

**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
Report No. 03 of the year 2017**

TABLE OF CONTENTS

Particulars	Reference to	
	Paragraph	Page
Preface	-	vii
Executive Summary	-	ix
CHAPTER - 1 INTRODUCTION		
Introduction	1.1	1
Organisational Structure	1.2	2
Audit Objectives	1.3	2
Audit Criteria	1.4	3
Audit Scope and Methodology	1.5	3
Acknowledgement	1.6	4
CHAPTER - 2 PLANNING AND FINANCIAL MANAGEMENT		
Introduction	2.1	5
Planning	2.2	5
Financial Management	2.3	6
Modernisation and Strengthening from State Budget	2.4	10
CHAPTER - 3 MODERNISATION OF WEAPONRY		
Introduction	3.1	13
Budgetary Provision	3.2	13
Delay in Revision of Arming Policy	3.3	14
Availability of Weapons	3.4	15
Equipping with Obsolete Weapons	3.5	16
Amogh Rifle lying Idle	3.6	16
Shortage of Ammunitions	3.7	16
Central Reserve Depot	3.8	17
CHAPTER - 4 MODERNISATION OF COMMUNICATION SYSTEM		
Introduction	4.1	23
Communication Systems Used by the Department	4.2	23
Procurement of Communication Equipment	4.3	25

Shortage of Handheld Sets	4.4	26
Inventory of Life-Expired Communication Sets	4.5	26
Avoidable Expenditure of ₹ 57.66 crore on Spectrum Charges	4.6	27
Usage of Wireless Sets without Obtaining License	4.7	28
Replacement of equipment which had completed their useful life	4.8	29
Police Telecom Network (Polnet)	4.9	29
Delay in Adoption of Modern Technology	4.10	30
GPS System not functioning in more than half the districts	4.11	30
More than a third of CCTV Cameras not functioning	4.12	30
Modern Control Room Kanpur did not function	4.13	31
Manpower Shortages	4.14	32
Network infrastructure and performance	4.15	33
Operationalisation and use of CAS for core Services	4.16	33
CHAPTER - 5 IMPROVING POLICE MOBILITY		
Introduction	5.1	35
Availability of Vehicles	5.2	35
Irrational Deployment of Vehicles in Districts	5.3	36
Short Deployment of Vehicles at Police Stations	5.4	36
Vehicle not procured and budget surrendered	5.5	36
Irregular Procurement of Vehicles against replacement of condemned vehicles	5.6	37
Vehicles not procured against condemned vehicles	5.7	37
Vehicles used by the department after completing their age	5.8	38
Vehicles provided to VIPs and expenditure incurred on POL	5.9	38
Unfruitful expenditure on automotive workshops	5.10	39
CHAPTER - 6 MODERNISATION OF FORENSIC SCIENCE LABORATORIES		
Introduction	6.1	41
Planning	6.2	41
Procurement of equipment	6.3	43
Shortage of equipment	6.4	43
Shortage of technical manpower	6.5	44
Huge pendency due to delay in examination of samples	6.6	45

Improper collection of evidences due to shortages of manapower, labs and kits in district field units	6.7	46
Cybercrime zonal laboratory not fully established	6.8	47
Investigation support unit not provided	6.9	47
Records not maintained	6.10	48
CHAPTER - 7 MODERNISATION AND AUGMENTATION OF TRAINING ESTABLISHMENT		
Introduction	7.1	49
Equipment not procured	7.2	49
Inadequate Capacity of Training Centres	7.3	50
Shortage of Training Instructors	7.4	51
Indoor Training	7.5	52
Outdoor Training	7.6	53
Overburdened training centres	7.7	53
Inadequate Residential Facilities for Trainees	7.8	54
Fire Arms Simulator (FAS)	7.9	54
Cyber Crime Training Laboratory not established	7.10	55
CHAPTER - 8 SPECIAL POLICE FORCES' MODERNISATION		
Anti-Terrorist Squad	8.1	57
Provincial Armed Constabulary	8.2	62
Special Task Force	8.3	64
CHAPTER - 9 TRAFFIC POLICE MODERNISATION		
Introduction	9.1	67
Financial Resources and their utilisation	9.2	67
Men-in-position	9.3	69
Training for Traffic Police	9.4	70
Road Accidents	9.5	71
CHAPTER - 10 CONSTRUCTION OF POLICE ACCOMMODATION		
Introduction	10.1	73
Execution of works	10.2	73
Time and Cost overrun	10.3	78
Vetting of estimates by PHQ	10.4	78

