |
| 86. | M/s T.S. Enterprises, Garhi Maychak, Shyampur, Rishikesh |
| 87. | M/s GS Enterprises, Mohbewala Ind. Area |
| 88. | M/s Sagar Chemicals, Haldwani |
| 89. | M/s P.N. Paper Indusy Ltd., Kichha |
| 90. | M/s Shree Shyam Pulp and Board Mill Pvt. Ltd., Unit-1, Kashipur |
| 91. | M/s Tex Zippers, Devbhoomi Ind. Estate, Bantakhedi, Haridwar |
| 92. | M/s Park Prime Hotels, Haridwar |
| 93. | M/s Medglobe Therapeutics Ltd., Raipur, Bhagwanpur, Roorkee |
| 94. | M/s Micro Turner, IIE Pantnagar |
| 95. | M/s Micro Turner, IIE Haridwar |
| 96. | M/s Keshav Polymer & traders, Lakeshwari, Bhagwanpur |
| 97. | M/s Aftab Battery Udhyog, Kelakheda, Bazpur |
| 98. | M/s Parul Fabricators, Sitarganj |
| 99. | M/s Lotte Electronics, Kishanpur, Kichha |
| 100. | M/s Ganpati Metal Products, Bhurani, Rudrapur |
| 101. | M/s Suransh Power Pvt. Ltd., Ramnagar |
| 102. | M/s Narendra Precision Fastners, IIE Pantnagar |
| 103. | M/s Windals Auto Pvt. Ltd., Bhagwada, Kichha |
| 104. | M/s Avanti Metal Industries, IIE Pantnagar |
| 105. | M/s B.A. International, Roorkee |
| 106. | M/s Dashmesh Rosin Company, Dogda, Bhujiaght, Nainital |

Note: M/s Gagan Brick Supply, Roorkee, M/s Mitter & Mitter Engineers Pvt. Ltd., IIE Pantnagar, M/s Verizon Energy System, Industrial Area, Haridwar and M/s Windals Auto Pvt. Ltd., Bhagwada, Kichha appears twice in the list since UEPPCB served closure notice two times.

Appendix-1.2.9

(Reference: Appendix 1.2.3; Sl. No.7, Page 149)

List of closed Industries which were served Closure Notices during 2015-16

| Sl. No. | Name of the defaulting industry | Date on which the Closure notice was issued |
|----------------|--|--|
| 1. | M/s Sharp Industries, IIE Ranipur | 06.02.2016 |
| 2. | M/s Raltronics India Pvt. Ltd. IIE Ranipur | 23.03.2015 |
| 3. | M/s Tex Plas Textile India Pvt. Ltd., Bahadurpur Saini | 06.02.2016 |
| 4. | M/s STP Enterprises, Madhupur, Roorkee | 18.05.2015 |
| 5. | M/s Raja Ice Factory, Dudhpur, Haridwar | 16.06.2015 |
| 6. | M/s Nazma Ice Factory, Dadupur, Haridwar | 16.06.2015 |
| 7. | M/s Rudradham Recyclers Pvt. Ltd., Rorkee, Haridwar | 01.05.2015 |
| 8. | M/s Seema Construction, Shyampur, Haridwar | 23.05.2015 |
| 9. | M/s Sheetla Finishers, Dadupur, Haridwar | 16.06.2015 |
| 10. | M/s Sabri Brick Field, Godharana Road, Akbarpur Road | 22.06.2015 |
| 11. | M/s Durga Engineering , Lakeshwari, Haridwar | 01.09.2015 |
| 12. | M/s Scaff India, Raipur, Haridwar | 01.09.2015 |
| 13. | M/s Indian Bhatta, Bijholi | 06.09.2014 |
| 14. | M/s Medglobe Theraputics Ltd., Raipur, Bhagwanpur, Roorkee | 08.01.2016 |
| 15. | M/s Keshav Polymer & traders, Lakeshwari, Bhagwanpur | 22.01.2016 |
| 16. | M/s R.R. Enterprises, IIE Pantnagar, Udham Singh Nagar | 06.02.2016 |
| 17. | M/s B.A. International, Bhagwanpur, Roorkee | 06.02.2016 |
| 18. | M/s Tex Zippers, Devbhoomi Ind. Estate, Bantakhedi, Haridwar | 21.12.2015 |

Appendix-1.2.10

(Reference: Appendix 1.2.3; Sl. No.12, Page 150)

Details of Nallas discharging sewage into the River Ganga

| Sl. No. | Name of the town | Total Nallas | Discharge from Nallas (MLD) | Tapped Nallas | Discharge tapped from Nalla (MLD) | Name of River in which Nallas fall | Remarks, if any. |
|--------------|-----------------------|--------------|-----------------------------|---------------|-----------------------------------|------------------------------------|---|
| 1. | Uttarkashi | 4 | 0.380 | 4 | 0.38 | Bhagirathi | |
| 2. | Srinagar | 17 | 2.270 | 7 | 1.52 | Alaknanda | |
| 3. | Devprayag | 4 | 0.128 | 1 | 0.029 | Ganga | |
| 4. | Tapovan | 5 | 0.390 | 5 | 0.39 | Ganga | Out of these five drains, two are carrying Natural unpolluted Water |
| 5. | Muni-ki-Reti Dhalwala | 15 | 7.570 | 9 | 0.37 | Ganga | |
| 6. | Rishikesh | 5 | 8.210 | 4 | 8.20 | Ganga | |
| 7. | Haridwar | 22 | 31.49 | 17 | 19.69 | Ganga | |
| 8. | Badrinath | 6 | 0.549 | - | - | Alaknanda | |
| 9. | Joshimath | 7 | 3.620 | - | - | Alaknanda | |
| 10. | Gopeshwar | 7 | 1.580 | - | - | Alaknanda | |
| 11. | Nandprayag | 3 | 0.091 | - | - | Alaknanda | |
| 12. | Karnprayag | 7 | 0.202 | - | - | Alaknanda | |
| 13. | Gauchar | 0 | | - | - | Alaknanda | |
| 14. | Rudraprayag | 8 | 0.362 | - | - | Alaknanda | |
| 15. | Kirtinagar | 2 | 0.029 | - | - | Alaknanda | |
| Total | | 112 | 56.871 | 47 | 30.579 | | |

Appendix-1.3.1
(Reference: Paragraph 1.3.7.4; Page 40)

Details of penal interest which the State Government is liable to pay due to delayed release of fund to the SWSM

| Year | Sanction order of GoI | Sanction Date | Sanctioned Amount (₹ in lakh) | State Government Release order | Release date | delay in release beyond 15 days | Penal interest @ 12 per cent (₹ in lakh) |
|------------------------------|--------------------------------------|---------------|--|--|--------------|---------------------------------|---|
| 2014-15 | W-11020/27/2013/NRDWP/Water/162 | 24-09-2014 | 2,981.42 | 926/unttis(2)/14-2 (91pe.)/2014 | 08-12-2014 | 60 | 58.81 |
| | W-11020/27/2014/NRDWP/Water/383 | 14-01-2015 | 1,843.40 | 214/unttis(2)/15-2 (91pe.)/2014 | 06-02-2015 | 8 | 4.85 |
| | W-11020/27/2012/NRDWP/Water/403 | 17-02-2015 | 255.35 | 485/unttis(2)/15-2 (91pe.)/2014TC | 21-03-2015 | 17 | 1.43 |
| | W-11020/27/2012/NRDWP/Water/402 | 17-02-2015 | 254.68 | 485/unttis(2)/15-2 (91pe.)/2014TC | 21-03-2015 | 17 | 1.42 |
| | W-11020/27/2014/NRDWP(MDI)/Water/441 | 18-02-2015 | 1.07 | 468/unttis(2)/15-2 (91pe.)/2014TC-3 | 24-03-2015 | 19 | 0.01 |
| | W-11020/27/2014/NRDWP/Water/510 | 11-03-2015 | 962.83 | 1533/unttis(2)/15-2 (91pe.)/2014 | 18-12-2015 | 267 | 84.52 |
| 2015-16 | G-11011/08/2015/Water-I/20 | 16-06-2015 | 137.35 | 1003/unttis(2)/15-2 (91pe.)/2014 | 28-07-2015 | 27 | 1.22 |
| | G-11011/08/2015/Water-I/20 | 16-06-2015 | 1,316.61 | 1002/unttis(2)/15-2 (91pe.)/2014 | 28-07-2015 | 27 | 11.69 |
| | G-11011/08/2015/Water-I/49 | 03-07-2015 | 19.86 | 1105/unttis(2)/15-2 (91pe.)/2014 | 19-08-2015 | 32 | 0.21 |
| | G-11011/08/2015/Water-I/49 | 03-07-2015 | 190.40 | 1533/unttis(2)/15-2 (91pe.)/2014 | 18-12-2015 | 153 | 9.58 |
| | G-11011/08/2015/Water-I/49 | 03-07-2015 | 364.51 | 1106/unttis(2)/15-2 (91pe.)/2014 | 19-08-2015 | 32 | 3.83 |
| | Q-16011/2/2015-Stat(MDI)/154 | 16-02-2016 | 55.63 | 939/unttis(2)/16-2 (91pe.)/2014 | 10-06-2016 | 100 | 1.83 |
| Q-16011/2/2015-Stat(MDI)/154 | 16-02-2016 | 155.81 | 941/unttis(2)/16-2 (91pe.)/2014 | 10-06-2016 | 100 | 5.12 | |
| 2016-17 | G-11011/4/2016/Water-I/20 | 12-04-2016 | 64.44 | 940/unttis(2)/16-2 (91pe.)/2014 | 10-06-2016 | 44 | 0.93 |
| | G-11011/4/2016/Water-I/20 | 12-04-2016 | 429.18 | 939/unttis(2)/16-2 (91pe.)/2014 | 10-06-2016 | 44 | 6.21 |
| | G-11011/4/2016/Water-I/20 | 12-04-2016 | 1,202.06 | 941/unttis(2)/16-2 (91pe.)/2014 | 10-06-2016 | 44 | 17.39 |
| | G-11011/4/2016/Water-I/97 | 20-05-2016 | 146.78 | 1045/unttis(2)/16-2 (91pe.)/2014 | 04-07-2016 | 30 | 1.45 |
| | G-11011/4/2016/Water-I/97 | 20-05-2016 | 244.63 | 1045/unttis(2)/16-2 (91pe.)/2014 | 04-07-2016 | 30 | 2.41 |
| | G-11011/4/2016/Water-I/59 | 20-05-2016 | 53.63 | 1046/unttis(2)/16-2 (91pe.)/2014 | 04-07-2016 | 30 | 0.53 |
| | G-11011/4/2016/Water-I/59 | 20-05-2016 | 1,000.57 | 1045/unttis(2)/16-2 (91pe.)/2014 | 04-07-2016 | 30 | 9.87 |
| | W-11020/189/2015/Water-I/107 | 16-11-2016 | 51.82 | 2103/unttis(2)/16-2 (91pe.)/2014 | 26-12-2016 | 25 | 0.43 |
| | W-11020/189/2015/Water-I/107 | 16-11-2016 | 345.15 | 2102/unttis(2)/16-2 (91pe.)/2014 | 26-12-2016 | 25 | 2.84 |
| | W-11020/189/2015/Water-I/107 | 16-11-2016 | 966.73 | 2101/unttis(2)/16-2 (91pe.)/2014 | 26-12-2016 | 25 | 7.95 |
| | W-11032/1/2017/Water-I/175 | 13-02-2017 | 1,632.20 | 274/unttis(2)/16-2 (91pe.)/2014 | 16-03-2017 | 16 | 8.59 |
| | W-11020/78/2015/Water-I/174 | 13-02-2017 | 125.04 | 274/unttis(2)/16-2 (91pe.)/2014 | 16-03-2017 | 16 | 0.66 |
| | Q-16011/1/2016-Stat(MDI)/189 | 17-02-2017 | 8.05 | 218/unttis(2)/16-2 (91pe.)/2014 | 16-03-2017 | 12 | 0.03 |
| | Q-16011/1/2016-Stat(MDI)/189 | 17-02-2017 | 45.46 | 275/unttis(2)/16-2 (91pe.)/2014 | 16-03-2017 | 12 | 0.18 |
| Q-16011/1/2016-Stat(MDI)/189 | 17-02-2017 | 160.24 | 274/unttis(2)/16-2 (91pe.)/2014 | 16-03-2017 | 12 | 0.63 | |
| Total | | | 15,014.90 (₹150.15 crore) | Total penal interest payable | | | 244.62 (₹2.45 crore) |

Source: Information collected from SWSM.

Appendix-1.3.2

(Reference: Paragraph 1.3.8.6; Page 46)

Details of testing of water quality in four test-checked districts

| District | Year | Number of water sources in all the Gram Panchayats | Number of water sources where water quality testing was conducted | | | Total Test required | Test carried out | Shortfall | Shortfall (in percentage) |
|---------------|---------|--|---|----------------------------|----------------------|---------------------|------------------------|----------------------|---------------------------|
| | | | Both Pre and post monsoon | Either Pre or post monsoon | Neither Pre nor post | | | | |
| 1 | 2 | 3 | 4 | 5 | 6 | 7 (2*Col 3) | 8 (2*Col 4 + Col 5) | 9 (Col 7 - Col 8) | 10 (Col 9*100/Col 7) |
| Almora | 2012-13 | 3,341 | 0 | 189 | 3,152 | 6,682 | 189 | 6,493 | 97 |
| | 2013-14 | 3,356 | 0 | 531 | 2,825 | 6,712 | 531 | 6,181 | 92 |
| | 2014-15 | 3,370 | 0 | 624 | 2,746 | 6,740 | 624 | 6,116 | 91 |
| | 2015-16 | 3,385 | 0 | 155 | 3,230 | 6,770 | 155 | 6,615 | 98 |
| | 2016-17 | 3,400 | 8 | 179 | 3,213 | 6,800 | 195 | 6,605 | 97 |
| Total | | 16,852 | 8 | 1,678 | 15,166 | 33,704 | 1,694 | 32,010 | 95 |
| Nainital | 2012-13 | 1,518 | 5 | 267 | 1,246 | 3,036 | 277 | 2,759 | 91 |
| | 2013-14 | 1,533 | 0 | 367 | 1,166 | 3,066 | 367 | 2,699 | 88 |
| | 2014-15 | 1,548 | 25 | 211 | 1,312 | 3,096 | 261 | 2,835 | 92 |
| | 2015-16 | 1,563 | 0 | 14 | 1,549 | 3,126 | 14 | 3,112 | 100 |
| | 2016-17 | 1,578 | 14 | 349 | 1,215 | 3,156 | 377 | 2,779 | 88 |
| Total | | 7,740 | 44 | 1,208 | 6,488 | 15,480 | 1,296 | 14,184 | 92 |
| Pauri Garhwal | 2012-13 | 3,141 | 6 | 516 | 2,619 | 6,282 | 528 | 5,754 | 92 |
| | 2013-14 | 3,156 | 1 | 328 | 2,827 | 6,312 | 330 | 5,982 | 95 |
| | 2014-15 | 3,171 | 37 | 746 | 2,388 | 6,342 | 820 | 5,522 | 87 |
| | 2015-16 | 3,186 | 39 | 388 | 2,759 | 6,372 | 466 | 5,906 | 93 |
| | 2016-17 | 3,202 | 38 | 479 | 2,685 | 6,404 | 555 | 5,849 | 91 |
| Total | | 15,856 | 121 | 2,457 | 13,278 | 31,712 | 2,699 | 29,013 | 91 |
| Tehri Garhwal | 2012-13 | 2,570 | 0 | 287 | 2,283 | 5,140 | 287 | 4,853 | 94 |
| | 2013-14 | 2,585 | 1 | 317 | 2,267 | 5,170 | 319 | 4,851 | 94 |
| | 2014-15 | 2,599 | 37 | 666 | 1,896 | 5,198 | 740 | 4,458 | 86 |
| | 2015-16 | 2,614 | 19 | 157 | 2,438 | 5,228 | 195 | 5,033 | 96 |
| | 2016-17 | 2,629 | 38 | 330 | 2,261 | 5,258 | 406 | 4,852 | 92 |
| Total | | 12,997 | 95 | 1,757 | 11,145 | 25,994 | 1,947 | 24,047 | 93 |

Source: Information collected from UJS.

