

## Appendix-1.1

(Reference: Paragraph 1.1; Page vii)

### Status of Human Development infrastructure

<b>Medical facilities</b>	The district has functional District Hospitals Male & Female, 5 sub district Hospital <sup>115</sup> , 4 Community Health Centers (CHCs), 19 Primary Health Centers (PHCs), 136 sub centers (SCs) headed by Medical Officer-in-charge and a Medical College at Haldwani.
<b>Education facilities</b>	There were 1,203 Primary Schools (PS), 300 Upper Primary schools (UPS), 220 High schools, 4 Degree Colleges, 8 Industrial Training Institutes (ITI) and 3 Engineering Colleges in the district <sup>116</sup> .
<b>Water supply</b>	All 1,065 villages of the district have been provided water supply however, 347 habitations (13 <i>per cent</i> ) out of 2,748 habitations were partially covered (March 2012).
<b>Status of Road connectivity</b>	The District consists of 4,407 km of roads. As far as public transportation is concerned there exist 815 bus/tempo and taxi stands and road transportation is provided by the State Government as well as private operators.
<b>Economic Activities</b>	In the district, there were 6,119 Industries <sup>117</sup> which provide employment to 13,506 persons. Besides, there were availability of 380 hotels, Tourist Rest houses and Dharmshalas to manage the tourists.
<b>Other infrastructure</b>	There are 686 Public Distribution Centers <sup>118</sup> while there are 36 PDS stores having storage capacity of 17,080 Metric ton in the district. All 1065 villages <sup>119</sup> have been electrified.
<b>Other features</b>	The district have a maximum temperature of 40.2 degree Celsius in summer season and minimum temperature of (-) 5.4 degree Celsius in winter season. The average rainfall of the District is 1,487 mm.

<sup>115</sup> Includes Base Hospital Haldwani.

<sup>116</sup> Uttarakhand portal.

<sup>117</sup> As per Statistical Diary 2011.

<sup>118</sup> Urban-118 & Rural-568 per Statistical Diary, 2011.

<sup>119</sup> Uttarakhand portal.

<b>Centrally Sponsored Schemes</b>	Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS), National Rural Health Mission (NRHM), Sarva Shiksha Abhiyan (SSA), National Rural Drinking Water Programme (NRDWP), Integrated Child Development Services (ICDS) and Total Sanitation Campaign (TSC).
<b>State schemes</b>	Deen Dayal Awas Yojna and Veer Chandra Singh Garhwali

**Appendix-2.1**

*(Reference: Paragraph 2.4; Page 7)*

**Statement showing developmental schemes selected for district Audit**

<b>Social Sector:</b>	<ul style="list-style-type: none"> <li>• National Rural Health Mission (NRHM).</li> <li>• National Drinking Water Supply Programme (NRDWP).</li> <li>• Uttarakhand Decentralization Watershed Development Programme (UDWDP).</li> </ul>
<b>Economic Sector:</b>	<ul style="list-style-type: none"> <li>• Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS).</li> <li>• Accelerated Irrigation Benefit Programme (AIBP).</li> <li>• National Afforestation Programme (NAP).</li> </ul>
<b>General Sector:</b>	<ul style="list-style-type: none"> <li>• Civic Amenities by Municipal Administration.</li> <li>• National Lake Conservation Plan (NLCP).</li> </ul>

## Appendix-3.1

(Reference: Paragraph 3.2.1; Page 11)

## Mismatch in the opening and closing balance

(₹ in crore)