Administrative buildings of Police Stations and Police Posts	10.5	80
Construction of Barracks	10.6	81
Residential Infrastructure	10.7	82
CHAPTER - 11		
INCIDENCE OF CRIME AND POLICE DEPLOYMENT		
Introduction	11.1	85
Cyber Crime	11.2	88
Manpower Management of police forces	11.3	89
Recruitment in Police Department	11.4	90
APPENDICES		
Appendix 1.1	Organisation Chart of Uttar Pradesh Police	95
Appendix 2.1	Due date and actual dates of submission of Annual Plans	96
Appendix 2.2	Funding Pattern	96
Appendix 2.3	Equipment approved during 2011-16 not procured	97
Appendix 3.1	Requirement of Revolvers /Pistol / Glock Pistols	102
Appendix 3.2	Requirement of in Rifles category	102
Appendix 3.3	Status of Outdated Rifles .303 being used at districts	103
Appendix 3.4	Manpower position in Central Reserve, Sitapur	103
Appendix 4.1	Target and achievement of communication wing during 2011-16	104
Appendix 4.2	CCTV Cameras installed at test-checked districts	106
Appendix 4.3	Status of information of IIF-I to VII from 01.01.2013 to 31.03.2016	106
Appendix 5.1	Vehicles requirement and availability at District	107
Appendix 5.2	Vehicles requirement and availability at PAC	107
Appendix 5.3	Irrational deployment of vehicles	108
Appendix 5.4	Shortage of light vehicles at Police Stations against BPR&D	110
Appendix	Norms	
Appendix 5.5	Budget allotment, expenditure and surrender of Mobility during 2011-16	110
Appendix 5.6	Vehicles procured under MPF scheme and State Budget during 2011-16	111
Appendix 5.7	Detail of expenditure incurred on replacement of vehicles under Capital head	112
Appendix 5.8	Life completed vehicles in test checked districts as on March 2016	112
Appendix 5.9	Expenditure on POL and maintenance of the vehicle in the test checked district	113

Appendix 6.1	Sections of Functional Forensic Science Laboratories	114
Appendix 6.2	Progress of Regional Forensic Science laboratories as of April 2017	114
Appendix 6.3	List of equipment not procured	114
Appendix 6.4	Major equipment not established due to late tendering process (since two years) and funds kept in PLA	115
Appendix 6.5	Staff position in FSLs in UP	115
Appendix 6.6	Pendency of Samples in Forensic Laboratories in UP	116
Appendix 6.7	Idle equipment of cybercrime zonal lab in FSL Agra	116
Appendix 7.1	Shortfall in the cadres of Physical and Infantry Training Instructor (PTIs/ITIs) in 5 test-checked training institutes	117
Appendix 7.2	Year-wise trained trainees in test checked Training Institutes during 2011-15	117
Appendix 8.1	Required man power for Anti-Terrorist Squad, Commando Training School and special training centre (CIAT)	118
Appendix 8.2	Men-in-position against sanctioned strength in ATS	120
Appendix 8.3	Requirement of ammunition	121
Appendix 8.4	Sanctioned Strength and Person in Position in PAC	122
Appendix 8.5	Sanctioned no. and availability of vehicles in PAC Force	122
Appendix 8.6	Shortage of Arms in PAC Force	123
Appendix 8.7	Manpower position in STF	123
Appendix 9.1	Deficiency in procurement of Equipment as per Perspective plan	124
Appendix 10.1	Details showing total number of works sanctioned, completed and incomplete up to the end of the year 2015-16	126
Appendix 10.2	Details showing date of signing MoU by the competent authority	127
Appendix 10.3	Details showing number of works completed with cost overrun	130
Appendix 10.4	Details showing cost overrun sanctioned for incomplete works	130
Appendix 10.5	Details showing the progress of administrative building of police stations and police posts	131
Appendix 10.6	Details showing the progress of barracks	131
Appendix 10.7	Details showing total requirement of residences and barracks	132
Appendix 10.8	Availability of residences at test-checked districts	133
Appendix 10.9	Availability of residences at test-checked Police Stations	134