Appendix-1.13.1
(Reference: Paragraph 1.13.3.1; Page 78)

Year-wise details of funds received by NN Dehradun and Haridwar

| DEHRADUN (₹ in crore) | | | | | | | | | | |
|-----------------------|-----------------|-------------------|--------------------|---------------------|--------------------|---------------|--|--|---------------|-----------------|
| Year | Opening Balance | Budget Allotment | | | | | Expenditure | | | Closing Balance |
| | | Central Share | State Share | Own Share | Others | Total | Exp. on Salary (Percentage of Total Expenditure) | Exp. on Infrastructure Development for SWM (Percentage of Total Expenditure) | Total Exp. | |
| 2014-15 | 6.33 | 1.87 ¹ | 17.95 ⁷ | 9.76 ¹³ | 0.00 | 35.91 | 27.40 (93) | 2.05 (7) | 29.45 | 6.46 |
| 2015-16 | 6.46 | 2.55 ² | 25.51 ⁸ | 10.77 ¹⁴ | 1.00 ¹⁹ | 46.29 | 32.43 (91) | 3.20 (9) | 35.63 | 10.66 |
| 2016-17 | 10.66 | 7.11 ³ | 22.41 ⁹ | 10.36 ¹⁵ | 0.00 | 50.54 | 32.76 (80) | 8.08 (20) | 40.84 | 9.70 |
| Total | | 11.53 | 65.87 | 30.89 | 1.00 | 132.74 | 92.59 (87) | 13.33 (13) | 105.92 | |

| HARIDWAR (₹ in crore) | | | | | | | | | | |
|-----------------------|-----------------|-------------------|--------------------|--------------------|--------------------|--------------|--|--|--------------|-----------------|
| Year | Opening Balance | Budget Allotment | | | | | Expenditure | | | Closing Balance |
| | | Central Share | State Share | Own Share | Others | Total | Exp. on Salary (Percentage of Total Expenditure) | Exp. on Infrastructure Development for SWM (Percentage of Total Expenditure) | Total Exp. | |
| 2014-15 | 1.67 | 1.61 ⁴ | 8.65 ¹⁰ | 3.17 ¹⁶ | 0.00 | 15.10 | 12.00 (92) | 1.00 (8) | 13.00 | 2.10 |
| 2015-16 | 2.10 | 4.68 ⁵ | 8.84 ¹¹ | 2.90 ¹⁷ | 4.97 ²⁰ | 23.49 | 11.83 (74) | 4.21 (26) | 16.04 | 7.45 |
| 2016-17 | 7.45 | 0.45 ⁶ | 7.37 ¹² | 2.91 ¹⁸ | 0.21 ²¹ | 18.39 | 10.27 (59) | 7.08 (41) | 17.35 | 1.04 |
| Total | | 6.74 | 24.86 | 8.98 | 5.18 | 56.98 | 34.10 (74) | 12.29 (26) | 46.39 | |

| Source of Funds | Year | Details of funds | |
|-----------------|---------|---|---|
| | | NN Dehradun | NN Haridwar |
| Central Funds | 2014-15 | CFC: ₹ 1,87,15,193 ¹ | Municipal Solid Waste Management: ₹ 5,61,250 + JnNURM Salary: ₹ 20,65,790 + CFC: ₹ 1,34,64,398 = ₹ 1,60,91,438 ⁴ |
| | 2015-16 | SBM: ₹ 1,72,08,000 + CFC: ₹ 83,14,382 = ₹ 2,55,22,382 ² | SBM: ₹ 2,90,000 + Municipal Solid Waste Management: ₹ 3,07,60,450 + JnNURM salary: ₹ 25,672 + CFC: ₹ 1,56,61,906 = ₹ 4,67,38,028 ⁵ |
| | 2016-17 | SBM: ₹ 64,53,000 + CFC: ₹ 6,46,97,467 = ₹ 7,11,50,467 ³ | SBM: ₹ 2,38,322 + Municipal Solid Waste Management: ₹ 14,89,323 + JnNURM salary: ₹ 5,281 + CFC: ₹ 27,97,000 = ₹ 45,29,926 ⁶ |
| State Funds | 2014-15 | Avsthapana (Dustbin purchase): ₹ 31,50,000 + SFC: ₹ 17,63,66,749 = ₹ 17,95,16,749 ⁷ | SFC: ₹ 8,65,12,993 ¹⁰ |
| | 2015-16 | Grants for sanitation : ₹ 2,35,00,000 + CMG : ₹ 1,50,00,000 + SFC: ₹ 21,66,08,809 = ₹ 25,51,08,809 ⁸ | SFC: ₹ 8,84,36,263 ¹¹ |
| | 2016-17 | SFC: ₹ 22,40,73,834 ⁹ | SFC: ₹ 7,36,95,704 ¹² |
| Own resources | 2014-15 | ₹ 9,76,14,789 ¹³ | ₹ 3,16,57,899 ¹⁶ |
| | 2015-16 | ₹ 10,76,87,920 ¹⁴ | ₹ 2,89,96,340 ¹⁷ |
| | 2016-17 | ₹ 10,35,54,120 ¹⁵ | ₹ 2,90,49,337 ¹⁸ |
| Other resources | 2014-15 | - | - |
| | 2015-16 | MDDA: ₹ 1,00,00,000 ¹⁹ | Kaanvad Mela: ₹ 13,10,305 + Vidhayak Nidhi: ₹ 5,00,000 + Ardhkumbh Mela: ₹ 4,73,86,000 + Dustbin purchase: ₹ 5,00,000 = ₹ 4,96,96,305 ²⁰ |
| | 2016-17 | - | Kaanvad Mela: ₹ 16,01,750 + Chardhaam: ₹ 5,00,000 = ₹ 21,01,750 ²¹ |

Appendix-2.2.1
(Reference: Paragraph 2.2; Page 98)

Statement showing details of non-levy of penalty in respect of the four cases related to two dealers

| Sl. No. | Tin No. of the dealer [under commercial Tax unit] | Goods purchased | Assessment year (Assessment done in year) | Amount of unauthorized Purchase of goods by issuing Form 'C' (in ₹) | Rate of Tax (in percentage) | Tax leviable (in ₹) | Penalty under Sec. 10-A read with Sec.10(b)/10(d) (one and half times of col-7) (in ₹) | Class of Violation [Section of CST Act, 1956] |
|--------------|---|---|---|---|-----------------------------|---------------------|--|---|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) |
| 1. | 0500961780 [DC (A)-IV,CT, Dehradun] | Chemical, Anti Rust & Teflon | 2009-10 (2014-15) | 18,99,957 | 12.5 | 2,37,495 | 3,56,242.50 | Dealers purchased goods which are not covered under their Central Registration Certificate [Section 10-A read with Section 10 (b)] |
| | | Gen-set, Anti Rust and Teflon | 2010-11 (2014-15) | 34,70,173 | 13.5* | 4,68,473 | 7,02,709.50 | |
| 2. | 05008095257 [AC (A)-Sector IV,CT, Roorkee] | Crusher Bucket | 2012-13 (2015-16) | 25,98,040 | 13.5 | 3,50,735 | 5,26,102.00 | |
| 3. | 0500961780 [DC (A)-IV,CT, Dehradun] | Demo Vehicle | 2010-11 (2014-15) | 59,87,233 | 13.5 | 8,08,276 | 12,12,414.00 | Dealers purchased goods on concessional rate for a purpose and did not utilize the goods for the same purpose [Section 10-A read with Section 10 (d)] |
| 4. | 05008095257 [AC (A)-Sector I, CT, Almora] | Pumping set, Chain pulley, Penal pump set, Base plate & valve | 2010-11 (2013-14) | 1,14,26,185 | 13.5 | 61,84,882 | 92,77,323.00 | |
| | | | 2011-12 (2014-15) | 1,31,94,664 | | | | |
| | | | 2012-13 (2014-15) | 2,11,93,092 | | | | |
| | | | | 4,58,13,941 | | | | |
| Total | | | | | | 80,49,861 | 1,20,74,791.00 | |

* New rate was effective from 1st April 2010.

Appendix-2.3.1

(Reference: Paragraph 2.3; Page 99)

Statement showing details of unauthorised utilisation of Form-11 by four dealers related to three offices of Commercial Tax Department

(Amounts in ₹)

| Sl. No. | Name of Office | TIN no. of Dealer | Assessment Year (Assessment /Reassessment done in) | Amount of Form-11 | Goods Purchased | Differential Rate of Tax (%) | Amount of Differential Tax | Penalty (40 per cent of value of goods or three times of tax whichever is higher) | Class of violation |
|--------------|----------------------------------|-------------------|--|--------------------|-------------------------------------|------------------------------|----------------------------|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 |
| 1. | D C (A)-II, CT Rudrapur | 05004695213 | 2011-12/ (Jan-2015) | 22,88,043 | Electric Goods and Spare Parts etc. | 11.50 (13.50-2.00) | 2,63,125 | 9,26,657 | Manufacturing of exempt goods (Accepted) |
| | | | 2012-13/ (Jan-2015) | 3,99,572 | | | 45,951 | 1,61,827 | |
| | | 05007612585 | 2011-12/ (Sep-2014) | 20,02,667 | Chemicals | | 2,30,307 | 8,11,080 | Goods not covered under Recognition Certificate (Accepted) |
| 2. | A C (A) Sector - IV, CT Dehradun | 05006694189 | 2008-09/ (Nov-2012/ June 2016) | 23,21,783 | Wood | 10.50 (12.50-2.00) | 2,43,787 | 9,28,713 | Manufacturing of exempt goods (Accepted) |
| | | | 2009-10/ (Jan-2014) | 17,49,048 | | | 1,83,650 | 6,99,619 | |
| 3. | D C (A)-I, CT Vikas Nagar | 05005088160 | 2012-13/ (Mar-2016) | 1,47,33,953 | Gas charging machine | 11.50 (13.50-2.00) | 16,94,405 | 59,67,251 | Goods not covered under Recognition Certificate |
| Total | | | | 2,34,95,066 | | | 26,61,225 | 94,95,147 | |

Appendix-2.4.1

(Reference: Paragraph 2.4; Page 100)

Details of short levy of tax in ten cases of seven dealers related to two DCs and three ACs

| Name of Unit | TIN no. of Dealer | Assessment Year | Assessment done in | Name of Goods | Value of Goods (in ₹) | Differential Tax Rate (in %) | Tax Payable (in ₹) | Tax Paid (in ₹) | Short levy of tax (in ₹) | Remarks |
|-----------------------------------|---------------------|---------------------|---|------------------|-----------------------|------------------------------|--------------------|-----------------|--------------------------------|--|
| D.C.(A)-II CT Rudrapur | 05008069067 | 2009-10 | Mar-14 (Revised in March 2017, Sep 2016) | Epoxide Resin | 63,10,811 | 8.5 % (12.5-4) | 7,88,851 | 2,52,432 | 5,36,419 (Accepted) | Unclassified Goods i.e. goods not specified in Schedule II B |
| | | 2010-11 | Mar-14 (Revised in March 2017, Sep 2016) | -do- | 99,85,180 | 9% (13.5-4.5) | 13,47,999 | 4,49,333 | 8,98,666 (Accepted) | |
| | | 2011-12 | Mar-15 (Revised in March 2017, Sep 2016) | -do- | 1,19,76,343 | 9% (13.5-4.5) | 16,16,806 | 5,38,935 | 10,77,871 (Accepted) | |
| 05007507146 | 2010-11, 2011-12 | July-14, Jan- 15 | Telecommunication Equipment Parts | 5,69,83,326 | 9% (13.5-4.5) | 76,92,749 | 25,64,250 | 51,28,499 | | |
| D.C.(A)-III CT Rudrapur | 05009859008 | 2010-11 | Feb-15 | Cutting Tools | 56,61,101 | 9% (13.5-4.5) | 7,64,249 | 2,54,750 | 5,09,499 (Accepted) | |
| A.C.(A) Sector-III CT Haridwar | 05008256665 | 2010-11 | Feb-15 | Resin Powder | 58,88,853 | 9% (13.5-4.5) | 7,94,995 | 2,64,998 | 5,29,997 | |
| A.C.(A) Sector-IV CT Roorkee | 5011657776 | 2011-12 | Jan-15 | Resin Powder | 7,64,111 | 9% (13.5-4.5) | 1,03,155 | 34,385 | 68,770 (Accepted) | |
| | 05009816813 | 2011-12 | Nov-14 | Resin Powder | 12,03,707 | 9% (13.5-4.5) | 1,62,500 | 54,167 | 1,08,334 (Accepted) | |
| A.C.(A) Sector-II CT Haridwar | 05010793215 | 2011-12 | Mar-15 | Electrical Goods | 10,54,665 | 9% (13.5-4.5) | 1,42,380 | 47,460 | 94,920 | |
| Total | | | | | | | | | 89,52,975 | |

Appendix-2.5.1
(Reference: Paragraph 2.5; Page 101)

Statement showing non-imposition of penalty due to late deposit of tax

(Amounts in ₹)

| Sl. No. | Name of Unit | Dealers TIN No. | Month / quarter for which tax is due | Admitted tax | Due date of deposit of tax (as per notification) | Actual date of deposit of tax | Amount of Penalty (10 % of due tax) 10% of Column 5 |
|------------------------------|----------------------------|-------------------------|--------------------------------------|--------------|--|-------------------------------|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 |
| 1. | DC (A)-I, CT, Haridwar | TIN No.: 05007113617 | April-2012 | 35,52,208 | 25/05/2012 | 29/05/2012 | 3,55,221 |
| | | | February-2013 | 42,00,322 | 25/03/2013 | 29/03/2013 | 4,20,032 |
| | | | Total (1) | | | | |
| 2. | DC (A)-I, CT, Haridwar | TIN No.: 05009645705 | July-2012 | 12,86,647 | 25/08/2012 | 05/09/2012 | 1,28,665 |
| | | | August-2012 | 15,98,297 | 25/09/2012 | 28/09/2012 | 1,59,830 |
| | | | Total (2) | | | | |
| 3. | DC (A)-I, CT, Haridwar | TIN No.: 05005891902 | May-12 | 2,13,225 | 25/06/2012 | 03/07/2012 | 21,322 |
| | | | September-2012 | 1,62,318 | 25/10/2012 | 31/10/2012 | 16,232 |
| | | | October -2012 | 1,18,154 | 25/11/2012 | 30/11/2012 | 11,815 |
| | | | November-2012 | 1,27,102 | 25/12/2012 | 24/01/2013 | 12,710 |
| | | | December-2012 | 1,62,550 | 25/01/2013 | 28/01/2013 | 16,255 |
| | | | January-2013 | 2,22,620 | 25/02/2013 | 30/03/2013 | 22,262 |
| | | | February-2013 | 2,65,191 | 25/03/2013 | 30/03/2013 | 26,519 |
| | | | Total (3) | | | | |
| 4. | DC (A)-II, CT, Haridwar | TIN No.: 05002157305 | April-2011 | 3,12,983 | 25/05/2011 | 02/06/2011 | 31,298 |
| | | | May-2011 | 6,12,978 | 25/06/2011 | 29/06/2011 | 61,298 |
| | | | June-2011 | 4,37,760 | 25/07/2011 | 01/08/2011 | 43,776 |
| | | | July-2011 | 2,09,257 | 25/08/2011 | 02/09/2011 | 20,926 |
| | | | August-2011 | 2,90,176 | 25/09/2011 | 29/09/2011 | 29,018 |
| | | | September-2011 | 2,57,095 | 25/10/2011 | 03/12/2011 | 25,709 |
| | | | October-2011 | 3,16,033 | 25/11/2011 | 30/11/2011 | 31,603 |
| | | | November-2011 | 7,44,958 | 25/12/2011 | 04/01/2012 | 74,496 |
| | | | February-2012 | 5,65,360 | 25/03/2012 | 29/03/2012 | 56,536 |
| | | | March-2012 | 3,02,446 | 25/04/2012 | 28/04/2012 | 30,245 |
| | | | Total (4) | | | | |
| Grand Total (1+2+3+4) | | | | | | | ₹15,95,768 |

Appendix-2.7.1 A

(Reference: Paragraph 2.7.2.1; Page 104)

Non-levy of minimum Guaranteed Duty on Higher Strength of Country Liquor

| Name of Distillery | Year | Bottled (in BL) | Duty not paid on liquor (in AL) | In form of 36% v/v (in BL) | Rate 36% v/v (in ₹) | Minimum guarantee duty (in ₹) |
|--|---------|-----------------------|---------------------------------------|----------------------------------|---------------------------|--|
| Bazpur Distillery, Bazpur Udham Singh Nagar | 2014-15 | 91,94,500.80 | 9,194.50 | 25,540.28 | 140 | 35,75,639.20 |
| | 2015-16 | 70,77,124.80 | 7,077.12 | 19,658.68 | 170 | 33,41,975.60 |
| | 2016-17 | 65,53,065.60 | 6,553.07 | 18,202.96 | 200 | 36,40,592.00 |
| Total (A) | | 2,28,24,691.20 | 22,824.6912 | 63,401.92 | | 1,05,58,206.80 |
| IGL Kashipur, Udham Singh Nagar | 2014-15 | 99,10,997.28 | 9,911.00 | 27,530.55 | 140 | 38,54,276.72 |
| | 2015-16 | 1,08,42,941.88 | 10,842.94 | 30,119.28 | 170 | 51,20,278.11 |
| | 2016-17 | 64,05,463.80 | 6,405.46 | 17,792.96 | 200 | 35,58,591.00 |
| Total (B) | | 2,71,59,402.96 | 27,159.40296 | 75,442.786 | | 1,25,33,145.83 |
| Total (A + B) | | 4,99,84,094.16 | 49,984.0942 | 1,38,844.706 | | 2,30,91,352.60 Say ₹2.31 crore |