Financial Year	Source	Budget Outlay	Opening balance	Released Amount	Total Expenditure	Closing Balance
2007-08	District Sector	28.08	5.98	43.30	40.87	8.41
	State Sector	255.27	14.43	183.23	186.02	11.64
	Central Sponsored Schemes	157.75	8.00	86.46	84.28	10.18
	Externally Aided Schemes	8.45	0	4.32	4.13	0.19
	<b>Grand Total (A)</b>	<b>449.55</b>	<b>28.41</b>	<b>317.31</b>	<b>315.30</b>	<b>30.42</b>
2008-09	District Sector	31.59	6.46	36.27	38.94	3.79
	State Sector	219.90	11.58	182.46	176.77	17.27
	Central Sponsored Schemes	196.60	9.47	135.57	129.91	15.13
	Externally Aided Schemes	32.53	0	16.74	15.73	1.01
	<b>Grand Total (B)</b>	<b>480.62</b>	<b>27.51</b>	<b>371.04</b>	<b>361.35</b>	<b>37.20</b>
2009-10	District Sector	35.10	4.37	36.72	37.34	3.75
	State Sector	221.31	7.64	126.40	117.03	17.01
	Central Sponsored Schemes	227.71	5.30	162.18	152.17	15.31
	Externally Aided Schemes	26.96	0.37	19.26	18.94	0.69
	<b>Grand Total (C)</b>	<b>511.08</b>	<b>17.68</b>	<b>344.56</b>	<b>325.48</b>	<b>36.78</b>
2010-11	District Sector	35.10	3.48	36.50	37.03	2.95
	State Sector	148.75	9.01	130.54	116.18	23.37
	Central Sponsored Schemes	437.74	9.00	255.14	229.01	35.13
	Externally Aided Schemes	30.10	0.66	26.76	27.42	0
	<b>Grand Total (D)</b>	<b>651.69</b>	<b>22.14</b>	<b>448.94</b>	<b>409.63</b>	<b>61.45</b>
2011-12	District Sector	35.10	2.88	34.36	35.28	1.96
	State Sector	201.63	21.29	129.46	144.99	5.76
	Central Sponsored Schemes	413.31	27.19	197.96	208.87	16.28
	Externally Aided Schemes	38.94	0	38.22	36.19	2.03
	<b>Grand Total (E)</b>	<b>688.98</b>	<b>51.36</b>	<b>400.00</b>	<b>425.33</b>	<b>26.03</b>
<b>Grand total (A+B+C+D+E)</b>		<b>2781.91</b>		<b>1881.85</b>	<b>1837.09</b>	

Source: DESTO

**Appendix-3.2**

(Reference: Paragraph 3.2.1; Page 11)

**Financial status of the significant schemes being implemented in the district**

(₹ in crore)

Sl. No	Name of the Schemes <sup>120</sup>	2007-08		2008-09		2009-10		2010-11		2011-12		Exp.	Progressive unspent balance
		A	E	A	E	A	E	A	E	A	E		
1.	NRHM	4.17	3.07	7.60	5.92	10.75	6.38	14.03	11.14	15.67	11.12	37.63	4.55
2.	SSA	16.22	12.92	18.31	14.93	20.33	17.57	30.91	23.83	30.97	26.06	95.31	4.91
3.	IAY	5.56	3.18	5.27	4.34	10.35	9.81	7.98	6.84	10.07	5.24	29.41	4.83
4.	SGRY	4.68	4.37	0	0	0	0	0	0	0	0	4.37	0
5.	SRY	1.48	1.21	0.68	0.65	0.29	0.29	0.21	0.21	0.23	0.23	2.59	0
6.	SGSY	1.29	0.92	1.77	1.50	1.63	1.61	1.83	1.82	1.50	1.47	7.32	0.03
7.	DRDA (A)	0.66	0.58	0.72	0.63	0.80	0.75	1.12	1.02	1.34	1.33	4.31	0.01
8.	IWDP	2.83	2.16	2.19	1.03	3.89	1.99	3.25	1.80	2.76	2.45	9.43	0.31
9.	MGNREGS	1.02	0.15	3.90	3.27	12.42	8.78	16.17	13.69	15.89	15.04	40.93	0.85
10.	MPLADS	2.27	0.79	3.48	0.90	4.15	1.27	4.60	1.94	6.53	1.73	6.63	4.80
11.	MLALADS	10.38	7.15	11.27	8.06	13.43	7.22	17.10	11.47	18.86	16.94	50.84	1.92
12.	DDUGAY	3.74	2.16	2.11	1.66	0.71	0.64	0.64	0.36	0.29	0.23	5.05	0.06
13.	AIBP	10.78	10.78	19.47	19.47	9.58	9.58	12.61	12.61	26.00	26.00	78.44	0
14.	NLCP	16.00	5.95	18.46	10.97	8.31	4.12	7.77	2.53	5.74	2.04	25.61	3.70
15.	FDA	3.29	2.11	3.71	2.60	1.34	0.33	1.50	0.54	1.60	0.83	6.41	0.77
16.	VCSGSES	0.90	0.76	0.64	0.42	1.76	0.26	2.40	1.83	0.97	0.59	3.86	0.38
17.	NRDWP <sup>121</sup>	12.86	6.38	9.54	8.35	2.23	2.98	0.68	1.18	3.40	3.10	21.99	0.30
18.	CAMPA	0	0	0	0	0	0	5.66	5.32	7.12	7.11	12.43	0.01
19.	UDWDP	6.92	6.48	5.96	5.89	7.68	7.62	9.80	9.49	12.83	11.87	41.35	0
<b>Total</b>		<b>105.05</b>	<b>71.12</b>	<b>115.08</b>	<b>90.59</b>	<b>109.65</b>	<b>81.20</b>	<b>138.26</b>	<b>107.62</b>	<b>161.77</b>	<b>133.38</b>	<b>483.91</b>	<b>27.43</b>

