



Handbook on the Report of the Comptroller and Auditor General of India

For the year ended 31 March 2016



on

Performance Audit of Modernisation and Strengthening of Police Forces

Government of Uttar Pradesh

Preface

In accordance with Article 151(2) of the Constitution of India, the Comptroller and Auditor General of India forwards his Audit Report on the points noticed during audit of financial transactions of the State Government to the Governor, who causes them to be laid on the table of the Vidhan Mandal.

This Handbook¹ presents, at a glance, the contents of the Performance Audit Report on “Modernisation and strengthening of Police Forces” relating to the Government of Uttar Pradesh for the year ended 31 March 2016. The Audit Report includes observations arising out of Performance Audit which came to notice in the course of test audit of records of Police Department covering the period 2011-12 to 2015-16.

The Audit has been conducted in conformity with the Auditing Standards issued by the Comptroller and Auditor General of India. This handbook and the complete Report (Hindi and English) are available on our website www.agup.nic.in.



(P K Kataria)

Principal Accountant General
General and Social Sector Audit
Uttar Pradesh, Allahabad

¹ While every effort has been made to ensure conformity of the content of this publication with the related Audit Report, in case of any discrepancy, the facts and figures as stated in the Audit Report are to be treated as final.

Introduction

An efficient police force is essential for maintenance of law and order and ensuring effective check on crimes and other unlawful activities. Law and order is a State subject and, therefore, modernisation & strengthening of State Police is the primary responsibility of the State Government. Ministry of Home Affairs (MHA), however, introduced a scheme for Modernization of Police Forces (MPF) to supplement the State Governments' efforts to modernize the State Police by identifying and bridging gaps in availability of equipment, resources and technology. The MPF Scheme is funded on sharing basis by Central and State Governments.

The MPF scheme aims to modernise police forces in terms of mobility, weaponry, communication & equipment, training, forensic science laboratory and buildings. An expenditure of ₹ 462.87 crore was incurred under MPF scheme during 2011-16 to modernize the State Police. In addition to MPF scheme, State Government also incurred expenditure of ₹ 2,276.31 crore from its own budget during 2011-16 for development of infrastructure, procurement of vehicles, arms, ammunition, equipment, training etc. to strengthen its police force.

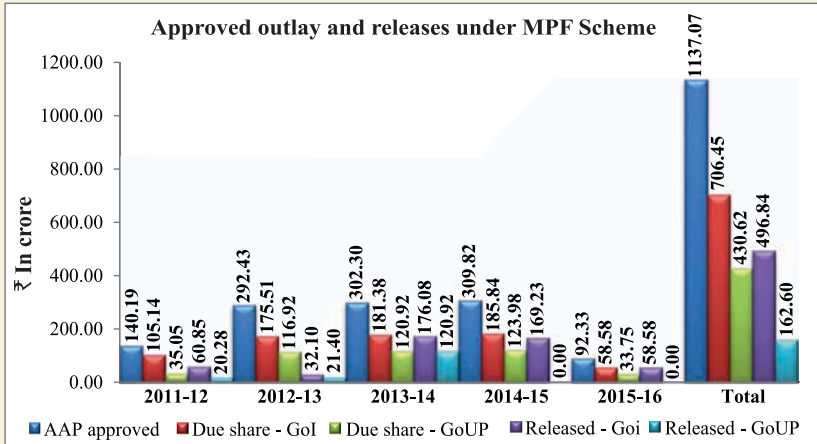
Audit has, therefore, taken up this performance audit to evaluate efficiency & effectiveness of activities related to modernisation & strengthening of police force through MPF scheme and also from State funding, identify gaps in modernisation efforts and make appropriate recommendations to the State Government for taking corrective measures.