Appendix-2.7.1 B

(Reference: Paragraph 2.7.2.1; Page 105)

Non-levy of Excise Duty on Higher Strength of Foreign Liquor

| Name of Distillery | Year | Bottled (in BL) | Duty not paid on liquor (in AL) | Rate of Duty (in ₹) | Excise Duty (in ₹) |
|---------------------------------|---------|-----------------------|---------------------------------------|------------------------|---|
| IGL Kashipur, Udham Singh Nagar | 2014-15 | 27,09,492.12 | 2,709.49212 | 110 | 2,98,044.1332 |
| | 2015-16 | 43,29,415.80 | 4,329.4158 | 135 | 5,84,471.133 |
| | 2016-17 | 40,58,730.36 | 4,058.73036 | 155 | 6,29,103.2058 |
| Total | | 1,10,97,638.28 | | | 15,11,618.472 Say ₹0.15 crore |

Appendix-2.7.2 A

(Reference: Paragraph 2.7.2.2, Table 2.7.1 Sl. No. 1; Page 105)

Non-achievement of Fermentation Efficiency

| SL. No. | Name of Distillery | Year | OT No. | Molasses Consumed (in Qtl) | FS % age as per report | FS Present in Molasses (in Qtl) | Alcohol Produce as per Norms (64.4 AL per quintal of FS) (in AL) | Alcohol would have been produced by maintaining 84% FE (in AL) | Actual Alcohol in Wash (in AL) | Difference (in AL) | Rate of Duty (in ₹) | Duty Involved (in ₹) |
|---------|-----------------------------|---------------|---------------|----------------------------|------------------------|---------------------------------|--|--|--------------------------------|--------------------|---------------------|----------------------|
| 1 | | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| 1. | IGL, Kashipur (Batch Plant) | 2014-15 | 60, 61, 62 | 24,677 | 44.47 | 10,973.86 | 7,06,716.71 | 5,93,642.03 | 5,90,295.30 | 3,346.73 | 110 | 3,68,141 |
| 2. | | 2014-15 | 77, 78, 79 | 21,972 | 44.49 | 9,775.34 | 6,29,532.08 | 5,28,806.94 | 5,28,547.70 | 259.24 | 110 | 28,517 |
| 3. | | 2014-15 | 92, 93 | 15,560 | 44.37 | 6,903.97 | 4,44,615.80 | 3,73,477.27 | 3,73,210.20 | 267.07 | 110 | 29,378 |
| 4. | | 2014-15 | 95, 96, 97 | 24,776 | 44.48 | 11,020.36 | 7,09,711.49 | 5,96,157.65 | 5,96,031.10 | 126.55 | 110 | 13,921 |
| 5. | | 2014-15 | 122, 123, 124 | 24,851 | 44.49 | 11,056.21 | 7,12,019.92 | 5,98,096.73 | 5,94,167.10 | 3,929.63 | 110 | 4,32,259 |
| 6. | | 2014-15 | 125, 126, 127 | 24,839 | 44.41 | 11,031.00 | 7,10,396.39 | 5,96,732.97 | 5,90,242.70 | 6,490.27 | 110 | 7,13,930 |
| 7. | | 2014-15 | 137, 138, 139 | 23,932 | 42.79 | 10,240.50 | 6,59,488.38 | 5,53,970.24 | 5,50,135.60 | 3,834.64 | 110 | 4,21,810 |
| 8. | | 2014-15 | 140 | 1,850 | 42.68 | 789.58 | 50,848.95 | 42,713.12 | 42,204.60 | 508.52 | 110 | 55,937 |
| 9. | | 2014-15 | 143, 144, 145 | 22,981 | 41.69 | 9,580.78 | 6,17,002.16 | 5,18,281.82 | 5,13,872.30 | 4,409.52 | 110 | 4,85,047 |
| 10. | | 2014-15 | 146, 147, 148 | 21,997 | 42.63 | 9,377.32 | 6,03,899.48 | 5,07,275.56 | 4,99,645.40 | 7,630.16 | 110 | 8,39,318 |
| 11. | | 2014-15 | 149, 150, 151 | 24,773 | 42.61 | 10,555.78 | 6,79,791.93 | 5,71,025.22 | 5,64,701.80 | 6,323.42 | 110 | 6,95,576 |
| 12. | | 2014-15 | 165, 166 | 13,680 | 40.23 | 5,503.46 | 3,54,423.08 | 2,97,715.39 | 2,93,822.40 | 3,892.99 | 110 | 4,28,229 |
| 13. | | 2016-17 | 20, 30, 40 | 25,040 | 41.49 | 10,389.10 | 6,69,057.78 | 5,62,008.54 | 5,61,067.60 | 940.94 | 155 | 1,45,845 |
| 14. | | 2016-17 | 33 | 6,739 | 41.27 | 2,781.19 | 1,79,108.33 | 1,50,451.00 | 1,49,227.80 | 1,223.20 | 155 | 1,89,596 |
| 15. | | 2016-17 | 36, 37, 38 | 25,963 | 41.43 | 10,756.47 | 6,92,716.73 | 5,81,882.05 | 5,74,868.40 | 7,013.65 | 155 | 10,87,116 |
| 16. | | 2016-17 | 45, 46, 47 | 20,205 | 40.95 | 8,273.95 | 5,32,842.22 | 4,47,587.46 | 4,43,938.90 | 3,648.56 | 155 | 5,65,527 |
| 17. | | 2016-17 | 48, 49, 50 | 26,149 | 40.97 | 10,713.25 | 6,89,933.00 | 5,79,543.72 | 5,70,451.10 | 9,092.62 | 155 | 14,09,356 |
| 18. | | 2016-17 | 51, 52, 53 | 22,117 | 41.03 | 9,074.61 | 5,84,404.57 | 4,90,899.84 | 4,89,307.50 | 1,592.34 | 155 | 2,46,812 |
| 19. | | 2016-17 | 55, 56, 57 | 24,091 | 40.09 | 9,658.08 | 6,21,980.47 | 5,22,463.60 | 5,17,897.30 | 4,566.30 | 155 | 7,07,776 |
| 20. | | 2016-17 | 58, 59, 60 | 26,142 | 40.03 | 10,464.64 | 6,73,922.98 | 5,66,095.31 | 5,59,529.90 | 6,565.41 | 155 | 10,17,638 |
| 21. | | 2016-17 | 61, 62, 63 | 26,154 | 39.91 | 10,438.06 | 6,72,211.15 | 5,64,657.37 | 5,58,166.50 | 6,490.87 | 155 | 10,06,085 |
| 22. | | 2016-17 | 64, 65, 66 | 24,129 | 39.89 | 9,625.06 | 6,19,853.74 | 5,20,677.14 | 5,12,954.90 | 7,722.24 | 155 | 11,96,948 |
| 23. | | 2016-17 | 105, 106, 107 | 25,032 | 43.11 | 10,791.30 | 6,94,959.41 | 5,83,765.91 | 5,76,540.90 | 7,225.01 | 155 | 11,19,876 |
| 24. | | 2016-17 | 110, 111, 112 | 16,340 | 43.15 | 7,050.71 | 4,54,065.72 | 3,81,415.21 | 3,80,595.60 | 819.61 | 155 | 1,27,039 |
| 25. | | 2016-17 | 113, 114 | 9,660 | 43.29 | 4,181.81 | 2,69,308.82 | 2,26,219.41 | 2,23,069.90 | 3,149.51 | 155 | 4,88,174 |
| 26. | | 2016-17 | 115 | 8,160 | 43.11 | 3,517.78 | 2,26,544.77 | 1,90,297.61 | 1,88,714.20 | 1,583.41 | 155 | 2,45,429 |
| 27. | | 2016-17 | 116, 117, 118 | 14,403 | 43.17 | 6,217.78 | 4,00,424.72 | 3,36,356.76 | 3,31,945.10 | 4,411.66 | 155 | 6,83,808 |
| 28. | 2014-15 | 91 | 8,825 | 43.49 | 3,837.99 | 2,47,166.72 | 2,07,620.04 | 2,04,662.00 | 2,958.04 | 110 | 3,25,385 | |
| 29. | 2014-15 | 92 | 8,200 | 43.53 | 3,569.46 | 2,29,873.22 | 1,93,093.51 | 1,90,209.10 | 2,884.41 | 110 | 3,17,285 | |
| 30. | 2014-15 | 113, 114 | 13,840 | 43.93 | 6,079.91 | 3,91,546.33 | 3,28,898.92 | 3,28,101.80 | 797.12 | 110 | 87,683 | |
| 31. | 2016-17 | 67 | 1,325 | 39.89 | 528.54 | 34,038.14 | 28,592.04 | 28,553.90 | 38.14 | 155 | 5,911 | |
| 32. | 2016-17 | 91, 92 | 14,614 | 42.97 | 6,279.64 | 4,04,408.55 | 3,39,703.18 | 3,37,506.60 | 2,196.58 | 155 | 3,40,470 | |
| 33. | 2016-17 | 100 | 8,040 | 42.97 | 3,454.79 | 2,22,488.35 | 1,86,890.21 | 1,83,949.10 | 2,941.11 | 155 | 4,55,872 | |
| 34. | 2016-17 | 101, 102, 103 | 19,938 | 43.39 | 8,651.10 | 5,57,130.72 | 4,67,989.81 | 4,61,668.10 | 6,321.71 | 155 | 9,79,865 | |
| 35. | 2016-17 | 119, 120, 121 | 18,613 | 43.07 | 8,016.62 | 5,16,270.27 | 4,33,667.03 | 4,30,761.70 | 2,905.33 | 155 | 4,50,326 | |
| 36. | 2016-17 | 122, 123, 124 | 16,938 | 43.15 | 7,308.75 | 4,70,683.31 | 3,95,373.98 | 3,94,651.30 | 722.68 | 155 | 1,12,015 | |

| | | | | | | | | | | | | | |
|--------------------------------|---|------------------------------|--------------|-----------------|--------------|-----------------|--------------------|--------------------|--------------------|-----------------|--------------|---------------------------------------|----------|
| 37. | IGL, Kashipur (PARAJ/Continuous Plant) | 2014-15 | 61, 62, 63 | 24,717 | 44.48 | 10,994.12 | 7,08,021.43 | 5,94,738.00 | 5,92,549.60 | 2,188.40 | 110 | 2,40,724 | |
| 38. | | 2014-15 | 64, 65, 66 | 24,711 | 44.47 | 10,988.98 | 7,07,690.42 | 5,94,459.95 | 5,90,711.60 | 3,748.35 | 110 | 4,12,319 | |
| 39. | | 2014-15 | 76 | 8,226 | 44.47 | 3,658.10 | 2,35,581.78 | 1,97,888.70 | 1,96,465.60 | 1,423.10 | 110 | 1,56,541 | |
| 40. | | 2014-15 | 77, 78, 79 | 23,812 | 44.51 | 10,598.72 | 6,82,557.65 | 5,73,348.42 | 5,72,418.40 | 930.02 | 110 | 1,02,302 | |
| 41. | | 2014-15 | 92, 93, 94 | 20,205 | 42.77 | 8,641.68 | 56,524.10 | 4,67,480.24 | 4,60,962.80 | 6,517.44 | 110 | 7,16,918 | |
| 42. | | 2014-15 | 99, 100, 101 | 16,503 | 40.29 | 6,649.06 | 4,28,199.38 | 3,59,687.48 | 3,57,085.60 | 2,601.88 | 110 | 2,86,207 | |
| 43. | | 2015-16 | 50, 51 | 13,551 | 41.23 | 5,587.08 | 3,59,807.78 | 3,02,238.53 | 3,02,059.10 | 179.43 | 135 | 24,224 | |
| 44. | | 2015-16 | 76, 77 | 6,724 | 42.11 | 2,831.48 | 1,82,347.08 | 1,53,171.55 | 1,52,767.60 | 403.95 | 135 | 54,533 | |
| 45. | | 2016-17 | 08, 09 | 15,430 | 41.65 | 6,426.60 | 4,13,872.72 | 3,47,653.08 | 3,45,978.00 | 1,675.08 | 155 | 2,59,638 | |
| 46. | | 2016-17 | 10, 11, 12 | 24,212 | 41.11 | 9,953.55 | 6,41,008.83 | 5,38,447.41 | 5,35,386.90 | 3,060.51 | 155 | 4,74,380 | |
| 47. | | 2016-17 | 18, 19, 20 | 24,042 | 41.39 | 9,950.98 | 6,40,843.36 | 5,38,308.42 | 5,32,455.40 | 5,853.02 | 155 | 9,07,218 | |
| 48. | | 2016-17 | 27, 28, 29 | 13,566 | 40.97 | 5,557.99 | 3,57,934.57 | 3,00,665.04 | 2,97,400.00 | 3,265.04 | 155 | 5,06,081 | |
| 49. | | 2016-17 | 39, 40, 41 | 21,234 | 39.99 | 8,491.48 | 5,46,851.09 | 4,59,354.92 | 4,57,725.30 | 1,629.62 | 155 | 2,52,591 | |
| 50. | | 2016-17 | 42, 43, 44 | 20,334 | 39.85 | 8,103.10 | 5,21,839.58 | 4,38,345.24 | 4,36,812.70 | 1,532.54 | 155 | 2,37,544 | |
| 51. | | 2016-17 | 61, 62, 63 | 18,076 | 43.01 | 7,774.49 | 5,00,677.00 | 4,20,568.68 | 4,18,652.90 | 1,915.78 | 155 | 2,96,946 | |
| 52. | | 2016-17 | 70, 71, 72 | 21,181 | 43.25 | 9,160.78 | 5,89,954.39 | 4,95,561.69 | 4,93,055.60 | 2,506.09 | 155 | 3,88,444 | |
| 53. | | IGL, PARAJ/Cont.(Bacardi) | 2014-15 | 03, 04, 05 | 2,283 | 44.55 | 1,017.08 | 65,499.73 | 55,019.77 | 54,476.70 | 543.07 | 110 | 59,738 |
| 54. | | | 2016-17 | 01, 02, 03 | 2,984 | 41.39 | 1,235.08 | 79,539.00 | 66,812.76 | 66,733.60 | 79.16 | 155 | 12,269 |
| 55. | | | 2016-17 | 31, 32, 33 | 2,880 | 43.09 | 1,240.99 | 79,919.88 | 67,132.70 | 66,382.90 | 749.80 | 155 | 1,16,220 |
| Total (rounded off) - A | | | | 9,61,216 | 2,333 | 4,07,330 | 2,62,32,056 | 2,20,34,927 | 2,18,65,296 | 1,69,631 | 7,495 | 2,33,28,734 | |
| 56. | RBNS Sugar Mills, Disttl. Div., Luxar, Haridwar | 2015-16 | 77, 78, 79 | 19,200 | 42.91 | 8,238.72 | 5,30,573.57 | 4,45,681.80 | 4,45,180.80 | 501.00 | 135 | 67,635 | |
| 57. | | 2016-17 | 44, 45, 46 | 12,885 | 43.71 | 5,632.03 | 3,62,702.96 | 3,04,670.48 | 3,03,012.40 | 1,658.08 | 155 | 2,57,003 | |
| 58. | | 2016-17 | 47, 48, 49 | 16,800 | 43.77 | 7,353.36 | 4,73,556.38 | 3,97,787.36 | 3,97,361.70 | 425.66 | 155 | 65,978 | |
| Total (rounded off) - B | | | | 48,885 | 130 | 21,224 | 13,66,833 | 11,48,140 | 11,45,555 | 2,585 | 445 | 3,90,615 | |
| 59. | Doon Valley Disttl, Kuanwala, Dehradun | 2014-15 | 22, 23, 24 | 4,128 | 37.23 | 1,536.85 | 98,973.42 | 83,137.68 | 82,394.56 | 743.12 | 110 | 8,1743 | |
| 60. | | 2014-15 | 73, 74, 75 | 4,238 | 37.79 | 1,601.54 | 1,03,139.19 | 86,636.92 | 83,918.03 | 2,718.89 | 110 | 2,99,078 | |
| 61. | | 2015-16 | 25, 26, 27 | 3,957 | 39.45 | 1,561.04 | 1,00,530.75 | 84,445.83 | 84,411.38 | 34.45 | 135 | 4,651 | |
| 62. | | 2016-17 | 25, 26, 27 | 4,324 | 41.11 | 1,777.60 | 1,14,477.21 | 96,160.85 | 96,067.91 | 92.94 | 155 | 14,406 | |
| 63. | | 2016-17 | 22, 23, 24 | 3,780 | 38.71 | 1,463.24 | 94,232.53 | 79,155.32 | 79,141.64 | 13.68 | 155 | 2,121 | |
| Total (rounded off) - C | | | | 20,427 | 194 | 7,940 | 5,11,353 | 4,29,537 | 4,25,934 | 3,603 | 665 | 4,01,999 | |
| Grand Total (A + B + C) | | | | | | | 2,81,10,242 | 2,36,12,603 | 2,34,36,784 | 1,75,819 | | 2,41,21,348 Say ₹2.41 crore | |