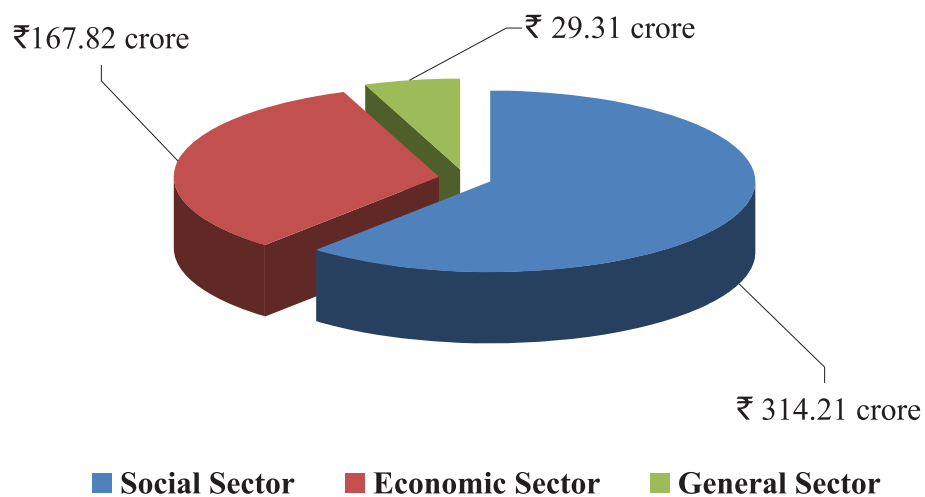
Source: Departmental figures

A= Available funds includes closing balances of last years, E= Expenditure

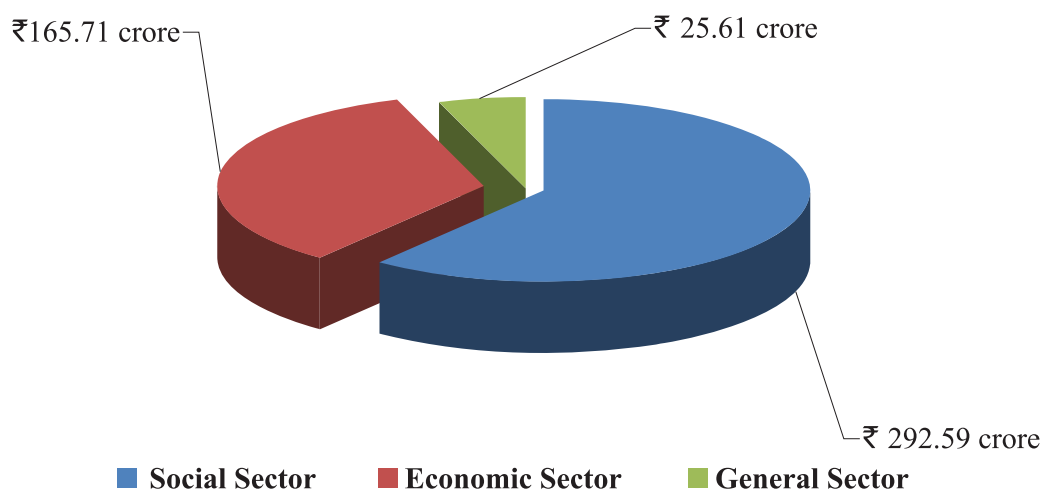
<sup>120</sup> Closing balance of SGRY amounting to ₹0.31 crore transferred to MGNREGS in the year 2008-09 while there is a difference in opening and closing balance of SSA and NRHM in the year 2008-09. No Closing balance is included in the UDEDP as the funds are surrendered in the treasury.