Audit noticed that the State Police is still using obsolete weapons and outdated communication technologies, even after decades of introduction of the scheme for modernisation of police forces. Mobility of Police Force for patrolling and other purposes is severely constrained due to acute shortage of vehicles and obsolescence of its fleet. Special Commando Force and Commando Training Centres to handle anti-terrorists operations have still not been established. Forensic Science Labs are ill equipped to handle the increasing number of requests for examination of samples for investigation. The traffic police has few officers and lacks equipment to monitor and control rapidly growing traffic volumes and increasing length of road network. The police training establishment have severe capacity constraints and lacks modern training infrastructure, to impart state of the art training. Procurement of equipment in all the wings of police force is marked with delays, inefficiencies and serious time and cost overruns.

The State still has only about 50 *per cent* of the required number of police stations. There is an acute shortage of residential and other than residential accommodation of police personnel and police projects have been inordinately delayed by construction agencies. With a depleted strength of less than 50 *per cent* of sanctioned manpower, maintenance of law & order and controlling criminal, mafia & naxal activities continues to be a challenging task for the State police force. Given the high incidence of crime and sophistication of technology used by criminal elements, naxal, terrorists etc., in recent years, there is dire need for speeding up the pace of modernisation of State Police, both from Central and State resources.

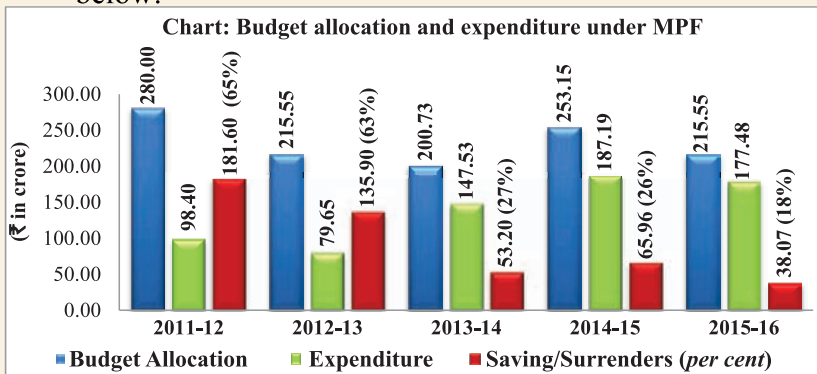
Chapter 2 – Planning and Financial Management

- Both Central & State Governments did not release their due shares for the Central Scheme for modernization of police force. GoI released only ₹ 496.84 crore (70 per cent) and GoUP released only ₹ 162.60 crore (38 per cent) of their due shares during 2011-16 as depicted in the Chart below:



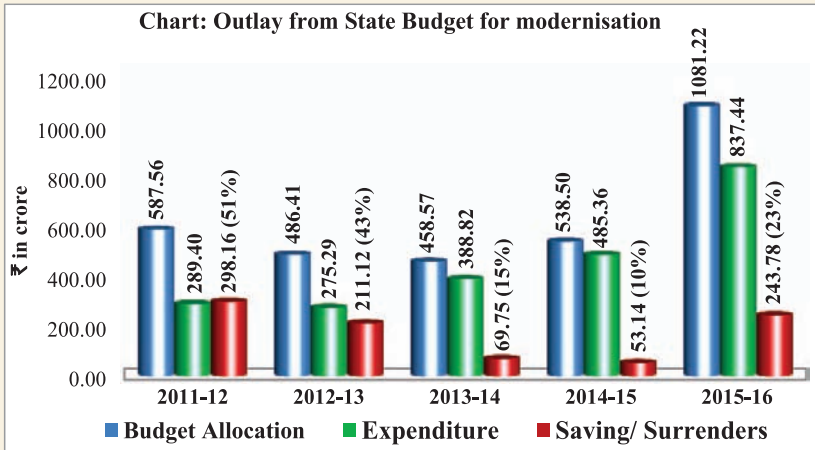
(Paragraph 2.3.1)

- The department could not utilise 41 per cent of the ₹ 1,165.00 crore funds allocated for modernisation of police force under MPF scheme during 2011-16. The year-wise status of allocation and utilisation is shown below:



(Paragraph 2.3.2)

- The State Government released ₹ 3,152.26 crore during 2011-16 from its own budget for modernization and strengthening of State Police but the Police Department could utilize only ₹ 2,276.31 crore (72 per cent). Remaining ₹ 875.95 crore (28 per cent) was surrendered due to slippages in execution of works, delays in procurement of equipment etc. The year-wise status of allocation and utilisation is as below:



(Paragraph 2.4)

Chapter 3 – Modernisation of weaponry

- Against the demand of ₹ 69.37 crore under MPF scheme, only ₹ 38.31 crore (55 per cent) was allocated and ₹ 32.99 crore (86 per cent) was spent on procurement of arms & ammunitions during 2011-16 as detailed in Table below. Thus State Police’s requirement of modern weaponry could not be fully met.

(₹ in crore)

Year	Demand of Fund (AAP)	Allotment of Fund	Expenditure	Surrender
2011-12	12.28	3.53	3.53	00
2012-13	20.48	12.10	12.10	00
2013-14	10.70	5.40	3.24	2.16
2014-15	12.78	9.39	9.39	00
2015-16	13.13	7.89	4.73	3.16
Total	69.37	38.31	32.99	5.32

(Paragraph 3.2.1)

- Despite significant obsolescence in the weaponry held by the State Police and increasing sophistication of weaponry used by terrorists, naxals & other criminal elements, DGP took 17 years to prepare a response to the MHA’s 1995 proposal for revision of Arming policy of State Police and the State Government took another four years in submitting the same to the MHA, indicating highly apathetic attitude in dealing with the matters relating to modernization of police, maintenance of law & order and security of citizens.

(Paragraph 3.3)

- About 48 *per cent* of the police force in the State is still using point-303 bore rifle which had been declared obsolete by MHA more than 20 years ago.



Point-303 Rifle

(Paragraph 3.5)

- The State Police has significant shortage of 9 mm ball ammunition of automatic pistols and carbines which is used in training, VIPs security as well as by district armed police as detailed below:

Year	Demand	Supply by Ordinance Factory	Shortage
2014-15	5,39,000	NIL	5,39,000
2015-16	6,57,651	1,30,622	5,27,029

(Paragraph 3.7)

- The Central Reserve Sitapur, the sole storage facility for arms and ammunitions in the State, has not undertaken any modernisation activity. The Central Reserve lacked proper storage buildings, fire security system and surveillance system and, therefore, arms & ammunitions worth crores of rupees were at risk of damage, pilferage, fire etc.



(Paragraph 3.8)

Chapter 4 – Modernisation of Communication Systems

- Out of ₹ 136.51 crore received for procurement of communication equipment under MPF, department could utilise only 41 *per cent* of the allotment during 2011-16 due to not finalising purchase orders as detailed below:

Year	Budget Requirement	Allotment	Expenditure	Surrender (<i>per cent</i>)
2011-12	44.54	31.76	6.69	25.07 (79)
2012-13	53.76	28.00	5.94	22.06 (79)
2013-14	40.72	29.89	13.86	16.03 (54)
2014-15	25.28	33.86	17.32	16.54 (49)
2015-16	33.91	13.00	11.82	1.18 (9)
Total	198.21	136.51	55.63	80.88 (59)

(Paragraph 4.3)

- There was an acute shortage of hand held sets in the State Police. About 48 *per cent* of the police force was not provided with hand held sets as per norms.

(Paragraph 4.4)

- Out of total holding of 50,216, the prescribed lives of 33860 sets had expired. These sets needed to be replaced but were still being used due to not procuring new sets.

(Paragraph 4.5)

- Due to spectrum charges not paid timely, late fee of ₹ 104.47 crore was levied by Wireless Planning Cell (WPC) for the period 2004-17, out of which ₹ 57.66 crore was paid by the department in September 2015.