Appendix-2.7.2 B

(Reference: Paragraph 2.7.2.2, Table 2.7.1, Sl. No. 2; Page 106)

Non-achievement of minimum Distillation Efficiency (DE)

| Name of distillery | Period | Alcohol Present in Wash (in AL) | Alcohol would have been produced by maintaining 97% Distillation efficiency (in AL) | Actual Alcohol produced (in AL) | Difference (in AL) | Rate of Excise Duty (₹ per AL) | Excise Duty Involved |
|--|--------------------------|------------------------------------|--|------------------------------------|-----------------------|-----------------------------------|--|
| R.B.N.S. Sugar mill Distillery Division Laksar | 15.04.2015 to 17.04.2015 | 1,62,339.00 | 1,57,468.83 | 1,51,699.50 | 5,769.33 | 135 | 7,78,860 |
| | 04.06.2015 to 05.06.2015 | 1,06,525.30 | 1,03,329.54 | 1,01,349.40 | 1,980.14 | 135 | 2,67,319 |
| Doon valley Distillery Kuanwala Dehradun | 18.04.2014 to 20.04.2014 | 30,154.10 | 29,249.48 | 29,234.40 | 15.08 | 110 | 1,658 |
| | 30.05.2015 to 02.06.2015 | 22,273.85 | 21,605.63 | 20,625.10 | 980.53 | 135 | 1,32,372 |
| | 12.10.2015 to 15.10.2015 | 31,279.75 | 30,341.36 | 28410.00 | 1,931.36 | 135 | 2,60,733 |
| | 21.12.2015 to 23.12.2015 | 32,104.25 | 31,141.12 | 31,097.60 | 43.52 | 135 | 5,876 |
| | 19.06.2016 to 17.06.2016 | 26,319.93 | 25,530.33 | 24,791.20 | 739.13 | 155 | 1,14,565 |
| Total | | 4,10,996.18 | 3,98,666.29 | 3,87,207.20 | 11,459.09 | | 15,61,383 Say ₹0.16 crore |

Appendix-2.7.2 C

(Reference: Paragraph 2.7.2.2, Table No. 2.7.1, Sl. No. 3; Page 106)

Transit loss of Total Reducing Sugar (TRS)

| Name of Distillery | Year | Molasses received (in quintal) | Detail of TRS (in%) | | | Difference in quintal of TRS | Quantity of FS (88% of TRS) (in quintal) | Quantity of Alcohol Produced (52.5 Al Per Quintal of FS) | Rate of Excise Duty (₹/AL) | Duty involved (in ₹) |
|--|----------|--------------------------------|---------------------|-------------|-------------|------------------------------|--|--|----------------------------|-----------------------------------|
| | | | Dispatched | Received | Difference | | | | | |
| R.B.N.S.Sugar Mills, Distillery Division Luxar, Haridwar | 2014-15 | 336.95 | 46.27 | 46.23 | 0.04 | 0.13478 | 0.1186064 | 6.226836 | 110 | 685 |
| | 2014-15 | 340.40 | 46.23 | 46.10 | 0.13 | 0.44252 | 0.3894176 | 20.444424 | 110 | 2,249 |
| | 2014-15 | 345.80 | 46.23 | 46.10 | 0.13 | 0.44954 | 0.3955952 | 20.768748 | 110 | 2,285 |
| | 2014-15 | 355.60 | 46.23 | 46.10 | 0.13 | 0.46228 | 0.4068064 | 21.357336 | 110 | 2,349 |
| | 2014-15 | 351.60 | 46.23 | 46.10 | 0.13 | 0.45708 | 0.4022304 | 21.117096 | 110 | 2,323 |
| | 2014-15 | 336.75 | 46.23 | 46.10 | 0.13 | 0.437775 | 0.385242 | 20.225205 | 110 | 2,225 |
| | 2014-15 | 348.20 | 46.23 | 46.10 | 0.13 | 0.45266 | 0.3983408 | 20.912892 | 110 | 2,300 |
| | 2014-15 | 350.00 | 46.23 | 46.10 | 0.13 | 0.455 | 0.4004 | 21.021 | 110 | 2,312 |
| | 2014-15 | 352.20 | 46.23 | 46.10 | 0.13 | 0.45786 | 0.4029168 | 21.153132 | 110 | 2,327 |
| | 2014-15 | 334.50 | 46.23 | 46.10 | 0.13 | 0.43485 | 0.382668 | 20.09007 | 110 | 2,210 |
| | 2014-15 | 349.00 | 46.23 | 46.10 | 0.13 | 0.4537 | 0.399256 | 20.96094 | 110 | 2,306 |
| | 2014-15 | 334.70 | 46.23 | 46.10 | 0.13 | 0.43511 | 0.3828968 | 20.102082 | 110 | 2,211 |
| | 2015-16 | 6,265.00 | 47.20 | 47.00 | 0.20 | 12.53 | 11.0264 | 578.886 | 135 | 78,150 |
| | 2016-17 | 3,325.00 | 46.92 | 46.20 | 0.72 | 23.94 | 21.0672 | 1,106.028 | 155 | 1,71,434 |
| 2016-17 | 5,530.00 | 46.90 | 46.20 | 0.70 | 38.71 | 34.0648 | 1,788.402 | 155 | 2,77,202 | |
| Total (A) | | 19,255.70 | | | | 80.253155 | | 3,707.695761 | | 5,52,568 |
| Bazpur Distillery, Bazpur, Udham Singh Nagar | 2015-16 | 941.85 | 45.56 | 45.5 | 0.06 | 0.56511 | 0.4972968 | 26.108082 | 135 | 3,525 |
| Total (B) | | 941.85 | 45.56 | 45.5 | 0.06 | 0.56511 | 0.4972968 | 26.108082 | 135 | 3,525 |
| Grand Total (A +B) | | 20,197.55 | | | | 80.818265 | 71.120073 | 3733.8038 | | 5,56,093 Say ₹5.56 lakh |

Appendix-2.7.2 D

(Reference: Paragraph 2.7.2.2, Table No. 2.7.1, Sl. No. 3; Page 106)

Transit loss of Molasses

| Name of Distillery | Year | TRS (%) | Detail of Molasses (in quintal) | | | Difference in quintal of TRS | Quantity of FS (88% of TRS in Quintal) | Quantity of Alcohol Produced (52.5 Al Per Quintal of FS) | Rate of Excise Duty (₹/AL) | Duty involved (in ₹) |
|--|---------|---------|---------------------------------|----------|------------|------------------------------|--|--|----------------------------|---|
| | | | Dispatched | Received | Difference | | | | | |
| R.B.N.S.Sugar Mills Distillery Division Luxar Haridwar | 2016-17 | 47.2 | 3,255 | 3,225 | 30 | 14.16 | 12.4608 | 65,4.19 | 135 | 88,316 Say ₹ 0.88 lakh |
| Total of (Annexure C + D) | | | | | | | | | | ₹ 6.44 lakh (say ₹0.06 crore) |

Appendix-2.7.3

(Reference: Paragraph 2.7.3.1; Pages 109 and 110)

Unauthorised production during rainy season

| Sl. No. | Name of Distillery | Year | Period | Out Turn No. | Production (in AL) | Excise Duty/AL | Rate of Penalty/AL (10 times of excise duty) | Penalty (in ₹) | Fine U/s 15 of Environment Protection Act, 1986 | Total Penalty including Fine (in ₹) |
|----------------------------|--|----------------------|----------------------|----------------------|---------------------|----------------|--|--------------------------|---|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 (Col. 7*10) | 9 (Col.6*Col.8) | 10 | 11 (Col. 9+Col.10) |
| 1. | R.B.N.S. Sugar mills Ltd. Distillery Division, Luxar, Haridwar | 2015-16 | 12.09.15 to 16.09.15 | 37 | 1,49,887.10 | 135.00 | 1,350 | 20,23,47,585.00 | 1,00,000 | 20,24,47,585.00 |
| 2. | | 2016-17 | 30-08-16 to 01-09-16 | 27 | 1,00,964.00 | 155.00 | 1,550 | 15,64,94,200.00 | 1,00,000 | 15,65,94,200.00 |
| 3. | | | 01-09-16 to 04-09-16 | 28 | 1,91,777.10 | 155.00 | 1,550 | 29,72,54,505.00 | 1,00,000 | 29,73,54,505.00 |
| 4. | | | 05-09-16 to 06-09-16 | 29 | 64,110.30 | 155.00 | 1,550 | 9,93,70,965.00 | 1,00,000 | 9,94,70,965.00 |
| 5. | | | 07-09-16 to 09-09-16 | 30 | 81,691.00 | 155.00 | 1,550 | 12,66,21,050.00 | 1,00,000 | 12,67,21,050.00 |
| 6. | | | 10-09-16 to 12-09-16 | 31 | 80,171.80 | 155.00 | 1,550 | 12,42,66,290.00 | 1,00,000 | 12,43,66,290.00 |
| 7. | | | 14-09-16 to 15-09-16 | 32 | 58,777.00 | 155.00 | 1,550 | 9,11,04,350.00 | 1,00,000 | 9,12,04,350.00 |
| 8. | | | 17-09-16 to 18-09-16 | 33 | 60,500.70 | 155.00 | 1,550 | 9,37,76,085.00 | 1,00,000 | 9,38,76,085.00 |
| 9. | | | 20-09-16 to 21-09-16 | 34 | 59,919.20 | 155.00 | 1,550 | 9,28,74,760.00 | 1,00,000 | 9,29,74,760.00 |
| 10. | | | 26-09-16 to 27-09-16 | 35 | 58,777.00 | 155.00 | 1,550 | 9,11,04,350.00 | 1,00,000 | 9,12,04,350.00 |
| Total (A) | | | | | 9,06,575.20 | | | 1,37,52,14,140.00 | 10,00,000 | 1,37,62,14,140.00 |
| 11. | Doon Valley Distillery, Kuanwala, Dehradun | 2016-17 | 03-07-16 to 06-07-16 | 23 | 26,015.60 | 155.00 | 1,550 | 4,03,24,180.00 | 1,00,000 | 4,04,24,180.00 |
| 12. | | | 07-07-16 to 09-07-16 | 24 | 22,338.30 | 155.00 | 1,550 | 3,46,24,365.00 | 1,00,000 | 3,47,24,365.00 |
| Total (B) | | | | | 48,353.90 | | | 7,49,48,545.00 | 2,00,000 | 7,51,48,545.00 |
| 13. | Bazpur Distillery, Bazpur, U.S. Nagar | 2014-15 | 25-09-14 to 01-10-14 | 9 | 82,960.20 | 110.00 | 1,100 | 9,12,56,220.00 | 1,00,000 | 9,13,56,220.00 |
| 14. | | 2015-16 | 12-08-15 to 19-08-15 | 14 | 66,968.60 | 135.00 | 1,350 | 9,04,07,610.00 | 1,00,000 | 9,05,07,610.00 |
| 15. | | | 20-08-15 to 22-08-15 | 15 | 58,204.60 | 135.00 | 1,350 | 7,85,76,210.00 | 1,00,000 | 7,86,76,210.00 |
| 16. | | | 22-08-15 to 25-08-15 | 16 | 65,994.10 | 135.00 | 1,350 | 8,90,92,035.00 | 1,00,000 | 8,91,92,035.00 |
| 17. | | | 25-08-15 to 28-08-15 | 17 | 52,224.50 | 135.00 | 1,350 | 7,05,03,075.00 | 1,00,000 | 7,06,03,075.00 |
| 18. | | | 29-08-15 to 31-08-15 | 18 | 55,616.10 | 135.00 | 1,350 | 7,50,81,735.00 | 1,00,000 | 7,51,81,735.00 |
| 19. | | | 01-09-15 to 06-09-15 | 19 | 71,232.90 | 135.00 | 1,350 | 9,61,64,415.00 | 1,00,000 | 9,62,64,415.00 |
| 20. | | | 06-09-15 to 08-09-15 | 20 | 61,495.10 | 135.00 | 1,350 | 8,30,18,385.00 | 1,00,000 | 8,31,18,385.00 |
| 21. | | | 09-09-15 to 11-09-15 | 21 | 66,214.80 | 135.00 | 1,350 | 8,93,89,980.00 | 1,00,000 | 8,94,89,980.00 |
| 22. | | | 12-09-15 to 13-09-15 | 22 | 40,375.00 | 135.00 | 1,350 | 5,45,06,250.00 | 1,00,000 | 5,46,06,250.00 |
| 23. | | | 2016-17 | 01-07-16 to 05-07-16 | 2 | 77,222.50 | 155.00 | 1,550 | 11,96,94,875.00 | 1,00,000 |
| 24. | | 05-07-16 to 07-07-16 | | 3 | 63,902.90 | 155.00 | 1,550 | 9,90,49,495.00 | 1,00,000 | 9,91,49,495.00 |
| 25. | | 08-07-16 to 11-07-16 | 4 | 59,023.70 | 155.00 | 1,550 | 9,14,86,735.00 | 1,00,000 | 9,15,86,735.00 | |
| Total (C) | | | | | 8,21,435.00 | | | 1,12,82,27,020.00 | 13,00,000 | 1,12,95,27,020.00 |
| Grand Total (A+B+C) | | | | | 17,76,364.10 | | | 2,57,83,89,705.00 | 25,00,000 | 2,58,08,89,705.00 (Say ₹258.09 crore) |

Appendix-2.7.4
(Reference: Paragraph 2.7.3.2; Pages 110 and 111)
Production in excess of daily production capacity