Preface

This Report containing the observations arising out of Performance Audit on “Modernisation and strengthening of Police Forces” has been prepared for submission to the Governor of Uttar Pradesh under Article 151(2) of the Constitution.

The cases mentioned in the Report are among those which came to notice in the course of test audit of records of Police Department. Performance Audit covered 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.

Executive Summary

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, 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 police stations against the required number. 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.

Our detailed audit findings & conclusions are as follows:

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.

(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.

(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.

(Paragraph 2.4)

Chapter 3 – Modernisation of Weaponry

- Against the demand of ₹ 69.91 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. Thus State Police's requirement of modern weaponry could not be fully met.

(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.

(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.

(Paragraph 3.7)

- The Central Reserve Sitapur, which is 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 due to not finalising purchase orders.

(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 50216, 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 Ministry of Home Affairs (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 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) 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 1847 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 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.

(Paragraph 5.11)

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.

(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 worsen the pendency of samples.

(Paragraph 6.5)

- Forensic science lab 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 15033 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 finalization of procurements.

(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 tender finalisation. 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 ₹ 12.49 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.

(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, Sub-Inspector Traffic and Constable Traffic 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 2068 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 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 1460 Police Stations and there is a shortage of 1115 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 (09 *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.

(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.

(Paragraph 11.3 & 11.4.1)

- There were considerable delays on the part of the Department in issuing Adhiyachans 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)

Chapter 1

Introduction

Chapter 1

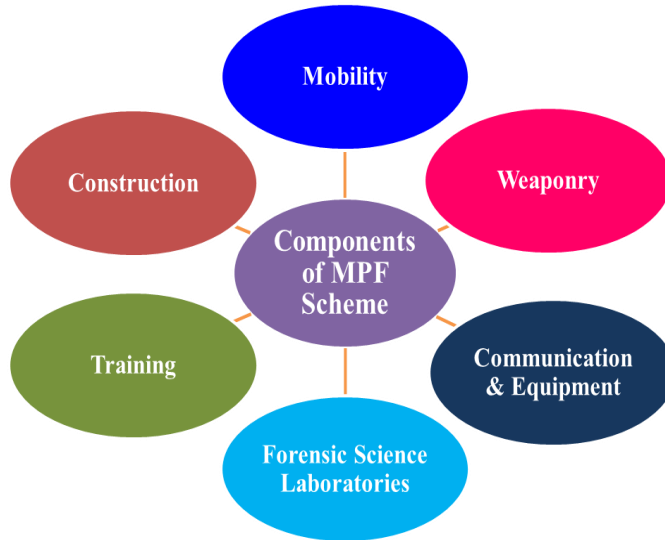
Introduction

1.1 Introduction

An efficient police force is essential for maintenance of law and order and ensuring effective check on crimes. Law and order is a state subject and, therefore, police, policing and various police matters fall within the jurisdiction of the state government. The role and functions of the state police mainly, are to uphold and enforce the law impartially and protect life, liberty, property, human rights and dignity of the members of public, protect internal security, prevent and control terrorist activities, prevent crimes, register and investigate all cognizable offences coming to their notice, control and regulate traffic on roads and highways and train, motivate and ensure welfare of Police personnel. In Uttar Pradesh, the State Police is responsible for protecting more than 21 crore population spread over a geographical area of 2,43,286 square km but is constrained by insufficient manpower with an actual strength of less than 50 *per cent* of sanctioned manpower. Incidence of crime in the State is high and the State Police was still using obsolete weapons such as lathis, 303 bore rifles etc., and outdated technologies even after decades have passed since the introduction of scheme of modernisation of police forces. As per the norms of the Bureau of Police Research and Development, against the requirement of 2,615 police stations, the numbers of civil police stations in the State were only 1,460.