(Paragraph 4.6)

- Polnet is a satellite based communication system which was established (2003-04) in 56 districts of the State by MHA, GoI. Only 38 districts (51 *per cent*) were found to have functional Polnet and in remaining 18 districts, Polnet was not functional since Annual Maintenance Contract (AMC) was not done.

(Paragraph 4.9)

- Out of 691 Close Circuit Television Camera (CCTV) installed in 15 test-checked districts for surveillance purposes, 39 *per cent* were not found functional due to technical defects or for want of AMC. Failure of such large number of CCTV cameras put the lives of common people at risk and also compromised the security of important places.

(Paragraph 4.12)

- Crime and Criminals Tracking Network System (CCTNS) has still not been made fully operational. The Police is not using this system as yet for crime investigation, search and prosecution and providing citizen centric portal services. The implementation of CCTNS system in the State has been considerably delayed.

(Paragraph 4.16)

Chapter 5 – Improving Police Mobility

- State Police has an overall shortage of 27 *per cent* of police vehicles against Bureau of Police Research & Development (BPR&D) norms. The shortage of Medium Police Vehicles (used for patrolling) was as high as 68

per cent in civil police and *75 per cent* in Provincial Armed Constabulary (PAC) as compared to the norms. Thus, adequate mobility of Police especially for patrolling functions was not ensured which was essential for maintenance of law and order, controlling crime and providing immediate help to the victims.

(Paragraph 5.2)

- There was irrational deployment of police vehicles in districts. While police in 43 districts had shortages of vehicles ranging from 11 to 46 *per cent*, rest 32 districts had either excess vehicles or the shortages were only marginal.

(Paragraph 5.3)

- Only 10 *per cent* of total condemned vehicles were replaced during 2015-16 and 1,847 condemned vehicles were still awaiting replacement at the end of 2015-16.

(Paragraph 5.7)

- Despite district police facing critical shortage of vehicles, Department purchased ten bulletproof Tata Safari and eight General Safari vehicles for Chief Minister's security against the 18 condemned vehicles of eleven districts, thus depriving the district police of their sanctioned fleet of vehicles. Government also incurred avoidable expenditure of ₹ 3.66 crore by purchasing more expensive and luxurious vehicles (Mercedes Model M-Guard) for Hon'ble Chief Minister's security instead of Land Cruiser sanctioned earlier.

(Paragraph 5.7.1)

- Cost of repair per vehicle in Police Automotive Workshop increased eight times during last seven years due to sharp decline in the number of vehicles repaired by the Workshop, making the operations of the Workshop economically unviable as detailed below:

Year	Total repaired vehicles	Total expenditure incurred on workshops (in ₹)	Expenditure per vehicle (in ₹)
2009-10	990	509,84,291	51,499.20
2010-11	772	562,60,739	74,392.04
2011-12	703	674,27,843	95,914.32
2012-13	361	715,27,393	198,136.73
2013-14	355	731,47,737	206,052.67
2014-15	116	662,58,013	571,189.77
2015-16	244	999,95,963	409,819.52

(Paragraph 5.10)

Chapter 6 – Modernisation of Forensic Science Laboratories

- Department failed to modernise and strengthen forensic science labs (FSL) as envisaged in perspective plan 2011-16. Only 44 *per cent* of the districts in the State could be equipped with mobile forensic vans and none of the 500 circles have been provided such facility so far. New sections were also not opened in the existing FSLs as planned.

(Paragraph 6.2)

- There have been inordinate delays in sanction and execution of works for creation of basic infrastructure facilities for Regional FSLs and therefore, four out of five RFSL could not be made functional.