| Sl. No. | Name Of Distillery and daily production capacity (in BL) | Period of Production | Days | Production (in BL) | Production would have been as per daily capacity | Excess Production (in BL) | Average Strength (in %) | Excess Production (in AL) | Rate of Penalty/AL @ 10 times of Excise Duty | Penalty (in ₹) | Fine U/s 15 of Environment Protection Act, 1986 |
|------------------|---|---------------------------------------|------|--------------------|--|---------------------------|-------------------------|---------------------------|--|---------------------------------------|---|
| 1. | RBNS Sugar Mills Ltd, Distillery Division, Luxar, Haridwar 60,000 | 14.05.14/0700 to 16.05.14/1200 | 3 | 1,85,008.35 | 1,80,000 | 5,008.35 | 94.36 | 4,725.88 | 1,100 | 51,98,466.97 | 1,00,000 |
| 2. | | 02.03.16/1545 to 05.03.16/0315 | 3 | 1,92,319.70 | 1,80,000 | 12,319.70 | 99.8 | 12,295.06 | 1,350 | 1,65,98,331.81 | 1,00,000 |
| 3. | | 30.04.16/1545 to 02.05.16/1515 | 2 | 1,40,973.70 | 1,20,000 | 20,973.70 | 99.80 | 20,931.75 | 1,550 | 3,24,44,216.53 | 1,00,000 |
| 4. | | 03.05.16/0330 to 05.05.16/1415 | 3 | 1,84,136.90 | 1,80,000 | 4,136.90 | 99.80 | 4,128.63 | 1,550 | 63,99,370.61 | 1,00,000 |
| 5. | | 06.05.16/0200 to 08.05.16/1300 | 3 | 1,84,135.90 | 1,80,000 | 4,135.90 | 99.80 | 4,127.63 | 1,550 | 63,97,823.71 | 1,00,000 |
| 6. | | 09.05.16/0100 to 11.05.16/1145 | 3 | 1,83,933.90 | 1,80,000 | 3,933.90 | 99.80 | 3,926.03 | 1,550 | 60,85,349.91 | 1,00,000 |
| 7. | | 11.05.16/2330 to 13.05.16/1130 | 2 | 1,28,385.00 | 1,20,000 | 8,385.00 | 99.80 | 8,368.23 | 1,550 | 12,97,0,756.50 | 1,00,000 |
| 8. | | 22.05.16/1200 to 24.05.16/2300 | 3 | 1,84,136.10 | 1,80,000 | 4,136.10 | 99.80 | 4,127.83 | 1,550 | 63,98,133.09 | 1,00,000 |
| 9. | | 25.05.16/1100 to 27.05.16/0800 | 2 | 1,53,341.60 | 1,20,000 | 33,341.60 | 99.80 | 3,3274.92 | 1,550 | 5,15,76,121.04 | 1,00,000 |
| 10. | | 27.05.16/1900 to 28.05.16/0630 | 1 | 63,297.00 | 60,000 | 3,297.00 | 99.80 | 3,290.41 | 1,550 | 51,00,129.30 | 1,00,000 |
| 11. | | 05.12.16/1230 to 07.12.16/1345 | 2 | 1,43,131.30 | 1,20,000 | 23,131.30 | 96.73 | 22,374.91 | 1,550 | 3,46,81,105.06 | 1,00,000 |
| 12. | | 25.01.17/1545 to 27.01.17/1245 | 2 | 1,26,036.40 | 1,20,000 | 6,036.40 | 98.27 | 5,931.97 | 1,550 | 91,94,553.93 | 1,00,000 |
| 13. | | 28.01.17/0200 to 29.01.17/1730 | 2 | 1,28,447.40 | 1,20,000 | 8,447.40 | 97.50 | 8,236.21 | 1,550 | 1,27,66,133.25 | 1,00,000 |
| 14. | | 30.01.17/0800 to 30.01.17/2200 | 1 | 64,077.70 | 60,000 | 4,077.70 | 95.20 | 3,881.97 | 1,550 | 60,17,054.12 | 1,00,000 |
| 15. | | 02.02.17/0600 to 03.02.17/2230 | 2 | 1,28,451.20 | 1,20,000 | 8,451.20 | 97.50 | 8,239.92 | 1,550 | 1,27,71,876.00 | 1,00,000 |
| 16. | | 04.02.17/1100 to 06.02.17/0045 | 2 | 1,28,589.20 | 1,20,000 | 8,589.20 | 97.50 | 8,374.47 | 1,550 | 1,29,80,428.50 | 1,00,000 |
| 17. | | 06.02.17/1215 to 08.02.17/2330 | 3 | 1,84,770.00 | 1,80,000 | 4,770.00 | 98.27 | 4,687.48 | 1,550 | 72,65,592.45 | 1,00,000 |
| 18. | | 09.02.17/1130 to 11.02.17/2145 | 3 | 1,87,746.60 | 1,80,000 | 7,746.60 | 96.73 | 7,493.29 | 1,550 | 1,16,14,593.58 | 1,00,000 |
| 19. | | 12.02.17/1100 to 14.02.17/2215 | 3 | 1,88,070.30 | 1,80,000 | 8,070.30 | 96.73 | 7,806.40 | 1,550 | 1,20,99,921.84 | 1,00,000 |
| 20. | | 15.02.17/0930 to 17.02.17/1645 | 3 | 1,87,254.80 | 1,80,000 | 7,254.80 | 97.50 | 7,073.43 | 1,550 | 1,09,63,816.50 | 1,00,000 |
| 21. | | 18.02.17/0330 to 20.02.17/1415 | 3 | 1,88,062.40 | 1,80,000 | 8,062.40 | 96.73 | 7,798.76 | 1,550 | 1,20,88,077.26 | 1,00,000 |
| 22. | | 21.02.17/0200 to 23.02.17/1230 | 3 | 1,88,102.00 | 1,80,000 | 8,102.00 | 96.73 | 7,837.06 | 1,550 | 1,21,47,450.13 | 1,00,000 |
| 23. | | 23.02.17/2345 to 25.02.17/1000 | 2 | 1,21,715.10 | 1,20,000 | 1,715.10 | 99.80 | 1,711.67 | 1,550 | 26,53,088.19 | 1,00,000 |
| 24. | | 28.02.17/1015 to 02.03.17/2215 | 3 | 1,81,485.60 | 1,80,000 | 1,485.60 | 96.73 | 1,437.02 | 1,550 | 22,27,382.36 | 1,00,000 |
| 25. | | 03.03.17/1000 to 05.03.17/2045 | 3 | 1,82,709.50 | 1,80,000 | 2,709.50 | 96.73 | 2,620.90 | 1,550 | 40,62,393.99 | 1,00,000 |
| 26. | | 06.03.17/0800 to 08.03.17/0400 | 2 | 1,53,219.80 | 1,20,000 | 33,219.80 | 97.50 | 32,389.31 | 1,550 | 5,02,03,422.75 | 1,00,000 |
| 27. | | 30.03.17/0330 to 31.03.17/0315 | 1 | 92,831.10 | 60,000 | 32,831.10 | 95.20 | 31,255.21 | 1,550 | 4,84,45,571.16 | 1,00,000 |
| Total (A) | | | | | | 2,74,368.55 | | 2,68,346.35 | | 41,13,51,160.55 (₹41.14 crore) | 27,00,000 |
| 28. | Bazpur Distillery, Bazpur, Udham Singh Nagar 20,000 | 27.03.14/12.30 PM to 29.03.14/7.40 PM | 3 | 73,862.60 | 60,000 | 13,862.60 | 93.93 | 13,021.14 | 1,100 | 1,43,23,254.20 | 1,00,000 |
| 29. | | 30.03.14/3.15 AM to 01.04.14/10.00 AM | 3 | 73,580.30 | 60,000 | 13,580.30 | 94.27 | 12,802.15 | 1,100 | 1,40,82,363.69 | 1,00,000 |
| 30. | | 01.04.14/3.35 PM to 04.04.14/10.00 AM | 3 | 74,938.50 | 60,000 | 14,938.50 | 93.97 | 14,037.71 | 1,100 | 1,54,41,479.30 | 1,00,000 |
| 31. | | 08.04.14/5.45 AM to 10.04.14/2.45 PM | 3 | 72,796.20 | 60,000 | 12,796.20 | 97.90 | 12,527.48 | 1,100 | 1,37,80,227.78 | 1,00,000 |
| 32. | | 10.04.14/11 PM to 13.04.2014/12.25 AM | 3 | 65,779.80 | 60,000 | 5,779.80 | 97.90 | 5,658.42 | 1,100 | 62,24,266.62 | 1,00,000 |
| 33. | | 18.04.14/3.10 AM to 20.04.14/11.30 AM | 3 | 60,196.80 | 60,000 | 196.80 | 98.30 | 193.45 | 1,100 | 2,12,799.84 | 1,00,000 |

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| Sl. No. | Name Of Distillery and daily production capacity (in BL) | Period of Production | Days | Production (in BL) | Production would have been as per daily capacity | Excess Production (in BL) | Average Strength (in %) | Excess Production (in AL) | Rate of Penalty/AL @ 10 times of Excise Duty | Penalty (in ₹) | Fine U/s 15 of Environment Protection Act, 1986 |
|--------------------|--|--|------|--------------------|--|---------------------------|-------------------------|---------------------------|--|---|---|
| 34. | | 24.10.14/11 AM to 26.10.14/3.15 PM | 3 | 62,567.60 | 60,000 | 2,567.60 | 94.40 | 2,423.81 | 1,100 | 26,66,195.84 | 1,00,000 |
| 35. | | 09.11.14/9.25 AM to 12.11.14/4.10 AM | 3 | 61,016.70 | 60,000 | 1,016.70 | 94.93 | 965.15 | 1,100 | 10,61,668.64 | 1,00,000 |
| 36. | | 20.12.14/11 AM to 24.12.20/2.05 AM | 4 | 81,367.00 | 80,000 | 1,367.00 | 95.90 | 1,310.95 | 1,100 | 14,42,048.30 | 1,00,000 |
| 37. | | 26.01.15/11.50 AM to 30.01.15/9.00 AM | 4 | 89,126.00 | 80,000 | 9,126.00 | 95.40 | 8,706.20 | 1,100 | 9576824.40 | 1,00,000 |
| 38. | | 07.02.15/9.00 AM to 10.02.15/11.30 PM | 4 | 84,307.30 | 80,000 | 4,307.30 | 94.17 | 4,056.18 | 1,100 | 44,61,802.85 | 1,00,000 |
| 39. | | 14.02.15/8.00 PM to 18.02.15/9.20 AM | 4 | 84,080.00 | 80,000 | 4,080.00 | 94.03 | 3,836.42 | 1,100 | 42,20,066.40 | 1,00,000 |
| 40. | | 16.05.15/03.00 PM to 18.05.15/3.50 PM | 3 | 63,056.40 | 60,000 | 3,056.40 | 98.97 | 3,024.92 | 1,350 | 40,83,640.76 | 1,00,000 |
| 41. | | 04.06.15/4.00 PM to 07.06.15/6.10 AM | 3 | 66,840.20 | 60,000 | 6,840.20 | 94.20 | 6,443.47 | 1,350 | 86,98,682.34 | 1,00,000 |
| 42. | | 30.09.15/2.00 PM to 02.10.15/8.10 PM | 3 | 65,995.70 | 60,000 | 5,995.70 | 94.33 | 5,655.74 | 1,350 | 76,35,254.14 | 1,00,000 |
| 43. | | 03.10.15/4.00 AM to 05.10.15/End of day | 3 | 76,284.40 | 60,000 | 16,284.40 | 94.40 | 1,5372.47 | 1,350 | 2,07,52,839.36 | 1,00,000 |
| 44. | | 6.10.15/Start of day to 8.10.15/ End of day | 3 | 61,106.00 | 60,000 | 1,106.00 | 94.27 | 1,042.63 | 1,350 | 14,07,545.37 | 1,00,000 |
| 45. | | 6.11.15/ Start of day TO 8.11.15/ End of day | 3 | 64,439.50 | 60,000 | 4,439.50 | 94.70 | 4,204.21 | 1,350 | 56,75,678.78 | 1,00,000 |
| 46. | | 8.11.15/ Start of day to 10.11.15/ End of day | 3 | 60,267.80 | 60,000 | 267.80 | 94.77 | 253.79 | 1,350 | 3,42,621.98 | 1,00,000 |
| 47. | | 23.11.15/ Start of day to 25.11.15/ End of day | 3 | 66,687.00 | 60,000 | 6,687.00 | 94.73 | 6,334.60 | 1,350 | 85,51,703.39 | 1,00,000 |
| 48. | | 16.12.15/ Start of day to 18.12.15/ End of day | 3 | 67,468.00 | 60,000 | 7,468.00 | 94.97 | 7,092.36 | 1,350 | 95,74,685.46 | 1,00,000 |
| 49. | | 27.12.15/ Start of day to 29.12.15/ End of day | 3 | 64,620.40 | 60,000 | 4,620.40 | 95.50 | 4,412.48 | 1,350 | 59,56,850.70 | 1,00,000 |
| 50. | | 30.12.15/ Start of day to 01.01.16/ End of day | 3 | 66,676.80 | 60,000 | 6,676.80 | 95.20 | 6,356.31 | 1,350 | 85,81,023.36 | 1,00,000 |
| 51. | | 17.02.16/ Start of day to 19.02.16/ End of day | 3 | 70,368.00 | 60,000 | 10,368.00 | 94.80 | 9,828.86 | 1,350 | 1,32,68,966.40 | 1,00,000 |
| 52. | | 05.03.16/ Start of day to 07.03.16/ End of day | 3 | 65,400.00 | 60,000 | 5,400.00 | 94.63 | 5,110.02 | 1,550 | 79,20,531.00 | 1,00,000 |
| 53. | | 14.03.16/ Start of day to 16.03.16/ End of day | 3 | 65,720.70 | 60,000 | 5,720.70 | 94.20 | 5,388.90 | 1,550 | 83,52,794.07 | 1,00,000 |
| 54. | | 17.03.16/ Start of day to 19.03.16/ End of day | 3 | 72,835.10 | 60,000 | 12,835.10 | 93.87 | 12,048.31 | 1,550 | 1,86,74,877.97 | 1,00,000 |
| 55. | | 28.03.16/ Start of day to 30.03.16/ End of day | 3 | 67,162.30 | 60,000 | 7,162.30 | 94.23 | 6,749.04 | 1,550 | 1,04,61,004.70 | 1,00,000 |
| 56. | | 29.06.16/10.00 AM to 02.07.16/07.35 AM | 3 | 69,284.50 | 60,000 | 9,284.50 | 93.83 | 8,711.65 | 1,550 | 1,35,03,051.84 | 1,00,000 |
| 57. | | 22.10.16/3.10 AM to 24.10.16/10.45 PM | 3 | 78,149.50 | 60,000 | 18,149.50 | 94.40 | 17,133.13 | 1,550 | 2,65,56,348.40 | 1,00,000 |
| 58. | | 28.10.16/8.45 AM to 30.10.16/11.45 AM | 3 | 68,463.50 | 60,000 | 8,463.50 | 94.77 | 8,020.86 | 1,550 | 1,24,32,331.37 | 1,00,000 |
| 59. | | 31.10.16/7.40 AM to 03.11.16/2.15 AM | 3 | 69,380.60 | 60,000 | 9,380.60 | 94.70 | 8,883.43 | 1,550 | 1,37,69,313.71 | 1,00,000 |
| 60. | | 03.11.16/10.15 AM to 06.11.16/4.30 AM | 3 | 78,466.00 | 60,000 | 18,466.00 | 94.77 | 17,500.23 | 1,550 | 2,71,25,353.71 | 1,00,000 |
| 61. | | 06.11.16/12.35 PM to 08.11.16/12 Morning | 2 | 63,281.00 | 40,000 | 23,281.00 | 95.70 | 22,279.92 | 1,550 | 3,45,33,871.35 | 1,00,000 |
| 62. | | 09.11.16/9.00 AM to 11.11.16/5.30 PM | 3 | 68,671.10 | 60,000 | 8,671.10 | 94.93 | 8,231.48 | 1,550 | 1,27,58,786.61 | 1,00,000 |
| 63. | | 17.11.16/3.00 PM to 18.11.16/11.00 PM | 2 | 53,882.50 | 40,000 | 13,882.50 | 95.73 | 13,289.72 | 1,550 | 2,05,99,061.74 | 1,00,000 |
| 64. | | 16.12.16/4.00 AM to 18.12.16/10.20 PM | 3 | 67,882.30 | 60,000 | 7,882.30 | 95.45 | 7,523.66 | 1,550 | 1,16,61,665.79 | 1,00,000 |
| 65. | | 19.12.16/7.00 AM to 21.12.16/4.20 PM | 3 | 66,703.60 | 60,000 | 6,703.60 | 95.70 | 6,415.35 | 1,550 | 99,43,785.06 | 1,00,000 |
| 66. | | 31.12.16/8.45 PM to 03.01.17/6.35 AM | 3 | 76,313.70 | 60,000 | 16,313.70 | 95.57 | 15,591.00 | 1,550 | 2,41,66,054.79 | 1,00,000 |
| 67. | | 03.01.17/3.15 PM to 06.01.17/4.20 AM | 3 | 64,336.00 | 60,000 | 4,336.00 | 95.50 | 4,140.88 | 1,550 | 64,18,364.00 | 1,00,000 |
| 68. | | 11.01.17/6.50 AM to 13.01.17/8.00 PM | 3 | 71,758.90 | 60,000 | 11,758.90 | 95.80 | 11,265.03 | 1,550 | 1,74,60,790.61 | 1,00,000 |
| 69. | | 17.01.17/10.25 PM to 20.01.17/10.00 AM | 3 | 65,220.50 | 60,000 | 5,220.50 | 95.87 | 5,004.89 | 1,550 | 77,57,584.69 | 1,00,000 |
| Total (B) | | | | | | 3,50,340.80 | | 3,32,848.40 | | 46,61,18,061.31 (₹46.61 crore) | 42,00,000 |
| Total (A+B) | | | | | | | | | | | 69,00,000 (₹69 lakh) |

Appendix-2.8.1

(Reference: Paragraph 2.8; Page 114)

Short levy of Stamp Duty in respect of 21 agreements of two screening plant owners (Dehradun) and three stone crusher owners (Chamoli)

| Sl. No | Name of unit | Name of Screening Plant/ Stone Crusher | Name of land owner | Area of land (01 Hect.= 12 Bighha or 50 Nali) | Rent (per month/per year) (in ₹) | Period of lease | Consideration Value (Rounded in next thousand) (in ₹) | Due stamp duty (Two per cent of value of column 8) (in ₹) | Paid stamp duty (in ₹) (Date of payment) | Balance stamp duty (in ₹) (Col.9-Col.10) | Remark |
|--------|---------------|--|---|---|---|-----------------|---|---|--|--|---|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 | 12 |
| 1. | D MO Dehradun | Pachwadun screening plan Vikas Nagar Dehradun | Shri Sunit Pal Agarwal | 1.4850 Hect. or 17.82 Bighha | 27,583 ⁸ per Bighha per month | 06 year | 2,35,94,000 (Four times of annual average rent) | 4,71,880 | 100 (05.08.2014) | 4,71,780 | 10 per cent increase per two year in rent. |
| 2. | -do- | M/S Balaji Associate, Dehradun | Shri Balveer Singh | 1.6361 Hect. or 19.63 Bighha | 20,000 per Bighha per year | 25 year | 23,56,000 (Six times of annual average rent) | 47,120 | 100 (17.03.2015) | 47,020 | -do- |
| 3. | -do- | -do- | Shri Gurmeet Singh | 0.1066 Hect. or 1.28 Bighha | 40,000 per year on total area | 05 year | 1,20,000 (Three times of annual average rent) | 2,400 | 100 (11.05.2015) | 2,300 | -do- |
| 4. | -do- | -do- | Shri Narendra Singh | 0.1743 Hect. or 2.09 Bighha | 20,000 per Bighha per year | 05 year | 1,26,000 (Three times of annual average rent) | 2,520 | 100 (22.05.2014) | 2,420 | -do- |
| 5. | DMO Chamoli | M/S New Era Architectural Industries dwara Smt Kamla Bhatt W/o Late Radha Krishna, Chamoli | Shri Harshpati Dimri S/o Late Sivecharn | 0.013 Hect. | 30,000 per year on total area | 10 year | 1,20,000 (Four times of annual average rent) | 2,400 | 50 (10.06.2016) | 2,350 | -do- |
| 6. | -do- | M/S Nanda Construction Bisht Bawan Ghighrana Vill & Post Lakhi Tehsil Ghat Distt. Chamoli. | Shri Raghuvir Singh Bisht | 0.073 Hect. = 3.65 Nali | 9,930 average annual rent per Nali per year | 30 year | 2,18,000 (Six times of annual average rent) | 4,360 | 100 (03.10.2014) | 4,260 | 20 per cent increase per five year in rent. |
| 7. | -do- | -do- | Shri Narayan Singh Bisht | 0.094 Hect. = 4.7 Nali | -do- | 30 year | 2,81,000 (Six times of annual average rent) | 5,620 | 100 (03.10.2014) | 5,520 | -do- |
| 8. | -do- | -do- | Shri Pratap Singh Bisht | 0.096 Hect. = 4.8 Nali | -do- | 30 year | 2,86,000 (Six times of annual average rent) | 5,720 | 100 (03.10.2014) | 5,620 | -do- |

⁸ Average annual rent= [₹ 25,000*24 + ₹ 27,500 (increasing @ 10 % after 2 years)*24 + ₹ 30,250 (increasing @ 10 % after 2 years)*24] /72 Months = ₹ 27,583.33 per month.