<sup>121</sup> Erstwhile ARWSP includes receipts and expenditure of Water Quality Programme of Swajal Dhara.

**Sector wise available funds of the significant schemes implemented in the district during 2007-12**



**Sector wise expenditure of the significant schemes implemented in the district during 2007-12**



**Appendix-3.3**

(Reference: Paragraph 3.2.1; Page 11)

**Financial status of selected schemes being implemented in the district**

(₹ in crore)

Name of the Schemes <sup>122</sup>	2007-08		2008-09		2009-10		2010-11		2011-12		Progressive unspent balance	Total Expenditure
	A	E	A	E	A	E	A	E	A	E		
1	2	3	4	5	6	7	8	9	10	11	12	3+5+7+9+11
NRHM	4.17	3.07	7.60	5.92	10.75	6.38	14.03	11.14	15.67	11.12	4.55	37.63
MGNREGS	1.02	0.15	3.90	3.27	12.42	8.78	16.17	13.69	15.89	15.04	0.85	40.93
AIBP	10.78	10.78	19.47	19.47	9.58	9.58	12.61	12.61	26.00	26.00	0	78.44
NAP	3.29	2.11	3.71	2.60	1.34	0.33	1.50	0.54	1.60	0.83	0.77	6.41
NRDWP	12.86	6.38	9.54	8.35	2.23	2.98	0.68	1.18	3.40	3.10	0.30	21.99
NLCP	16.00	5.95	18.46	10.97	8.31	4.12	7.77	2.53	5.74	2.04	3.70	25.61
UDWDP	6.92	6.48	5.96	5.89	7.68	7.62	9.80	9.49	12.83	11.87	0	41.35
<b>Total</b>	<b>55.04</b>	<b>34.92</b>	<b>68.64</b>	<b>56.47</b>	<b>52.31</b>	<b>39.79</b>	<b>62.56</b>	<b>51.18</b>	<b>81.13</b>	<b>70</b>	<b>10.17</b>	<b>252.36</b>

Source: Departmental figures

A= Available funds includes closing balances of last years

E=Expenditure

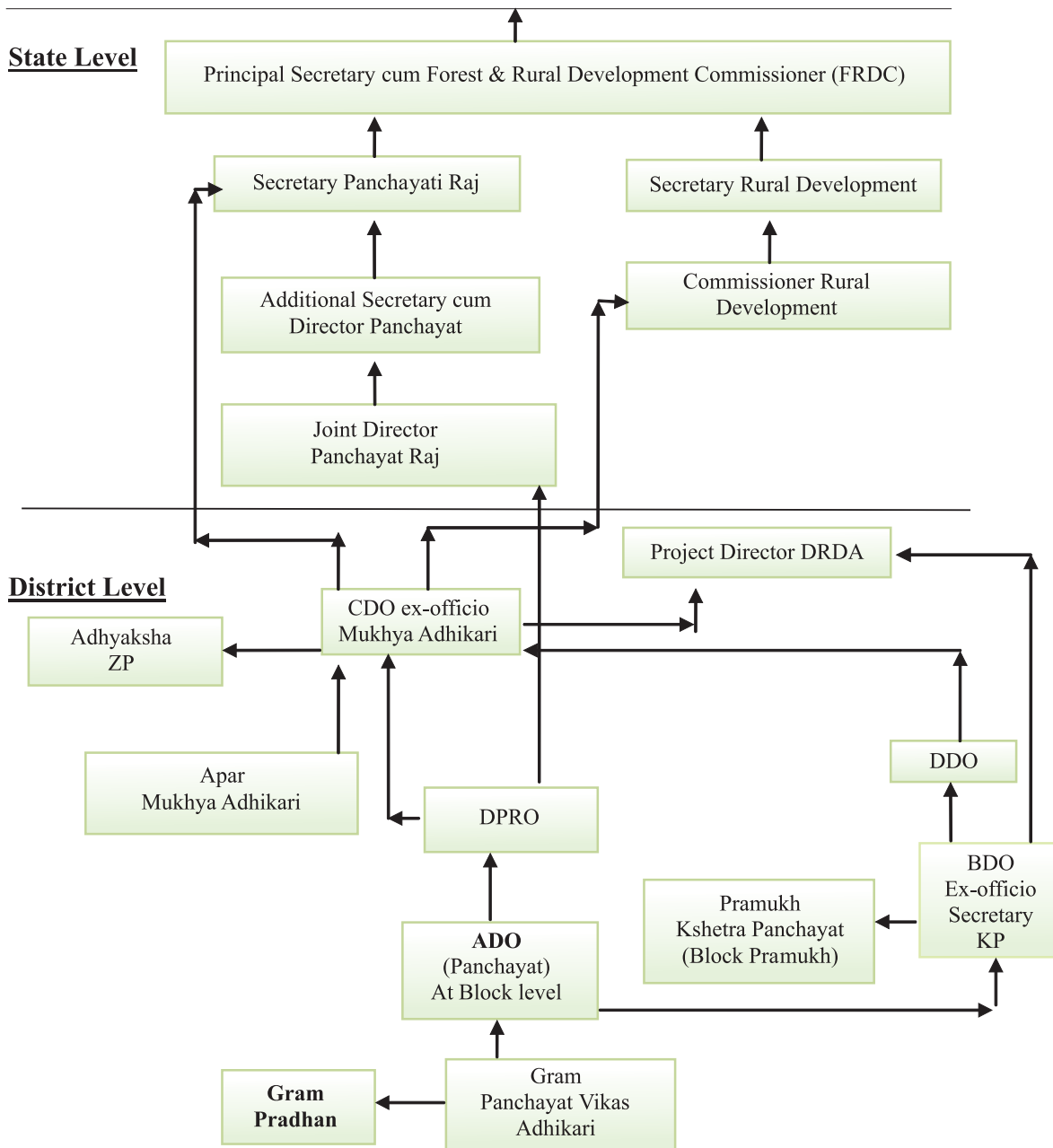
<sup>122</sup> Under NRHM it includes receipts and expenditure of National Programmes and there is difference in opening and closing balance of 2008-09. Under UDWDP unspent balance is surrender treasury Head. NRDWP scheme includes receipt and expenditure of Water Quality Programme under NRDWP.