(Paragraph 6.2)

- There was shortage of modern equipment in FSLs. Audit, however, found that Department failed to utilise 55 *per cent* of the funds allotted for purchase of lab equipment because tenders were not finalised as detailed below:

Sl. No.	Year	Released amount	Expenditure	Saving/ Surrender
1	2011-12	00.00	00.00	00.00
2	2012-13	00.00	00.00	00.00
3	2013-14	10.92	1.03	9.89
4	2014-15	17.75	4.07	13.68
5	2015-16	24.88	19.00	5.88
Total		53.55	24.10	29.45

(Paragraph 6.3)

- The existing four FSLs had huge shortage of technical staff which adversely affected forensic examination of samples in the labs. The shortages of staff increased from 47 to 67 *per cent* during 2012-13 to 2015-16 which further worsened the pendency of samples.

(Paragraph 6.5)

- FSL facilities remained highly inadequate in the State. More than 6617 samples were pending for examination at Lucknow, Agra and Varanasi FSLs as on January 2011, which increased to 15,033 (227 *per cent*) as of March 2016.

(Paragraph 6.6)

Chapter 7 – Modernisation and augmentation of training establishments

- Eighty *per cent* (₹ 25.65 crore) of total allocation of funds made for procurement of training equipment during 2011-16 were surrendered due to delay in processing and finalisation of procurements as detailed below:

Name of the scheme	Allotment	Expenditure	Unspent (<i>per cent</i>)
Thirteenth Finance Commission	4.23	2.28	1.95 (46)
Modernization of Police Force	27.86	4.16	23.70 (85)
Total	32.09	6.44	25.65 (80)

(Paragraph 7.2)

- Large number of important equipment such as interactive fire arms simulators; cybercrime lab equipment etc. could not be procured due to delays in finalisation of tender. Further, six out of ten Fire Arms Simulators used for training in eight training establishments were not functioning from 2012 to February 2016 for want of AMC. As a result, police force was deprived of the benefit of training with modern training aids.

(Paragraph 7.2 & 7.9)

- The training capacity of existing training centres in the State is highly inadequate with a deficiency of 63 to 65 *per cent* during 2011-16. Department failed to establish three Police Training Schools (PTS) at Kanshiram Nagar, Jalaun and Sultanpur as of March 2017 due to change in layout plan and design/drawing of buildings and slow progress of work.

(Paragraph 7.3)

- Police training institutions/schools/centres had huge shortage of indoor training instructors ranging from 36 to 68 *per cent* during 2011-16 and excess of outdoor training instructors (19 *per cent*) during 2011-14. Inadequate capacity of training establishment and shortage of indoor training instructors adversely affected training of police personnel in the State.

(Paragraph 7.4)

Chapter 8 – Special Police Forces’ Modernisation

For special purposes and needs, several police units have been established under Uttar Pradesh Police Force. In this performance audit, three special police forces viz. Anti-Terrorists Squad (ATS), Provincial Armed Constabulary (PAC), Special Task Force (STF) were selected for detailed examination. Our main findings are summarised as below:

Anti-Terrorists Squad

- After various terrorist attacks in the country, Uttar Pradesh Police decided (June 2009) to establish a Commando Unit of 2000 commandos under ATS and four Commando Hubs on the line of National Security



Guards (NSG) to effectively deal with such situation. The proposed Commando strength of 2000 has still not been sanctioned by GoUP and the proposal is pending with the Government since December 2009. As an interim measure, only 79 PAC personnel with preliminary commando training have been positioned (September 2016) with ATS for commando operations. Hence, strengthening of this special police force for commando operations has not been given adequate priority.

(Paragraph 8.1.1 & 8.1.3)

- Construction of the Commando Training School (CTS) sanctioned in June 2011 has still not been completed even after three years of scheduled date of completion due to unavailability of land and slow execution of work. There is cost overrun of ₹ 26.49 crore in the project.

Four Commando Hubs in Agra, Lucknow, Meerut and Varanasi on the line of National Security Guards, where commandos were to be deployed (after completion of their trainings) for commando operation, as and when required, have still not been established as of September 2016 because land were not acquired.