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| Sl. No | Name of unit | Name of Screening Plant/ Stone Crusher | Name of land owner | Area of land (01 Hect.= 12 Bighha or 50 Nali) | Rent (per month/per year) (in ₹) | Period of lease | Consideration Value (Rounded in next thousand) (in ₹) | Due stamp duty (Two per cent of value of column 8) (in ₹) | Paid stamp duty (in ₹) (Date of payment) | Balance stamp duty (in ₹) | Remark |
|--------------|--------------|---|---------------------------------|---|---|-----------------|---|---|--|---------------------------|--|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 | 10 | 11 (Col.9-Col.10) | 12 |
| 9. | -do- | -do- | Shri Avtar Singh Bisht | 0.033 Hect. = 1.65 Nali | -do- | 30 year | 99,000 (Six times of annual average rent) | 1,980 | 100 (03.10.2014) | 1,880 | -do- |
| 10. | -do- | -do- | Shri Madan Singh Bisht | 0.60 Hect. = 3 Nali | -do- | 30 year | 1,79,000 (Six times of annual average rent) | 3,580 | 100 (03.10.2014) | 3,480 | -do- |
| 11. | -do- | -do- | Shri Sulabh Singh Bisht | 0.050 Hect. = 2.5 Nali | -do- | 30 year | 1,49,000 (Six times of annual average rent) | 2,980 | 100 (03.10.2014) | 2,880 | -do- |
| 12. | -do- | -do- | Shri Gulab Singh Bisht | 0.085 Hect. = 4.25 Nali | -do- | 30 year | 2,54,000 (Six times of annual average rent) | 5,080 | 100 (03.10.2014) | 4,980 | -do- |
| 13. | -do- | -do- | Shri Puran Singh Bisht | 0.050 Hect. = 2.5 Nali | -do- | 30 year | 1,49,000 (Six times of annual average rent) | 2,980 | 100 (03.10.2014) | 2,880 | -do- |
| 14. | -do- | -do- | Shri Chitar Singh Bisht | 0.036 Hect. = 1.8 Nali | -do- | 30 year | 1,08,000 (Six times of annual average rent) | 2,160 | 100 (03.10.2014) | 2,060 | -do- |
| 15. | -do- | -do- | Shri Balvant Singh Bisht | 0.081 Hect. = 4.05 Nali | -do- | 30 year | 2,42,000 (Six times of annual average rent) | 4,840 | 100 (03.10.2014) | 4,740 | -do- |
| 16. | -do- | M/S Abhyuday Uttarakhand Company Ranikhet Distt. Almora Dwara Vill-Sunla Tahsil: Dhali Distt. Chamoli | Shri Maya Ram S/o Shri Bali Ram | 0.008 Hect. | 20,000 per 0.020 Hect. Per year (₹12, 57,750 average annual rent per Hect.) | 10 year | 41,000 (Four times of annual average rent) | 820 | 100 (07.02.2016) | 720 | Five per cent increase per year in rent. |
| 17. | -do- | -do- | Shri Narayan Dutt | 0.023 Hect. | -do- | 10 year | 1,16,000 (Four times of annual average rent) | 2,320 | 100 (07.02.2016) | 2,220 | -do- |
| 18. | -do- | -do- | Shri Madan Mohan | 0.021 Hect. | -do- | 10 year | 1,06,000 (Four times of annual average rent) | 2,120 | 100 (07.02.2016) | 2,020 | -do- |
| 19. | -do- | -do- | Shri Laxmi Prasad | 0.080 Hect. | -do- | 10 year | 4,03,000 (Four times of annual average rent) | 8,060 | 100 (07.02.2016) | 7,960 | -do- |
| 20. | -do- | -do- | Shri Gopal Dutt | 0.133 Hect. | -do- | 10 year | 6,70,000 (Four times of annual average rent) | 13,400 | 100 (07.02.2016) | 13,300 | -do- |
| 21. | -do- | -do- | Smt. Basanti Devi | 0.018 Hect. | -do- | 10 year | 91,000 (Four times of annual average rent) | 1,820 | 100 (07.02.2016) | 1,720 | -do- |
| Total | | | | | | | | 5,94,160 | 2,050 | 5,92,110 | |

Appendix-2.8.2
(Reference: Paragraph 2.8; Page 114)

Short levy of Stamp Duty due to wrong valuation of property in case of two lease deeds

| Sl. No | Name of Unit | Name of lease holder | Annual lease Amount | Period of lease | Consideration Value (Rounded in next thousand) (in ₹) | Due stamp duty (Two per cent of value of column 6) (in ₹) | Paid stamp duty (Date of payment) (in ₹) | Balance stamp duty (in ₹) |
|--------------|----------------|--|---------------------|--|---|---|--|---------------------------|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 (Col.7 – Col.8) |
| 1. | D.M.O. Chamoli | Shri Dhan Singh Rana S/o Shri Lal Singh Rana Vill & Post- Lata Tehsil: Joshimath, Distt. Chamoli | 73,33,333 | 04/2015 to 12/2016 (One year and nine month) | 2,20,00,000 (Three times of annual lease amount) | 4,40,000 | 1,46,700 (24.04.2015) | 2,93,300 |
| 2. | -do- | Shri Harish Singh Bhandari S/o Late Shri Murali Singh Bhandri Vill: Baragaun, Tehsil Joshimath, Distt. Chamoli | 1,80,00,000 | 02/2015 to 09/2016 (One year and eight month) | 5,40,00,000 | 10,80,000 | 5,60,000 (10.02.2015) | 5,20,000 |
| Total | | | | | | 15,20,000 | 7,06,700 | 8,13,300 |

Appendix-2.9.1
(Reference: Paragraph 2.9; Page 115)

Details of short levy of penalty on owners of vehicles found guilty of illegal mining/transportation of minerals
(Amount in ₹)

| Sl. No. | Vehicle No. | Challan Number and Date | Type of Vehicle | Date of offence committed | Date of fine imposed | Penalty Due | Penalty levied | Penalty short levied |
|--------------|-----------------------------------|-------------------------|-----------------|---------------------------|----------------------|-------------|----------------|----------------------|
| 1. | RJ 11R-1560 | 06, 08-08-15 | Tractor | 31.07.15 | 10.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 2. | UK-07CA-9468 | 0467, 10-08-15 | Tractor | 05.08.15 | 10.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 3. | UK-07-CC-1928 | 221, 11-08-15 | Dumper | 02.08.15 | 10.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 4. | Ch. No. RKBB04600HE | 225, 11-08-15 | Tractor | 02.08.15 | 11.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 5. | UK-07 AR-9527 | 223, 11-08-15 | Tractor | 02.08.15 | 12.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 6. | Engine No. RKZ 2852 | 397, 12-08-15 | Tractor | 02.08.15 | 12.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 7. | UK-07 AL 9681 | 395, 12-08-15 | Tractor | 02.08.15 | 12.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 8. | UA -09A-5181 | 288, 12-08-15 | Truck | 10.08.15 | 12.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 9. | Engine No. 431025 STD06467 | 277, 13-08-15 | Tractor | 02.08.15 | 14.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 10. | UP-07 D 5377 | 239, 13-08-15 | Tractor | 10.08.15 | 13.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 11. | Engine No. 431024 SSN 18002 | 283, 13-08-15 | Tractor | 02.08.15 | 13.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 12. | UA-07 G-7894 | 322, 18-08-15 | Truck | 10.08.15 | 18.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 13. | UP-07 F 0991 | 61, 19-08-15 | Tractor | 16.08.15 | 20.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 14. | UK-07 CC 2064 | 356, 22-08-15 | Dumper | 19.08.15 | 22.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 15. | UK-07 CC -2128 | 357, 22-08-15 | Dumper | 19.08.15 | 22.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 16. | UA-07 T-0759 | 446, 24-08-15 | Dumper | 24.07.15 | 13.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| 17. | UK-07 N-3548 | 319, 21-08-15 | Tractor | 13.08.15 | 21.08.15 | 2,00,000 | 25,000 | 1,75,000 |
| Total | | | | | | | | 29,75,000 |

Appendix-2.10.1

(Reference: Paragraph 2.10; Page 115)

Details of short levy of royalty

| Sl. No. | Name of License Holder/Date of grant of License | Type of Mineral | Approved Quantity in M ³ (Date of deposit of royalty) | Approved Quantity (in Ton) @ 2.2 Ton per M ³ | Rate per ton and per M ³ (in ₹) | Due Royalty (in ₹) | Royalty Paid (in ₹) | Short Levy of Royalty (in ₹) |
|----------------------|--|-----------------|--|---|--|--------------------|---------------------|------------------------------|
| 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
| 1. | Shri Sharad Agrawal 01.03.16 | Soil | 6,242 (29.02.16) | 13,732.40 | 50 per Ton | 6,86,620 | 49,936 | 6,36,684 |
| 2. | Shri Pankaj Nangalia 03.03.16 | Soil | 6,203 (02.03.16) | 13,646.60 | 50 per Ton | 6,82,330 | 49,624 | 6,32,706 |
| 3. | G T M Tower Group Housing Mohkampur 05.03.16 | Soil | 11,471 (05.03.16) | 25,236.20 | 50 per Ton | 12,61,810 | 91,768 | 11,70,042 |
| 4. | Shri Pradeep Singh 08.03.16 | Soil | 1,200 (08.03.16) | 2,640.00 | 50 per Ton | 1,32,000 | 9,600 | 1,22,400 |
| 5. | Shri Ghanshyam Godiyal 08.03.16 | RBM | 128 (08.03.16) | 128 (m ³) | 194.50 per M ³ | 24,896 | 11,520 | 13,376 |
| 6. | Shri Anuj Agrawal 09.03.16 | Soil | 4,731 (08.03.16) | 10,408.20 | 50 per Ton | 5,20,410 | 37,848 | 4,82,562 |
| 7. | Shri Dayal Singh 09.03.16 | Soil | 300 (10.03.16) | 660 | 50 per Ton | 33,000 | 2,400 | 30,600 |
| Sub Total (A) | | | | | | | | 30,88,370 |

Appendix-2.10.2

(Reference: Paragraph 2.10; Page 116)

Details of royalty due on owners of brick kilns upto 2015-16

| Sl. No. | Name of brick kilns | Annual Composition amount payable (in ₹) | Year for which Royalty not paid | Royalty Due (in ₹) |
|----------------------------|---------------------------------------|--|---------------------------------------|--------------------|
| 1. | Singhal Traders, Banhiwala | 76,200 | 2014-15 | 76,200 |
| 2. | Amar Chandra Batta & Sons, Pitthuwala | 69,000 | 2014-15, 2015-16 | 1,38,000 |
| 3. | Vikas Brick Field, Mehuwala | 78,000 | 2013-14 | 78,000 |
| 4. | Rakesh Bricks Unit I Saharanpur Road | 81,600 | 2012-13, 2014-15 and 2015-16 | 2,44,800 |
| 5. | Rakesh Bricks Unit II Saharanpur Road | 74,400 | 2012-13, 2013-14, 2014-15 and 2015-16 | 2,97,600 |
| Sub-total (B) | | | | 8,34,600 |
| Grand Total (A + B) | | | | 39,22,970 |

Appendix-3.1.1

(Reference: Paragraph 3.1.9.2; Page 122)

Statement showing investments made by State Government in PSUs whose accounts are in arrears

(Figures in columns 4 & 6 to 8 are ₹ in crore)

| Sl. No. | Name of the Public Sector Undertaking | Year up to which accounts finalised | Paid up capital | Period of accounts pending finalisation | Investment made by State Government during the year of which accounts are in arrears | | |
|----------|---|---------------------------------------|-----------------|---|--|---------------|-------------|
| | | | | | Equity | Loans | Grants |
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) |
| A | Working Government Companies | | | | | | |
| 1. | Uttarakhand Seeds & Tarai Development Corporation Ltd. | 2014-15 | 4.08 | 2015-16 | - | 10.00 | - |
| 2. | Garhwal Anusuchit Janjati Vikas Nigam Limited (Subsidiary of Garhwal Mandal Vikas Nigam Limited) | 1993-94 | 0.50 | 1994-95 | - | - | - |
| 3. | Kumaon Anusuchit Janjati Vikas Nigam Limited (Subsidiary of Kumaon Mandal Vikas Nigam Limited) | 1986-87 | 0.50 | 1987-88 | - | - | - |
| 4. | Uttarakhand Bahudeshia Vitta Evam Vikas Nigam Limited | 2006-07 | 21.33 | 2007-08 | 0.40 | - | 4.16 |
| 5. | State Industrial Development Corporation of Uttarakhand Limited | 2013-14 | 28.50 | 2014-15 | - | 100.00 | - |
| 6. | Bridge, Ropeway, Tunnel and other Infrastructure Development Corporation of Uttarakhand Limited earlier known as Uttarakhand State Infrastructure Development Corporation Limited | 2014-15 | 4.00 | 2015-16 | - | - | - |
| 7. | Trans cables Limited (Subsidiary of Kumaon Mandal Vikas Nigam limited) | 1999-2000 | 1.63 | 2000-01 | - | - | - |
| 8. | Uttar Pradesh Digitals Limited (Subsidiary of Kumaon Mandal Vikas Nigam Limited) | 1996-97 | 0.35 | 1997-98 | - | - | - |
| 9. | Uttar Pradesh Hill Electronics Corporation Limited | 2013-14 | 8.95 | 2014-15 | - | 8.00 | - |
| 10. | Kichha Sugar Company Limited | 2015-16 | 17.99 | 2016-17 | - | - | - |
| 11. | Doiwala Sugar Company Limited | 2015-16 | 6.00 | 2016-17 | - | - | - |
| 12. | Uttarakhand Project Development and Construction Corporation Limited | 2015-16 | 1.07 | 2016-17 | - | - | - |
| 13. | Kumaon Mandal Vikas Nigam Limited | 2005-06 | 13.42 | 2006-07 | - | - | - |
| 14. | Garhwal Mandal Vikas Nigam Limited | 2007-08 | 5.76 | 2007-08 | - | - | - |
| 15. | Uttarakhand Purv Sainik Kalyan Udham Limited | 2014-15 | 1.00 | 2015-16 | - | - | - |
| 16. | Uttarakhand Alpsankhyak Kalyan Tatha Wakf Vikas Nigam | I st accounts not received | 5.55 | -- | 0.50 | - | 3.00 |
| | Total A (Working Government Companies) | | - | -- | 0.90 | 118.00 | 7.16 |
| B | Working Statutory corporations | | | | | | |
| 1. | Uttarakhand Pey Jal Sansadhan Vikas Evam Nirman Nigam | 2015-16 | 2,429.65 | 2016-17 | - | - | - |
| 2. | Uttarakhand Parivahan Nigam | 2015-16 | 238.60 | 2016-17 | - | 1.00 | - |
| 3. | Uttarakhand Forest Development Corporation | 2015-16 | - | 2016-17 | - | - | - |
| | Total B (Working Statutory Corporations) | | - | - | - | 1.00 | - |
| | Grand Total (A + B) | | - | - | 0.90 | 119.00 | 7.16 |

Appendix-3.1.2

(Reference: Paragraphs 3.1.1 & 3.1.12.1; Pages 117 & 123)

Summarised financial position and working results of Government companies and Statutory Corporations as per their latest finalised financial statements/accounts