**Appendix-4.1**

*(Reference: Paragraph 4.2 ; Page 14)*

**The organizational arrangements of PRIs**

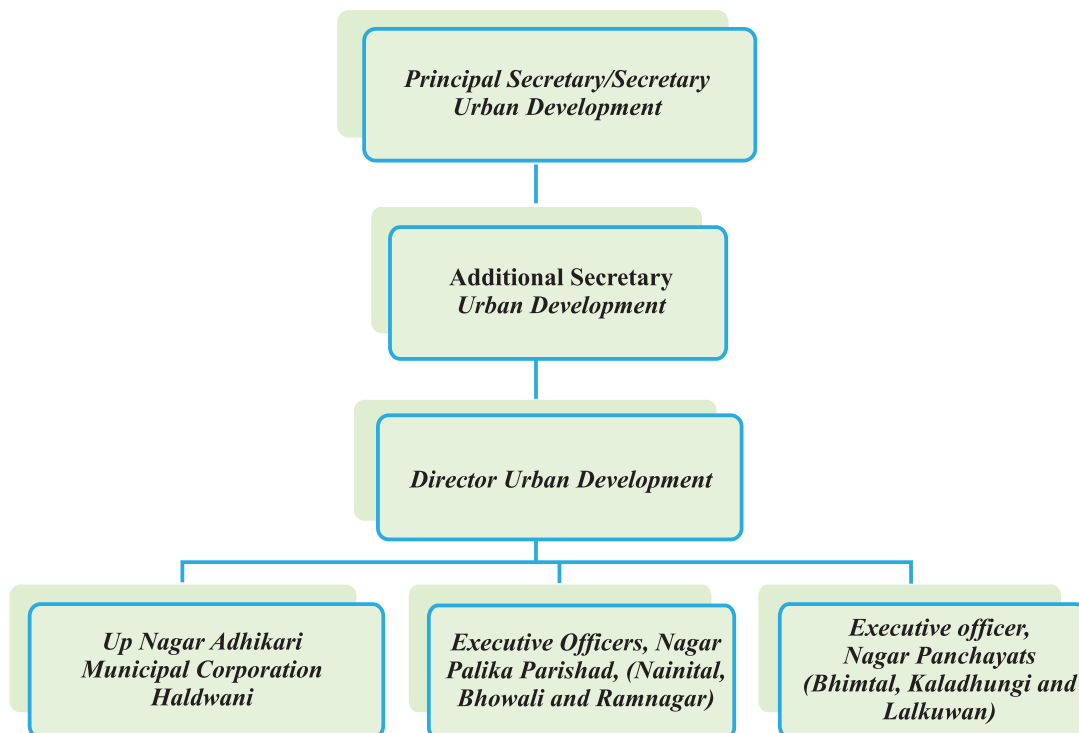
**Panchayati Raj in Nainital**



**Appendix-4.2**

*(Reference: Paragraph 4.2; Page 14)*

**Organizational structure of ULBs**





## Appendix-4.3

(Reference: Paragraph 4.4; Page 15)