(Paragraph 8.1.1)

- GoUP decided in January 2010 to start a temporary commando training school at Lucknow. Training in only Pre Induction Course was provided to 228 personnel during 2009-12 and no training has been provided during 2012-16. Thus, adequate numbers of Commandos have not been trained as planned, to effectively handle difficult security situations such as terrorist attacks etc.

(Paragraph 8.1.2)

- Availability of arms and ammunitions are most crucial for successful conduct of operational activities by police forces. Arms like 9mm MP5, 12 Bore Pump Action Gun (PAG), Stun Grenade and UBGL were provided first time to ATS in 2013-15 but ammunition for these weapons have still not been provided.

(Paragraph 8.1.5)

Provincial Armed Constabulary (PAC)

- There was a shortage of 61 *per cent* in group B gazetted officers (Deputy Commandant, Asstt. Commandant) in PAC at the end of 2015-16. This is bound to adversely impact the effective discharge of its duties by PAC in dealing with extreme cases of violence, communal riots *etc.*



(Paragraph 8.2.1)

- Out of ₹ 43.71 crore allotted to PAC during 2011-16 for procurement of equipment under MPF Scheme, it could utilize only ₹ 31.55 crore because procurements were not finalised. As a result, important equipment such as bullet proof jacket, bullet proof helmet, body protector with shin

guard, polycarbonate shield and lane simulator could not be procured and provided to PAC, despite heavy surplus as detailed below:

Sl. No.	Equipment	Need	Availability	Shortfall (%)
1.	Body protector with shin guard	30,297	26,916	3,381 (11)
2.	Polycarbonate shield	29,321	28,815	506 (02)
3.	Polycarbonate lathi	27,488	26,078	1,410 (05)
4.	Bullet proof jacket	10,080	1,913	8,167 (81)
5.	Bullet proof helmet	10,080	209	9,871 (98)
6.	Lane simulator	32	1	31 (97)

(Paragraph 8.2.4)

Special Task Force (STF)

- More than 50 per cent of the sanctioned posts were vacant in STF which meant to control organised criminals and mafia in the State.

(Paragraph 8.3.1)

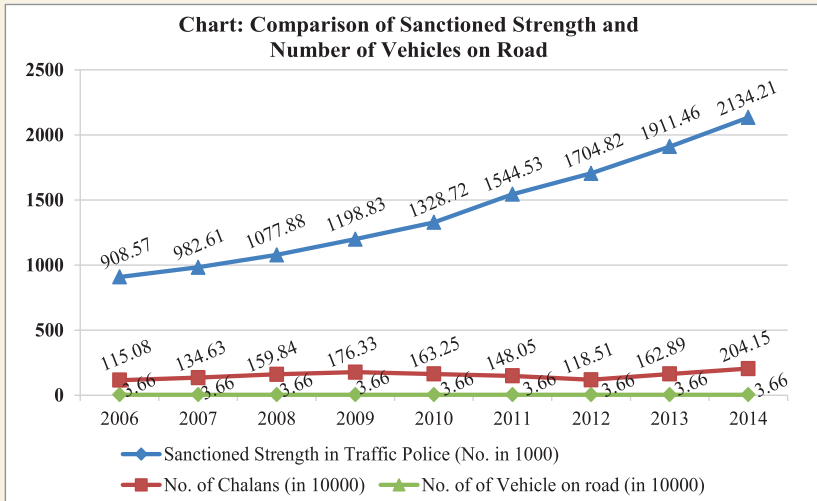
Chapter 9 – Traffic Police Modernisation

- State Police did not take adequate measures to generate enough revenue through imposition of fines and penalties under Motor Vehicle Act. It was able to collect only ₹ 125.48 crore (23.43 per cent) under Motor Vehicle Act against the perspective plan target of ₹ 535.56 crore during 2011-16. The Traffic Police therefore did not have adequate funds for modernisation.