(Figures in columns (5) to 12 are ₹ in crore)

| Sl. No. | Sector / name of the Company | Period of accounts | Year in which accounts finalized | Paid-up capital | Loans outstanding at the end of year | Accumulated profit(+)/ loss(-) | Turnover | Net profit (+)/ loss (-) | Net impact of Audit comments | Investment | Return on Investment | Manpower |
|--|---|--------------------|----------------------------------|-----------------|--------------------------------------|--------------------------------|-----------------|--------------------------|------------------------------|----------------|----------------------|--------------|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) | (12) | (13) |
| A. WORKING GOVERNMENT COMPANIES | | | | | | | | | | | | |
| AGRICULTURE AND ALLIED | | | | | | | | | | | | |
| 1. | Uttarakhand Seed & Tarai Development Corporation Ltd. | 2014-15 | 2016-17 | 4.08 | 12.50 | (-)35.74 | 96.42 | (-)26.71 | Non review | 23.01 | 0.02 | 281 |
| Sector Wise Total | | | | 4.08 | 12.50 | (-)35.74 | 96.42 | (-)26.71 | -- | 23.01 | 0.02 | 281 |
| FINANCE | | | | | | | | | | | | |
| 2. | Garhwal Anusuchit Janjati Vikas Nigam Limited (Subsidiary of Garhwal Mandal Vikas Nigam Limited) | 1993-94 | 2012-13 | 0.50 | 2.85 | (-) 0.63 | 0.54 | 0.07 | (-)0.39 | 3.35 | 0.01 | 01 |
| 3. | Kumaon Anusuchit Janjati Vikas Nigam Limited (Subsidiary of Kumaon Mandal Vikas Nigam Limited) | 1986-87 | 2002-03 | 0.50 | - | (-) 0.04 | 0.10 | (-) 0.01 | - | 0.50 | 0.0 | - |
| 4. | Uttarakhand Bahudeshia Vitta Evam Vikas Nigam Limited | 2006-07 | 2016-17 | 21.33 | 5.65 | 0.50 | 1.79 | 0.50 | (-)1.18 | 27.82 | 0.04 | 78 |
| Sector Wise Total | | | | 22.33 | 8.50 | (-) 1.17 | 2.43 | 0.56 | (-)1.57 | 31.67 | 0.05 | 79 |
| INFRASTRUCTURE | | | | | | | | | | | | |
| 5. | State Industrial Development Corporation of Uttarakhand Limited | 2013-14 | 2016-17 | 28.50 | 100.00 | 315.29 | 29.87 | 50.88 | (-)0.14 | 538.13 | 0.06 | 20 |
| 6. | Bridge, Ropeway, Tunnel and other Infrastructure Development Corporation of Uttarakhand Limited earlier known as Uttarakhand State Infrastructure Development Corporation Limited | 2014-15 | 2016-17 | 4.00 | 5.00 | 1.38 | 43.57 | 2.52 | Non review | 10.38 | 0.30 | 100 |
| Sector Wise Total | | | | 32.50 | 105.00 | 316.67 | 73.44 | 53.40 | (-)0.14 | 548.51 | 0.36 | 120 |
| MANUFACTURE | | | | | | | | | | | | |
| 7. | Trans cables Limited (Subsidiary of Kumaon Mandal Vikas Nigam limited) | 1999-2000 | 2002-03 | 1.63 | 2.75 | (-) 5.80 | 2.80 | (-) 0.84 | - | 4.38 | (-) 0.19 | - |
| 8. | Uttar Pradesh Digital Limited (Subsidiary of Kumaon Mandal Vikas Nigam Limited) | 1996-97 | 1997-98 | 0.35 | 7.28 | (-) 6.95 | -- | (-) 1.19 | - | 7.63 | 0.0 | - |
| 9. | Uttar Pradesh Hill Electronics Corporation Limited | 2013-14 | 2016-17 | 8.95 | - | (-)24.93 | 1.32 | (-) 2.21 | - | 8.95 | (-) 0.25 | 11 |
| 10. | Doiwala Sugar Company Limited | 2015-16 | 2016-17 | 6.00 | 147.23 | (-) 316.88 | 72.66 | (-) 36.04 | (-)0.07 | 153.23 | (-) 0.07 | 608 |
| 11. | Kichha Sugar Company Limited | 2015-16 | 2016-17 | 17.99 | 132.94 | (-)264.28 | 118.44 | (-)29.14 | 0.51 | 150.93 | 0.22 | 514 |
| 12. | Uttarakhand Project Development and Construction Corporation Limited | 2015-16 | 2016-17 | 1.07 | - | 0.01 | 0.07 | 0.01 | (-)0.02 | 1.07 | 0.01 | - |
| Sector wise total | | | | 35.99 | 290.20 | (-)618.83 | 195.29 | (-)69.41 | (-)0.42 | 326.19 | (-)0.28 | 1,133 |
| POWER | | | | | | | | | | | | |
| 13. | Uttarakhand Power Corporation Limited | 2016-17 | 2017-18 | 1,284.02 | 1404.17 | (-) 2,339.50 | 5,009.55 | (-)288.78 | (-)2.21 | 2688.19 | 0.03 | 3,108 |
| 14. | Uttarakhand Jal Vidhyut Nigam Limited | 2016-17 | 2017-18 | 1,105.69 | 1,261.51 | 388.23 | 591.18 | 74.59 | (-)2.18 | 2755.43 | 0.10 | 2,757 |
| 15. | Power Transmission Corporation of Uttarakhand Limited | 2016-17 | 2017-18 | 458.05 | 726.78 | 106.08 | 282.48 | 39.17 | -- | 1284.88 | 0.10 | 772 |
| Sector Wise Total | | | | 2,847.76 | 3,392.46 | (-) 1,845.19 | 5,883.21 | (-)175.02 | (-) 4.39 | 6728.50 | | 6,637 |

Audit Report (Social, General, Revenue and Economic Sectors) for the year ended 31 March 2017

| Sl. No. | Sector / name of the Company | Period of accounts | Year in which accounts finalized | Paid-up capital | Loans outstanding at the end of year | Accumulated profit(+)/ loss(-) | Turnover | Net profit (+)/ loss (-) | Net impact of Audit comments | Investment | Return on Investment | Manpower |
|---|--|--------------------|----------------------------------|-----------------|--------------------------------------|--------------------------------|-----------------|--------------------------|------------------------------|------------------|----------------------|---------------|
| (1) | (2) | (3) | (4) | (5) | (6) | (7) | (8) | (9) | (10) | (11) | (12) | (13) |
| SERVICE | | | | | | | | | | | | |
| 16. | Kumaon Mandal Vikas Nigam Limited | 2005-06 | 2016-17 | 13.42 | - | (-)0.67 | 100.49 | (-)1.51 | (-)1.31 | 13.78 | 0.07 | 1,004 |
| 17. | Garhwal Mandal Vikas Nigam Limited | 2007-08 | 2016-17 | 5.76 | 19.27 | 4.97 | 128.07 | (-)1.38 | (-)0.32 | 42.66 | 0.14 | 1,600 |
| Sector Wise Total | | | | 19.18 | 19.27 | 4.30 | 228.56 | (-)2.89 | (-)1.63 | 56.44 | 0.21 | 2,604 |
| MISCELLANEOUS | | | | | | | | | | | | |
| 18. | Uttarakhand Purv Sainik Kalyan Udham Limited | 2014-15 | 2016-17 | 1.00 | - | 3.59 | 156.92 | 6.81 | (-)5.05 | 46.68 | 0.06 | - |
| 19. | Uttarakhand Alpsankhyak Kalyan Tatha Wakf Vikas Nigam | -- | -- | 5.55 | 1.85 | -- | -- | -- | -- | 7.40 | 0.0 | 04 |
| Sector Wise Total | | | | 6.55 | 1.85 | 3.59 | 156.92 | 6.81 | (-)5.05 | 54.08 | 0.06 | 04 |
| Total A (All sector wise working Government companies) | | | | 2,968.39 | 3,829.78 | (-) 2,176.37 | 6,636.27 | (-)213.26 | (-)13.20 | 7768.40 | | 10,858 |
| B. Statutory corporations | | | | | | | | | | | | |
| INFRASTRUCTURE | | | | | | | | | | | | |
| 1. | Uttarakhand Pey Jal Sansadhan Vikas Evam Nirman Nigam | 2015-16 | 2016-17 | 2,429.65 | 77.10 | (-) 145.97 | 67.91 | (-) 23.87 | (-)9.04 | 2506.75 | 0.01 | 2,728 |
| Sector Wise Total | | | | 2,429.65 | 77.10 | (-) 145.97 | 67.91 | (-) 23.87 | (-)9.04 | 2506.75 | 0.01 | 2,728 |
| SERVICE | | | | | | | | | | | | |
| 2. | Uttarakhand Parivahan Nigam | 2015-16 | 2017-18 | 238.60 | 2.67 | (-)415.66 | 309.12 | (-)34.94 | (-)6.73 | 241.27 | 0.04 | 4,104 |
| Sector Wise Total | | | | 238.60 | 2.67 | (-)415.66 | 309.12 | (-)34.94 | (-)6.73 | 241.27 | 0.04 | 4,104 |
| MISCELLANEOUS | | | | | | | | | | | | |
| 3. | Uttarakhand Forest Development Corporation | 2015-16 | 2017-18 | - | - | 227.80 | 310.34 | 36.86 | (-)86.95 | 337.55 | 0.03 | 3,003 |
| Sector Wise Total | | | | - | - | 227.80 | 310.34 | 36.86 | (-)86.95 | 337.55 | - | 3,003 |
| Total B (All sector wise working statutory corporations) | | | | 2,668.25 | 79.77 | (-)333.83 | 687.37 | (-)21.95 | (-)102.72 | 3085.57 | | 9,835 |
| Grand Total (A+B) | | | | 5,636.64 | 3,909.55 | (-)2,510.20 | 7,323.64 | (-)235.21 | (-)115.92 | 10,853.97 | 0.03 | 20,693 |
| C. Non working Government companies | | | | | | | | | | | | |
| AGRICULTURE & ALLIED | | | | | | | | | | | | |
| 1. | UPAI Limited ⁹ | | | 0.17 | - | (-) 0.05 | - | - | - | 0.17 | - | - |
| Sector Wise Total | | | | 0.17 | - | (-) 0.05 | - | - | - | 0.17 | - | - |
| MANUFACTURE | | | | | | | | | | | | |
| 2. | Kumtron Limited (Subsidiary of Uttar Pradesh Hill Electronics Corporation Limited) | 1989-90 | 1990-91 | 0.18 | | (-) 0.02 | | (-) 0.02 | | 0.18 | - | - |
| 3. | Uttar Pradesh Hill Phones Limited (Subsidiary of Uttar Pradesh Hill Electronics Corporation Limited) | - | - | - | - | - | - | - | - | - | - | - |
| 4. | Uttar Pradesh Hill Quartz Limited (Subsidiary of Uttar Pradesh Hill Electronics Corporation limited) | - | - | - | - | -- | - | - | - | - | - | - |
| Sector Wise Total | | | | 0.18 | | (-) 0.02 | | (-) 0.02 | | 0.18 | | - |
| Total C (All sector wise non working Government companies) | | | | 0.35 | - | (-)0.07 | | (-)0.02 | | 0.35 | | - |
| Grand Total (A+B+C) | | | | 5,636.99 | 3,909.55 | (-)2,510.27 | 7,323.64 | (-)235.23 | (-)115.92 | 10,854.32 | | 20,693 |

NOTE: Particulars of non working Statutory corporations, if any, may also be added in the similar fashion

@Capital employed represents Shareholders fund and long term borrowings.

⁹ Company under liquidation since 31.03.1991.

Appendix-3.4.1
(Reference: Paragraph 3.4; Page 130)

Statement showing innumerable delays in execution of project

| Sl No. | Name of work | Contractor Name | Scheduled completion date | Actual completion date/(Delay) | Observations |
|--------|---|---|---------------------------|--------------------------------|--|
| 1. | Construction of barrage intake, sedimentation chambers, fore bay, Flushing conduits and Head Race Tunnel (HRT) up to 4.5 km from Joshiyara end. | Continental Construction Limited | 30.09.2005 | 15.02.2008/ (28.5 months) | There was an avoidable delay in grouting work of HRT and other activities in the construction programme. Also, out of the total delay; the delay from July 2007 to February 2008, (6.5 months) was definitely avoidable. In this context, Nigam admitted before UERC that the delays in the activities related to miscellaneous work, erection of radial gates & stop gates and erection of fore-bay gates were controllable. |
| 2. | Construction of HRT, face II&III from Dhanrigad intermediate Adit from (4.5 km to 12 km) of MBII HEP | M/s Hydel Construction Company (P) Limited | 31.10.2005 | 29.02.2008/ (29 months) | The HRT from face III (downstream) became critical, took longer, and was delayed by total 29 months. Though after re-claiming of RBM zone between 8,580 and 8,640 ft, the face III was inspected after 2.5 months, its excavation was started 12.5 months later after its inspection. Had there been no delay in starting excavation of face III, the work would have been completed by December 2006. |
| 3. | Construction of balance civil work of HRT from Dharasu Adit (12 Km to 16 Km) | National Project Construction Corporation Limited | 30.09.2005 | 15.02.2008/ (29.5 months) | The total excavation work was 25,342 cum out of which 24,452 cum excavation was to be done from top. With adequate mobilization 10 months are considered reasonable for this excavation. Extra time for muck disposal could have been reduced by using additional dumpers. Adequate resources were not deployed resulting into delay in excavation work. Had there been adequate deployment of resources, the work would have been completed by June 2007. |
| 4. | Construction of Dharasu Power house and appurtenant works | M/s Shring Construction Company | 15.09.2005 | 15.03.2008/ (30.5 months) | The work for control room, 2 nd stage works and switchyard were started with much delay of 09 months, 10 months and 06 months respectively which affected the completion of the power house in time and there was a delay of 30.5 months in the execution of the work. |
| 5. | Electro-Mechanical (E&M) work | Bharat Heavy Electricals Limited | 25.01.2006 | 15.03.2008/ (25 months) | In respect of these work, the erection work of the supply of BHEL was dependent on the civil work which was to be executed by M/s Shring Construction Company and in the absence of any joint agreed schedule between M/s Shring and BHEL, apportionment of responsibilities for delays between them was not possible. The delay in execution of work was by 25 months. |

Appendix-3.4.2
(Reference: Paragraph 3.4; Page 131)

Statement showing the claimed amount vis-à-vis allowed amount by UERC

(₹ in crore)

| <i>Particular</i> | <i>Claimed</i> | <i>Allowed</i> | <i>Reasons</i> |
|--|-----------------|-----------------|--|
| Capital Expenditure | 1,494.70 | 1,494.70 | UERC disallowed price variation given to the contractor for the last six months before commissioning of the project considering it to be controllable. |
| Price Variation | 00.00 | (7.94) | |
| Dispute Resolution Board ¹⁰ | 44.51 | 44.51 | |
| Sub-Total (a) | 1,539.21 | 1,531.27 | 7.94 |
| Interest during construction | 287.57 | 257.41 | UERC disallowed the IDC for the last six months before commissioning of the project considering it to be controllable. It also disallowed ₹ 18.81 crore paid by the Nigam as penalty due to late payment of guarantee fee of state government. |
| Excess Guarantee Fee payable | 18.81 | 0.00 | |
| Guarantee fees | 40.86 | 28.86 | Amount of ₹ 12 crore not approved by UERC because the payment was made after commissioning date of the MB- II project. |
| Interest on GoU Loan | 5.04 | 5.04 | ----- |
| Re-payment of AGSP ¹¹ | 66.64 | 66.64 | |
| Sub-Total (b) | 418.92 | 357.95 | 60.97 |
| Total Capital Cost | 1,958.13 | 1,889.22 | Out of the total claimed amount of ₹ 1,958.13 crore, UERC disallowed IDC, Price Variation and Penalty on late payment of Guarantee Fees. Expenditure in respect of payment of guarantee fees (₹12 crore) was deferred. |

Note: An amount of ₹3.72 crore was also adjusted as it was wrongly included in R & M expenses.

¹⁰ This was constituted for contractual payments for the work done before Commercial Operation Date.

¹¹ Accelerated Generation and Supply programme.

Appendix-3.6.1
(Reference: Paragraph 3.6.4.1; Page 134)

Statement showing the penalty amount imposed by UERC due to delay in release of new connections during 2014-15 to 2016-17

| Sl. No. | Name of Divisions | Total Number of Application Received | Number of cases of delay release of connection | Amount of Penalty (₹ in lakh) |
|--------------|-------------------|--------------------------------------|--|-------------------------------|
| 1. | Rudrapur | 25,254 | 1,412 | 88.88 |
| 2. | Haldwani Rural | 9,204 | 430 | 30.75 |
| 3. | Tehri | 12,413 | 487 | 6.07 |
| 4. | Dehradun Rural | 11,481 | 2,278 | 85.61 |
| 5. | Haridwar Urban | 4,157 | 1,105 | 38.54 |
| 6. | Haridwar Rural | 1,413 | 495 | 12.94 |
| 7. | Kashipur | 11,107 | 130 | 8.84 |
| Total | | 75,029 | 6,337 | 271.63 |

Source: Information compiled from the records of the UPCL.