Total funds available and expenditure incurred in the test checked PRIs and ULBs  
(2007-08 to 2011-12)

(₹ in crore)

Name of the LBs	No of selected LBs	Opening balance	Receipt	Total	Expenditure	Progressive Unspent balance/ per cent
<b>PRIs</b>						
ZP	1	3.60	47.88	51.48	43.37	8.11
KP	4	0.35	41.16	41.51	35.65	5.86
GP	24	0.17	4.57	4.74	4.14	0.60
<b>Total PRIs</b>		<b>4.12</b>	<b>93.61</b>	<b>97.73</b>	<b>83.16</b>	<b>14.57/15</b>
<b>ULBs<sup>123</sup></b>						
NN	1	11.35	61.61	72.96	66.74	6.22
NPP	2	3.27	62.92	66.19	64.59	1.60
NP	1	0.36	2.06	2.42	2.29	0.13
<b>Total ULBs</b>		<b>14.98</b>	<b>126.59</b>	<b>141.57</b>	<b>133.62</b>	<b>7.95/6</b>
<b>Total (PRIs &amp; ULBs)</b>		<b>19.10</b>	<b>220.20</b>	<b>239.30</b>	<b>216.78</b>	<b>22.52</b>

Source: Financial Statements

## Appendix-4.4

(Reference: Paragraph 4.4.1; Page 15)

## Funds received under SFC, TFC and ThFC by the PRIs in Nainital District

(₹ in crore)

Year		2007-08	2008-09	2009-10	2010-11	2011-12
Released under SFC	GPs	4.61	4.61	4.61	6.11	2.29
	KPs	2.72	2.72	2.72	3.61	1.35
	ZP	1.82	1.82	1.82	2.41	2.41
	<b>Total (A)</b>	<b>9.15</b>	<b>9.15</b>	<b>9.15</b>	<b>12.13</b>	<b>6.05</b>
Released under TFC & ThFC	GPs	0.94	0	0.94	1.57	2.01
	KPs	0.55	0	0.55	0.93	1.19
	ZP	0.37	0	0.37	0.31	1.11
	<b>Total (B)</b>	<b>1.86</b>	<b>0</b>	<b>1.86</b>	<b>2.80</b>	<b>4.31</b>
<b>Total (A+B)</b>		<b>11.01</b>	<b>9.15</b>	<b>11.01</b>	<b>14.93</b>	<b>10.36</b>

Source: DPRO &amp; ZP

<sup>123</sup> Excludes own receipts of NP Bhimtal.

**Appendix-5.1**

(Reference: Paragraph 5.4.2.1; Page 40)