(Paragraph 9.2)

- Number of registered vehicles in the State increased by 2,256 per cent during 1985 to 2015, but the sanctioned strength of traffic police has remained same since 1985-86. There was also shortage of 71 to 93 per cent in the cadres of Traffic Inspector, Traffic Sub-Inspector and Traffic Constable against the sanctioned strength.

(Paragraph 9.3)



Chapter 10 – Construction of Police Accommodation

- Construction of well-secured residential, administrative and other buildings with all basic amenities to provide better living and working environment to State Police force is one of the thrust areas of the scheme of modernisation of police force.
- There were inordinate delays in construction of residential and other than residential buildings for police. Out of 616 works costing ₹ 1,048.73 crore sanctioned during 1995 to March 2014 which were required to be completed up to March 2016, only 393 works (64 per cent) were completed by incurring an expenditure of ₹ 482.15 crore and balance 223 works (34 per cent) were still pending completion.

(Paragraph 10.2)
- The Department could not utilise ₹ 712.86 crore (25 per cent of budget allocation) for construction of residential and other than residential buildings during 2011-16 due to slow execution of works by the construction agencies.

(Paragraph 10.2.1)

- GoUP awarded 2,068 works costing ₹ 2,920.62 crore to nine government construction agencies on nomination basis without inviting tenders. Award of such high value contracts on nomination basis without competition promotes ineffectiveness, arbitrariness, and ignores the need to improve quality and enforce cost controls.

(Paragraph 10.2.2)

- State Government allotted 12 major works valuing ₹ 983.51 crore (54 *per cent* of total value of works awarded during 2014-16) to Uttar Pradesh Rajkiya Nirman Nigam ignoring its poor past performance. The agency could not complete 51 *per cent* of the works awarded during 1995 to 2012, even as of March 2017.

(Paragraph 10.2.3)

- Department while awarding works for construction of buildings did not verify the workload capacity of the construction agencies. As a result, 56 works costing ₹ 119.25 crore were awarded to four construction agencies (*Samaj Kalyan Nirman Nigam, Awas Vikas Parishad, UPPCL and PACCFED*) during 2015-16 exceeding their maximum capacities notified by the Government.

(Paragraph 10.2.4)

- Department released funds to the construction agencies for execution of works without signing MOUs laying down time frame, cost of construction and terms and conditions for execution of works and release of payments and imposition of penalties in case of delays, execution of sub-standard works. Out of 27 works costing ₹ 328.84 crore test-checked by audit, MOUs have still not been signed in 12 works costing ₹ 233.13 crore. This violated the provisions of budget manual and did not protect government interests in cases of time and cost

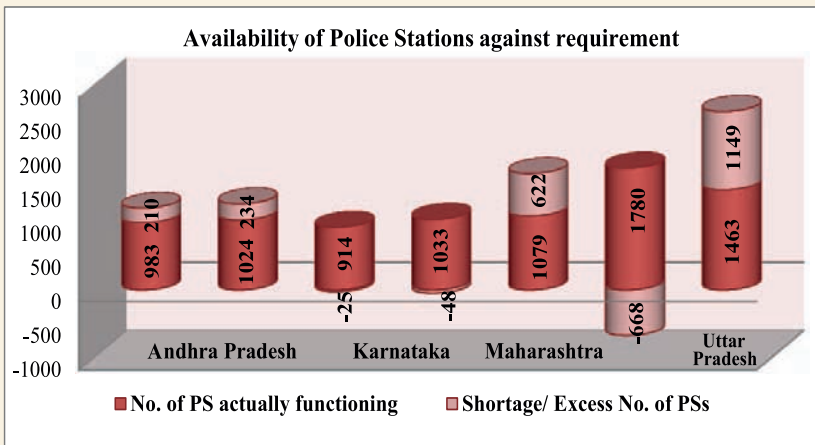
overruns and execution of sub-standard quality of works by construction agencies.

