

Table of Content

Para No	Particulars	Page No
Preface		v
Executive Summary		vii
Chapter-1		
Reconstruction of Infrastructure Post 2013 Disaster in Uttarakhand- An Overview		
1.1	The 2013 disaster	1
1.2	Disaster management framework in Uttarakhand	2
1.3	Audit objectives	4
1.3.1	Scope, Limitation and Coverage of Performance Audit	4
1.3.2	Procedure adopted for selection of units/offices and works	5
1.3.3	Audit criteria	6
1.3.4	Entry and Exit conferences	7
1.3.5	Organisation of audit findings	7
1.4	Acknowledgement	8
Chapter-2		
Management of Funds		
2.1	Funding arrangement	9
2.1.1	Special Plan Assistance for State Plan	11
2.1.2	Assistance under Centrally Sponsored Schemes (CSSs)	11
2.1.3	Assistance under Central Sector	11
2.1.4	Externally Aided Projects	11
2.1.5	Overall position of finances	12
2.1.6	Project implementation period	13
2.2	Audit findings	13
2.2.1	Short allocation/utilisation of CSS-R funds	13
2.2.2	Short allocation of funds by the State Government	15
2.2.3	Un-availed approved outlays	16
2.2.4	Diversion of sanctioned funds	17
2.2.5	Unauthorised retention of unspent balances of ₹30.62 crore	18
2.2.6	Deficiencies in contract managements	20
2.2.7	Undue benefit to contractors	24
2.2.8	Creation of interest liabilities	26
2.2.9	Incorrect treatment of interest receipts	27
2.2.10	Submission of inflated utilisation certificates	28
Chapter-3		
Planning and Reconstruction of damaged infrastructure		
3.1	Introduction	29
3.2	Roads, Bridges and Trek Routes	30
3.2.1.1	Improper identification and planning of damaged works by Nodal Agency	31
3.2.1.2	Multiple sources of funding for same works	33

3.2.1.3	Excess preparation of DPRs by UDRP	34
3.2.2.1	Non-completion of works within stipulated timeframe	35
3.2.2.2	Execution of inadmissible works	36
3.2.2.3	Cost escalation due to inadequate planning	37
3.2.2.4	Irregular and unjustified application of height and distance index on trek route works	38
3.2.2.5	Short coverage of identified damaged works under EAPs	38
3.3	Tourism Infrastructure	39
3.3.1	District Disaster Management Authority (DDMA), Rudraprayag	41
3.3.1.1	Delay in restoration of tourist facilities at Shri Kedarnath Dham and its Yatra Route	41
3.3.2	Uttarakhand Tourism Development Board (UTDB)	44
3.3.2.1	Non-conducting of tourist regulation studies and measures under UEAP	44
3.3.2.2	Non-achievement of intended objectives of restoration of tourist accommodations sanctioned under UEAP	45
3.3.2.3	Delay in completion of CSS-R works	47
3.3.3	Works of Uttarakhand Civil Aviation Development Authority (UCADA)	47
3.3.3.1	Deficient planning of UCADA towards disaster preparedness	48
3.3.3.2	Overestimation of works	48
3.4	Irrigation and Flood Control	48
3.4.1.1	Inadequate coverage of damaged Irrigation Infrastructure	50
3.4.1.2	Wrong inclusion of projects relating to Power Sector	50
3.4.2.1	Irregular execution of works with large number of contracts	50
3.4.2.2	Flood Protection Works not executed up to desired height	51
3.5	Power and Energy	52
3.5.1.1	Submission of proposals for multiple source of funding	52
3.5.2.1	Unrestored Hydro Electric Projects	53
3.5.2.2	Idle expenditure on preparation of excessive DPRs by UREDA	54
3.5.2.3	Abnormal delay in the execution of works by UPCL	54
3.6	Public Buildings	54
3.6.1.1	Delay in sanctioning of ITI buildings	55
3.6.1.2	Coverage of inadmissible school buildings	55
3.6.2.1	Buildings for setting-up Industrial Training Institutes (ITIs)	55
3.6.2.2	Reconstruction of damaged buildings of various departments under UDRP	56
3.7	Resilient Housing	57
3.7.1	Selection of beneficiaries without clear title of land	57
3.7.2	Non-transfer of old property to State Government	57
3.8	Agriculture and Soil Conservation	58
3.9	Forest and Biodiversity	58
3.9.1	Works executed from SDRF fund	59
3.10	Integrated Watershed Management Programme (IWMP)	59
3.11	Drinking Water Supply and Sanitation	59

3.12	Other activities related to disaster preparedness	60
3.12.1	Lack of departmental planning and budget	60
3.12.2	No support from PIU-Technical Assistance & Capacity Building for Disaster Risk Management	60
Chapter-4		
Supervision, Monitoring and Quality Control		
4.1	Introduction	63
4.2	Role and monitoring mechanism of designated committees/institutions	63
4.2.1	State Executive Committee	63
4.2.2	Core Committee and High Powered Committee	63
4.2.3	District Disaster Management Authorities	64
4.3	Departmental supervision, monitoring and quality control mechanisms	64
4.3.1	Lack of centralised records of Inspections	64
4.3.2	Ineffective supervision and quality control	64
4.3.3	Non-conducting of third party assessments	66
4.3.4	Poor quality of road works	66
Chapter-5		
Conclusion and Recommendations		
5.1	Conclusion	67
5.2	Recommendations	68
Appendices		
Appendix- 1.1	List of selected units	71
Appendix- 2.1	Sector-wise overall position of MLTR funds (as on 31 March 2018)	73
Appendix- 2.2	List of CSSs against which no funds were released by the GoI	74
Appendix- 2.3	Details of short allocation of funds under CSSs	74
Appendix- 2.4	Details of diversion of sanctioned funds	75
Appendix- 2.5	Details of overpayment to contractors	76
Appendix- 2.6	Details of undue advantage to contractors	76
Appendix- 2.7	Details of Non-levy of liquidated damages (LD)	77
Appendix- 3.1	Department-wise status of works (March 2017 & 2018)	78
Appendix- 3.2 (A)	Details of multiple source of funding for reconstruction of Motor Roads (MLTR package)	79
Appendix- 3.2 (B)	SPA-R sanctions for those Motor Roads which are being constructed under other source of funding (State Sector/PMGSY)	80
Appendix- 3.3	Details of execution of works with uneconomical option	81
Appendix- 3.4	Details of UDRP projects having extra width of carriageway than prescribed norms	81
Appendix- 3.5	Details of UDRP projects having faulty pavement design	82
Appendix- 3.6	Statement showing examples of variation in sampled works (more than ₹ one crore)	83

Appendix- 3.7	List of works executed without having sanctions	84
Appendix- 3.8	Identified places for construction of Helidromes, Heliports, Helipads and Multi-Purpose Shelters as per UEAP list of works	84
Appendix- 3.9	Details of funds released for seven projects of IWMP	85
Appendix- 3.10	Sub-component wise activities of Technical Assistance & Capacity Building for Disaster Risk Management (TA&CBDRM)	85
Glossary of abbreviations		87