**Cost escalation in selected GPs**

Sl. No	Name of the work	Initial Physical item	Initial Unit cost	Unit cost at increased rate	Difference in Rupees	Total delayed executed item	Cost escalation (INR)
<b>Village Panchayat – Dholigaun</b>							
1	Animal Shelter	20	2,2000	36,390	14,390	20	2,87,800.00
2	Rain water harvesting tank	66	11,000	15,300	4,300	7	30,100.00
3	Cretwire Chekdam	1,233.86	620	907	287	194.50	55,821.50
			<b>Total</b>				<b>3,73,721.50</b>
<b>Village Panchayat – Katana</b>							
1	Rain water harvesting tank	100	11,000	15,300	4,300	40.00	1,72,000
2	Irrigation Tank	48	54,000	67,200	13,200	7.00	92,400
3	Cretwire Chekdam	828.30	620	907	287	115.58	33,171.46
4	Cretwire Structure	1,322.73	620	907	287	400.00	1,14,800
5	Animal Shelter	20	22,000	36,390	14,390	20.00	2,87,800
			<b>Total</b>				<b>7,00,171.46</b>
<b>Village Panchayat – Manjuli</b>							
1	Rain water harvesting tank	154	11,000	15,300	4,300	5.00	21,500
2	Irrigation Tank	46	54,000	67,200	13,200	8.00	1,05,600
3	Pusta Repair	620	130	228	98	620.00	60,760
4	Cretwire Chekdam	1,785	620	907	287	1,484.00	4,25,908
5	Animal Shelter	50	22,000	36,390	14,390	32.00	4,60,480
			<b>Total</b>				<b>10,74,248.00</b>
<b>Village Panchayat – TallaKanda</b>							
1	Animal Shelter	20	22,000	36,390	14,390	20.00	2,87,800.00
2	Pusta Repair	263.11	130	228	98	263.11	25,785.00
3	Rain water harvesting tank	82	11,000	15,300	14,300	5.00	21,500.00
4	Naula, Chal/ Khala	27	10,000	14,000	3,000	10.00	40,000.00
5	Irrigation Tank	13	54,000	67,200	13,200	1.00	13,200.00
6	Dry Stone Chekdam	2,121.40	225	285	60	391.00	23,460.00
			<b>Total</b>				<b>4,11,745.00</b>
<b>Grand Total</b>							<b>25,59,885.96</b>

Source: Projects records

**Appendix-5.2**

*(Reference: Paragraph 5.4.2.2; Page 41)*

**Component wise expenditure under UDWDP**

*(₹ in crore)*

Year	Name of components		
	Participatory Watershed Development & Management	Enhancing Livelihood	Institutional Strengthening
2005-06	0.87	0.75	0.65
2006-07	4.44	1.14	0.63
2007-08	4.73	1.54	0.65
2008-09	3.80	1.83	0.69
2009-10	4.87	2.27	0.64
2010-11	3.40	3.16	0.81
2011-12	6.60	2.64	0.64
<b>Total</b>	<b>28.71 (61%)</b>	<b>13.33 (29%)</b>	<b>4.71 (10%)</b>

Source: Data of UDWDP Haldwani (Nainital)

**Appendix-6.1**

(Reference: Paragraph 6.2.3.2; Page 54)

**Position of 11 canals which were already irrigating more area than Proposed Potential Area (PPA) as well as Culturable Command Area (CCA)**

Name of canal	CCA (hectare)	PPA (in hectare)			Irrigated Area in hectare 2007-08			Proposed IP in schemes (in hectare)
		Kharif	Rabi	Total	Kharif	Rabi	Total	
Pawalgarh canal	497	405	406	811	734	891	1,545	45.90
Khichdi canal	844	1,342	1,340	2,682	1,242	1,324	2,566	18.36
Chandra pur canal	134	112	111	223	203	367	570	8.16
Dhamola canal	416	370	371	741	420	810	1,230	20.40
Patkot canal	202	204	203	407	242	236	478	38.76
Eastern dabka canal	103	72	100	172	102	193	295	11.22
Shivlal pur canal	89	61	61	122	131	124	255	5.10
Jassaganja canal	769	574	541	1,115	772	753	1,525	56.00
Satgaon canal	219	197	185	382	230	215	445	
Beljudi canal	566	509	482	991	566	535	1,101	99.00
Manshadevi canal	784	705	667	1,372	784	773	1,557	
<b>Total</b>	<b>4,623</b>	<b>4,551</b>	<b>4,467</b>	<b>9,018</b>	<b>5,426</b>	<b>6,221</b>	<b>11,567</b>	<b>302.90</b>

Source: Divisional figures

**Appendix-6.2**

(Reference: Paragraph 6.3.1; Page 57)

**Available funds and expenditure under NAP (2007-08 to 2011-12)**

(₹ in crore)

Sl. No	Name of the FDA	Available funds@	Expenditure	Closing Balance As on 31-03-2012
1.	FDA, Ram Nagar	1.33	1.10	0.23
2.	FDA, Tarai West	0.56	0.46	0.10
3.	FDA, Soil Conservation division Nainital	3.39	3.05	0.34
4.	FDA, Nainital	1.88	1.80	0.08
5.	FDA, Tarai East	0	0	0
6.	FDA, Tarai Central	0.01	0	0.01
7.	FDA, Haldwani	0.01	0	0.01
	<b>Total</b>	<b>7.18</b>	<b>6.41</b>	<b>0.77</b>