(Paragraph 10.2.5)

- Department made provision for charging only one *per cent* compensation in cases of delay in completion of work by construction agencies, as compared to the maximum rate of 10 *per cent* prescribed under Public Works Department Rules. Further, despite inordinate delays in execution of almost all the works by the construction agencies, compensation of even one *per cent* was not recovered in any case from the defaulting construction agencies. This gave undue benefit of ₹ 55.71 crore to the construction agencies.

(Paragraph 10.2.5)

- The State has only 1,460 Police Stations and there is a shortage of 1,155 PS (44 *per cent*), with rural areas having shortage of 41 *per cent* PSs and urban areas having a shortage of 51 *per cent* police stations.



(Paragraph 10.5.1)

- No barracks for woman constables were sanctioned up to 2013-14. Out of 249 barracks sanctioned up to 2014-15, only 130 barracks (52 *per cent*) including four woman barracks were completed (March 2016).

(Paragraph 10.6)

- There was a shortage of 59,453 (48 *per cent*) residential quarters against requirement of 1,25,998 and shortage of barracks for 18,259 personnel (26 *per cent*) against the requirement of barracks for 68,874 personnel as on March 2015.



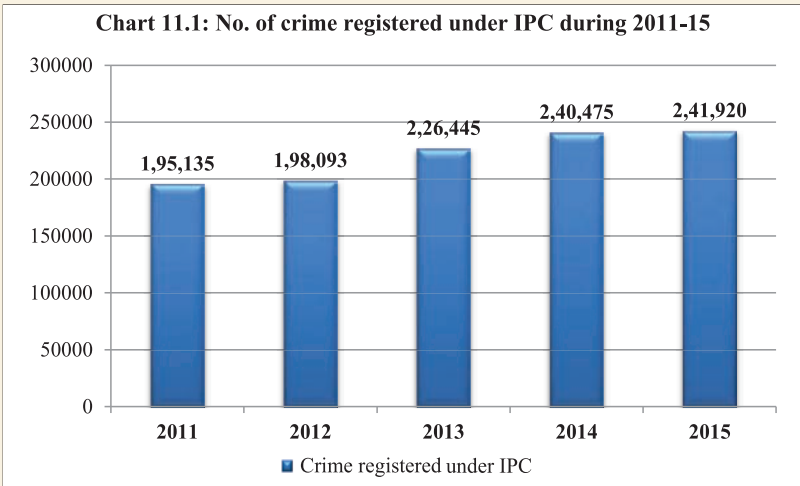
(Paragraph 10.7.1)

- The State Government sanctioned only 5156 residential quarters (nine *per cent* of the requirement) of residences during 1998-2016 against the total requirement of 59453 residential quarters of type-I, II and III. A total of 1332 units of residences, sanctioned during 1998-2011, were still incomplete (March 2016) even after lapse of five to 18 years.

(Paragraph 10.7.2)

Chapter 11 - Incidence of Crime and Police deployment

- Incidence of crime under IPC and SLL categories showed increasing trend by 24 and 35 *per cent* respectively during 2011-15. Rise in incidents of crime during the period is depicted from chart below:



(Paragraph 11.1)

- Against the proposal (September 2012) of establishment of one cybercrime police station in each district, only two cybercrime police stations were established (March 2016) in the whole State (at Lucknow and Gautam Buddha Nagar) to investigate cybercrimes as of March 2016.

(Paragraph 11.2)

- Only 180649 police personnel (48 *per cent*) were available in the State against the sanctioned strength of 3,77,474 as on 1st April 2015. As much as 52 and 55 *per cent* posts of Sub-Inspectors and Constables respectively are lying vacant.

(Paragraphs 11.3 & 11.4.1)

- There were considerable delays on the part of the Department in issuing Adhyachans to Police Recruitment and Promotional Board (Board) for recruitment of police personnel and the Board also took unduly long time of three to six years in inviting applications, conducting examinations and making recruitment. This aggravated the problem of shortages in police force, thereby having serious implications on maintenance of law and order.

(Paragraph 11.4.1)

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