Appendix-3.6.2
(Reference: Paragraph 3.6.5.1; Page 135)

Statement showing the Energy received, Sale of energy, Loss of energy, Permissible losses, Avoidable loss of energy in distribution and Total Avoidable Loss

| Sl. No. | Particular | Year | | |
|---------|---|---------------------|---------------------|---------------------|
| | | 2014-15 | 2015-16 | 2016-17 |
| 1. | Energy received during the period | 3,333.712 | 3,472.858 | 3,491.098 |
| 2. | Sale of energy | 2,434.086 | 2,614.213 | 2,674.423 |
| 3. | Loss of energy (in percent) | 26.99 | 24.72 | 23.39 |
| 4. | Loss of energy | 899.626 | 858.645 | 816.675 |
| 5. | Permissible losses (in percent) | 15.5 | 15 | 15 |
| 6. | Permissible losses | 516.725 | 520.929 | 523.665 |
| 7. | Avoidable loss of energy in distribution | 382.901 | 337.716 | 293.01 |
| 8. | Minimum cost of energy through rate per unit (Domestic BPL) | 2.3 | 2.4 | 2.45 |
| 9. | Total Avoidable Loss (in ₹) | 88,06,72,300 | 81,05,18,400 | 71,78,74,500 |

Source: Information compiled from the records of the UPCL.

Appendix-3.6.3

(Reference: Paragraph 3.6.5.2; Page 135)

Statement showing the details of Distribution loss due to theft/ pilferage for the period from 2014-15 to 2016-17

(₹ in lakh)

| For the year 2014-15 | | | | | | | | | |
|----------------------|----------------------|------------------|---------------------------|--------------------|---|------------|-----------------|-----------------|---------------|
| Sl. No. | Name of sub-division | Year of checking | Total number of consumers | Number of checking | Number of theft cases detected/ Assessment made | FIR lodged | Amount assessed | Amount realised | Balance |
| 1. | Haldwani Rural | 2014-15 | 56,102 | 72 | 14 | 9 | 4.15 | 2.87 | 1.28 |
| 2. | Kashipur | 2014-15 | 75,994 | 209 | 20 | 0 | 0.5 | 0.5 | 0 |
| 3. | Rudrapur | 2014-15 | 84,978 | 214 | 214 | 212 | 77.462 | 21.84 | 55.62 |
| 4. | Haldwani Urban | 2014-15 | 40,931 | 54 | 33 | 24 | 11.82 | 0.93 | 10.89 |
| 5. | Bazpur | 2014-15 | 26,802 | 55 | 29 | 0 | 6.06 | 5.44 | 0.62 |
| 6. | Sitarganj | 2014-15 | 72,884 | 43 | 36 | 36 | 13.79 | 5.33 | 8.46 |
| 7. | Kotdwar | 2014-15 | 90,143 | 150 | 72 | 4 | 28.83 | 28.83 | 0 |
| 8. | Tehri | 2014-15 | 77,613 | 110 | 102 | 96 | 10.24 | 4.31 | 5.93 |
| 9. | Dehradun South | 2014-15 | 77,613 | 63 | 59 | 16 | 25.83 | 15.01 | 10.82 |
| 10. | Dehradun Rural | 2014-15 | 79,944 | 49 | 31 | 7 | 5.87 | 5.87 | 0 |
| 11. | Roorkee Urban | 2014-15 | 84,281 | 446 | 240 | 359 | 67.06 | 56.39 | 10.63 |
| 12. | Roorkee Rural | 2014-15 | 72,236 | 67 | 65 | 65 | 10.8 | 10.8 | 0 |
| 13. | Haridwar Urban | 2014-15 | 74,819 | 103 | 40 | 40 | 24.43 | 23.57 | 0.86 |
| 14. | Haridwar Rural | 2014-15 | 31,106 | 101 | 97 | 97 | 26.07 | 17.47 | 8.6 |
| Total | | | 9,45,446 | 1,736 | 1,052 | 965 | 312.912 | 199.16 | 113.71 |
| For the year 2015-16 | | | | | | | | | |
| Sl. No. | Name of sub-division | Year of checking | Total number of consumers | Number of checking | Number of theft cases detected/ Assessment made | FIR lodged | Amount assessed | Amount realised | Balance |
| 1. | Haldwani Rural | 2015-16 | 57,334 | 608 | 27 | 15 | 7.29 | 6.87 | 0.42 |
| 2. | Kashipur | 2015-16 | 50,688 | 391 | 39 | 20 | 21.05 | 11.36 | 9.69 |
| 3. | Rudrapur | 2015-16 | 95,350 | 257 | 253 | 238 | 118.91 | 63.21 | 55.7 |
| 4. | Haldwani Urban | 2015-16 | 43,243 | 152 | 112 | 77 | 28.67 | 19.32 | 9.35 |
| 5. | Bazpur | 2015-16 | 29,275 | 913 | 191 | 126 | 51.53 | 36.24 | 15.29 |
| 6. | Sitarganj | 2015-16 | 82,898 | 210 | 176 | 176 | 39.3 | 35.08 | 4.22 |
| 7. | Kotdwar | 2015-16 | 93,634 | 405 | 323 | 4 | 71.73 | 71.73 | 0 |
| 8. | Tehri | 2015-16 | 79,370 | 428 | 377 | 296 | 34.03 | 18.48 | 15.55 |
| 9. | Dehradun South | 2015-16 | 79,370 | 35 | 16 | 12 | 8.36 | 7.46 | 0.9 |

| Sl. No. | Name of sub-division | Year of checking | Total number of consumers | Number of checking | Number of theft cases detected/ Assessment made | FIR lodged | Amount assessed | Amount realised | Balance |
|-----------------------------|----------------------|------------------|---------------------------|--------------------|---|--------------|-----------------|-----------------|---------------|
| 10. | Dehradun Rural | 2015-16 | 87,281 | 60 | 35 | 30 | 11.12 | 11.12 | 0 |
| 11. | Roorkee Urban | 2015-16 | 89,604 | 1,015 | 300 | 290 | 121.41 | 71.49 | 49.92 |
| 12. | Roorkee Rural | 2015-16 | 80,960 | 98 | 84 | 84 | 17.82 | 12.13 | 5.69 |
| 13. | Haridwar Urban | 2015-16 | 77,718 | 565 | 91 | 80 | 72.37 | 64.34 | 8.03 |
| 14. | Haridwar Rural | 2015-16 | 35,361 | 188 | 160 | 160 | 32.99 | 24.48 | 8.51 |
| Total | | | 9,82,086 | 5,325 | 2,184 | 1,608 | 636.58 | 453.31 | 183.27 |
| For the year 2016-17 | | | | | | | | | |
| Sl. No. | Name of sub-division | Year of checking | Total number of consumers | Number of checking | Number of theft cases detected/ Assessment made | FIR lodged | Amount assessed | Amount realised | Balance |
| 1. | Haldwani Rural | 2016-17 | 67,080 | 782 | 51 | 50 | 7.93 | 7.63 | 0.3 |
| 2. | Kashipur | 2016-17 | 51,444 | 395 | 95 | 67 | 48.96 | 17.16 | 31.8 |
| 3. | Rudrapur | 2016-17 | 1,00,021 | 606 | 605 | 596 | 183.3 | 111.7 | 71.6 |
| 4. | Haldwani Urban | 2016-17 | 45,136 | 239 | 135 | 37 | 40.52 | 39.52 | 1 |
| 5. | Bazpur | 2016-17 | 31,002 | 172 | 55 | 15 | 16.39 | 2.82 | 13.57 |
| 6. | Sitarganj | 2016-17 | 84,850 | 317 | 314 | 314 | 51.66 | 37.8 | 13.86 |
| 7. | Kotdwar | 2016-17 | 96,189 | 403 | 319 | 26 | 61.51 | 61.51 | 0 |
| 8. | Tehri | 2016-17 | 83,319 | 83 | 73 | 46 | 7.12 | 6.73 | 0.39 |
| 9. | Dehradun South | 2016-17 | 77,637 | 9 | 3 | 3 | 2.68 | 1.03 | 1.65 |
| 10. | Dehradun Rural | 2016-17 | 92,355 | 13 | 13 | 3 | 4.11 | 3.43 | 0.68 |
| 11. | Roorkee Urban | 2016-17 | 1,04,468 | 569 | 236 | 212 | 73.1 | 43.05 | 30.05 |
| 12. | Roorkee Rural | 2016-17 | 86,788 | 120 | 111 | 111 | 26.14 | 18.51 | 7.63 |
| 13. | Haridwar Urban | 2016-17 | 80,390 | 317 | 114 | 106 | 45.66 | 37.66 | 8 |
| 14. | Haridwar Rural | 2016-17 | 38,448 | 220 | 207 | 207 | 41.86 | 36.85 | 5.05 |
| Total | | | 10,39,127 | 4,245 | 2,331 | 1,793 | 610.94 | 425.4 | 185.58 |

Source: Information compiled from the records of the UPCL.

Appendix-3.6.4
(Reference: Paragraph 3.6.5.3; Page 136)

Statement showing the status of DTR Metering

| Sl. No. | Name of Division | Name of Town | Meter/Modem installed | Communicative (percentage) | Non Communicative (Percentage) |
|--------------|------------------|---------------------------------|-----------------------|----------------------------|--------------------------------|
| 1. | Sitarganj | Sitarganj Khatima | 72 51 | 42(58.33) 50(98) | 30(41.67) 1(2) |
| 2. | Haldwani | Haldwani | 309 | 140(45.31) | 169(54.69) |
| 3. | Kotdwar | Kotdwar | 111 | 34(30.63) | 77(69.37) |
| 4. | Dehradun Rural | Defense colony & MDDA colony | 30 | 18(60) | 12(40) |
| Total | | | 573 | 284(49.56) | 289(50.44) |

Source: Information compiled from the records of the UPCL.

Appendix-3.6.5
(Reference: Paragraph 3.6.6.3; Page 137)

Statement showing the details of MRI due and done of KCC consumers

| Sl. No. | Name of Divisions | MRI Due | | | MRI Done | | |
|--------------|-------------------|--------------|--------------|--------------|-------------------|-------------------|-------------------|
| | | Mar-15 | Mar-16 | Mar-17 | Mar-15 | Mar-16 | Mar-17 |
| 1. | Rudrapur | 2,046 | 2,103 | 2,158 | 1,371 (67) | 1,423(68) | 1,499 (69) |
| 2. | Haldwani Urban | 457 | 487 | 505 | 83 (18) | 106 (22) | 107(21) |
| 3. | Roorkee Rural | 725 | 725 | 725 | 489 (67) | 518 (71) | 549 (76) |
| 4. | Roorkee Urban | 836 | 1,139 | 1,187 | 669 (80) | 669 (59) | 522 (44) |
| 5. | Bazpur | 476 | 497 | 537 | 193 (41) | 201 (40) | 217 (40) |
| Total | | 4,540 | 4,951 | 5,112 | 2,805 (62) | 2,917 (59) | 2,894 (57) |

Source: Information compiled from the records of the UPCL.

Appendix-3.6.6
(Reference: Paragraph 3.6.6.4; Page 138)

Statement showing the details of meter reading through AMR or Manual in respect of KCC consumers as on March 2017

| Sl. No. | Name of Divisions | Total No. of KCC | Meter reading through AMR | Manually |
|--------------|-------------------|------------------|---------------------------|--------------|
| 1. | Rudrapur | 2,158 | 390 | 1,768 |
| 2. | Haldwani Urban | 505 | 78 | 427 |
| 3. | Bazpur | 537 | 68 | 469 |
| 4. | Sitarganj | 877 | 108 | 769 |
| 5. | Kotdwar | 666 | 43 | 623 |
| 6. | Haldwani Rural | 635 | 128 | 507 |
| 7. | Tehri | 769 | 71 | 698 |
| 8. | Dehradun Rural | 1,064 | 332 | 732 |
| 9. | Roorkee Urban | 1,193 | 123 | 1,070 |
| 10. | Roorkee Rural | 1,194 | 292 | 902 |
| 11. | Haridwar Urban | 1,223 | 323 | 900 |
| 12. | Haridwar Rural | 1,328 | 429 | 899 |
| Total | | 12,149 | 2,385 | 9,764 |

Source: Information compiled from the records of the UPCL.

Appendix-3.6.7

(Reference: Paragraph 3.6.7.1; Page 138)

Statement showing the details of Initial Security not deposited as on March 2017 in respect of various categories

| Sl. No. | Name of Division | No. of Consumers | Amount (₹ in lakh) |
|--------------|------------------|------------------|-----------------------|
| 1. | Rudrapur | 412 | 78.88 |
| 2. | Haldwani Urban | 48 | 9.82 |
| 3. | Bazpur | 17 | 1.67 |
| 4. | Sitarganj | 24 | 5.31 |
| 5. | Kotdwar | 7 | 3.70 |
| 6. | Haldwani Rural | 11 | 2.26 |
| 7. | Tehri | 55 | 55.69 |
| 8. | Dehradun Rural | 8 | 15.81 |
| 9. | Dehradun South | 31 | 5.72 |
| 10. | Kashipur | 46 | 11.83 |
| 11. | Roorkee Urban | 7 | 0.95 |
| 12. | Haridwar Urban | 26 | 7.68 |
| 13. | Roorkee Rural | 14 | 3.00 |
| 14. | Haridwar Rural | 94 | 38.58 |
| Total | | 800 | 240.90 |

Source: Information compiled from the records of the UPCL.

Appendix-3.6.8
(Reference: Paragraph 3.6.8.1; Page 139)

Statement showing the details of RCs issued, realised, returned and pending for realisation during the period from 2014-15 to 2016-17

For the year 2014-15

(₹ in lakh)

| Sl. No. | Particulars | Number | Amount |
|---------|--|--------|----------|
| 1. | Opening Balance of RCs which was issued to DM offices for recovery u/s 5 and pending with DM offices as on 01.04.2014. | 11,413 | 9,994.90 |
| 2. | Number of RCs issued for recovery to DM office against the defaulting consumers under section 5 during the period April-2014 to March-2015 | 101 | 33.32 |
| 3. | Number of RCs and amount realized by DM office from defaulting consumers during the period April-2014 to March-2015. | 31 | 5.76 |
| 4. | Number of RCs returned by DM office due to wrong address of consumers, deceased consumer, etc. during the period April-2014 to March-2015. | 207 | 78.27 |
| 5. | Number of RCs pending with the DM office due to non-realization as on 31.03.2015. | 11,276 | 9,944.19 |

For the year 2015-16

| Sl. No. | Particulars | Number | Amount |
|---------|--|--------|----------|
| 1. | Opening Balance of RCs which was issued to DM offices for recovery u/s 5 and pending with DM offices as on 01.04.2015. | 11,276 | 9,944.19 |
| 2. | Number of RCs issued for recovery to DM office against the defaulting consumers under section 5 during the period April-2015 to March-2016 | 190 | 55.39 |
| 3. | Number of RCs and amount realized by DM office from defaulting consumers during the period April-2015 to March-2016. | 24 | 19.74 |
| 4. | Number of RCs returned by DM office due to wrong address of consumers, deceased consumer, etc. during the period April-2015 to March-2016. | 35 | 2.5 |
| 5. | Number of RCs pending with the DM office due to non-realization as on 31.03.2016. | 11,407 | 9,977.34 |

For the year 2016-17

| Sl. No. | Particulars | Number | Amount |
|---------|--|--------|-----------|
| 1. | Opening Balance of RCs which was issued to DM offices for recovery u/s 5 and pending with DM offices as on 01.04.2016. | 11,407 | 9,977.34 |
| 2. | Number of RCs issued for recovery to DM office against the defaulting consumers under section 5 during the period April-2016 to March-2017 | 2,685 | 4,265.53 |
| 3. | Number of RCs and amount realized by DM office from defaulting consumers during the period April-2016 to March-2017. | 451 | 103.91 |
| 4. | Number of RCs returned by DM office due to wrong address of consumers, deceased consumer, etc. during the period April-2016 to March-2017. | 899 | 2,175.45 |
| 5. | Number of RCs pending with the DM office due to non-realization as on 31.03.2017. | 12,742 | 11,963.51 |

Source: Information compiled from the records of the UPCL.

Appendix-3.6.9
(Reference: Paragraph 3.6.8.3; Page 140)

Statement showing the details of Additional Security required as on March 2017 in respect of KCC consumers (RTS-2 & 7)

| Sl. No. | Name of Division | No. of consumers | Additional Security required (₹ in crore) |
|--------------|------------------|------------------|--|
| 1. | Rudrapur | 151 | 11.67 |
| 2. | Haldwani Urban | 192 | 0.97 |
| 3. | Bazpur | 79 | 1.73 |
| 4. | Sitarganj | 179 | 3.71 |
| 5. | Kotdwar | 135 | 2.62 |
| 6. | Haldwani Rural | 127 | 1.21 |
| 7. | Tehri | 272 | 2.82 |
| 8. | Dehradun Rural | 457 | 5.26 |
| 9. | Dehradun South | 311 | 1.65 |
| 10. | Kashipur | 22 | 4.16 |
| 11. | Roorkee Urban | 347 | 2.64 |
| 12. | Haridwar Urban | 380 | 1.99 |
| 13. | Haridwar Rural | 772 | 15.15 |
| 14. | Roorkee Rural | 7 | 1.95 |
| Total | | 3,431 | 57.53 |

Source: Information compiled from the records of the UPCL.