Source: Divisional records & Audited Accounts

@ includes interest and unspent balance with JFMCs

### Appendix-8.1

(Reference: Paragraph 8.1; Page 77)

#### Detail of Sanctioned Strength and Men in Position of the line departments

Sl. No.	Department/ Office	Group-'A' & 'B'			Group-'C' & 'D'		
		Sanctioned Strength	Men in Position	Shortage (per cent)	Sanctioned Strength	Men in Position	Shortage (per cent)
1.	Uttarakhand Peyjal Nigam	5	5	0(0)	30	18	12(40)
2.	Social Welfare Department	14	6	8(57)	107	51	56(52)
3.	Chief Agriculture Office	9	7	2(22)	21	19	2(10)
4.	Co-Operative Societies	1	1	0(0)	42	34	8(19)
5.	Dy. Director Sericulture	0	0	0(0)	17	8	9(53)
6.	ICDS	10	8	2(20)	74	56	18(24)
7.	Dairy Development Department	18	16	2(11)	187	112	75(40)
8.	Ayurvedic & Unani Office	69	48	21(30)	143	111	32(22)
9.	Irrigation Department	6	6	0(0)	147	122	25(17)
10.	Industry Department	4	4	0(0)	30	27	3(10)
11.	Public Works Department	11	5	6(55)	80	57	23(29)
12.	Rural Engineering Services	5	4	1(20)	41	40	1(02)
13.	Fisheries Department	3	3	0(0)	20	13	7(35)
14.	Chief Development Officer	13	11	2(15)	306	197	109(36)
15.	Youth Welfare Department	1	1	0(0)	12	11	1(08)
16.	District Supply Office	2	1	1(50)	39	25	14(36)
17.	Chief Veterinarian Office	20	17	3(15)	134	91	43(32)
18.	Medical Health & Family Welfare	213	169	44(21)	1126	1089	37(03)
19.	GITI (Pains)	1	0	1(100)	33	19	14(42)
20.	Education Department	326	274	52(16)	6,759	5,881	878(13)
21.	Electricity Department	22	17	5(23)	432	292	140(32)
<b>Total:</b>		<b>753</b>	<b>603</b>	<b>150(20)</b>	<b>9,780</b>	<b>8,273</b>	<b>1,507(15)</b>

Source: District Economic & Statistical Officer

**Appendix-8.2**

(Reference: Paragraph 8.1.1; Page 77)

**Details of Sanctioned Strength and Men in Position in the selected schemes**

Name of line departments (schemes)	2007			2012		
	SS	MIP	Shortfall (in per cent)	SS	MIP	Shortfall (in per cent)
Irrigation divisions (AIBP)	374	342	9	380	359	6
Medical Department (NRHM)	1,050	833	21	1,072	869	19
Ayurvedic Evam Uanani Officer (AYUSH)	90	59	34	90	54	40
UJN & UJS (NRDWP)	621	519	16	613	484	21
SWAJAL (Water testing Surveillance)	22	13	41	22	21	5
UDWDP (EAP)	46	34	26	45	38	16
Forest Department (NAP)	1806	983	46	1,796	1,156	36
ULBs (JnNURM)	1,446	1029	29	1,446	906	37
NLRSADA Nainital (NLCP)	34	26	24	33	22	33
RDD (MGNREGS)	176	30	83	176	30	83
<b>Grand Total</b>	<b>5,665</b>	<b>3,868</b>	<b>32</b>	<b>5,673</b>	<b>3,939</b>	<b>31</b>

Source: Department figure

**Appendix-8.3**

(Reference: Paragraph 8.2.1; Page 79)

**Detail of Audit conducted by District Local Fund Audit**

(1)	Audit organization (2)	Total no. of (3)	Units (4)	Units actually (5)	Shortfall (6)
2007-08	Local Fund Audit	565	70	5	65(93)
	Co-op. & Panchayats	877	877	336	541(62)
2008-09	Local Fund Audit	565	52	11	41(79)
	Co-op. & Panchayats	943	943	522	421(45)
2009-10	Local Fund Audit	565	52	15	37(71)
	Co-op. & Panchayats	955	955	447	508(53)
2010-11	Local Fund Audit	565	51	13	38(75)
	Co-op. & Panchayats	976	976	439	537(55)
2011-12	Local Fund Audit	565	67	9	58(87)
	Co-op. & Panchayats	986	986	443	543(55)

Source: Departmental figure