Given the high incidence of crime and the sophistication of technology used by criminal elements, naxals, terrorists etc. in recent years, there is dire need for speeding up the modernisation of state police both from central and state resources.

The scheme of Modernisation of Police Forces (MPF) was launched by Government of India (GoI) in 1969-70 the guidelines of which was revised in February 2013 and has been continued from time to time. The main objective of the MPF scheme was to reduce the dependence of the state on the army and central para military forces to control internal security and the law and order situation. The scheme was intended to make the state police more efficient and effective by means of latest equipment, resources and technology. The MPF Scheme was funded on sharing basis by central and state governments in the ratio of 75:25 during 2005-12 which has been revised to 60:40 for 2012-13 to 2016-17. Apart from the funds received from GoI under the MPF Scheme, the State Government also allocates funds through its budget for modernisation of police force.



Against the funds as approved in annual plans, expenditure on MPF scheme during 2011-12 to 2015-16 was ₹ 462.87 crore. In addition to its share in MPF scheme, State Government was also incurring expenditure through its general budget for development of infrastructure, procurement of vehicles, arms, ammunition, equipment, training etc. to strengthen its police force. The expenditure incurred by State through its own budget on strengthening police infrastructure (in addition to MPF scheme) during 2011-16 was ₹ 2,276.31 crore. Thus, the total outlay on police modernisation during the period 2011-16 was ₹ 2,739.19 crore (₹ 2,276.31 crore + ₹ 462.87 crore).

Since there is a considerable increase of 34 *per cent* in the incidence of crime in the State during 2011-15 and significant amount of funds invested by the Central as well as State Government on modernisation and strengthening of state police, audit has selected the topic of modernisation and strengthening of police forces, for performance audit to ascertain the efficiency and effectiveness of the implementation of the scheme and identify deficiencies for suggesting corrective measures.

1.2 Organisational structure

The Department is headed, at Government level, by Principal Secretary, Home while the Director General of Police (DGP) is responsible for overall functioning of Uttar Pradesh Police. For the purpose of maintaining law and order, the State was divided into 8 Police zones headed by Inspector General of Police. There were 18 police ranges headed by Deputy Inspector General under these Police Zones. Districts headed by Senior Superintendent of Police and Superintendent of Police were divided into Police Stations and Police Posts as field units. The State Police organisation is divided into 19 units to strengthen the efficiency in crime prevention, detection along with its own administration. The organisational structure is given in *Appendix 1.1*.

1.3 Audit Objectives

The objectives of the Performance audit were to ascertain whether:

- **Planning:** the modernisation plans were prepared realistically after careful assessment of requirement;
- **Financial Management:** the financial management was efficient and funds released were utilised optimally for specified purposes;
- **HR Management:** human resource management was efficient and consonance with the requirement of the department;
- **Outcomes:** the police force was adequately modernised, equipped and trained to meet the challenges of law and order in the state; and
- the progress of modernisation of state police was effectively monitored.

1.4 Audit Criteria

The main sources of audit criteria adopted for the performance audit were the following:

- Guidelines, subsequent amendments, circulars and orders issued by the Ministry of Home Affairs;
- Study reports of Bureau of Police Research and Development (BPR&D);
- Strategic Plan, Perspective Plan, Annual Action Plan, circulars and orders of State Government;
- Periodical reports/returns prescribed by state governments; and
- Circulars/instructions/Government Orders issued by the Police Department, State Government and GoI.

1.5 Audit Scope and Methodology

The performance audit commenced with an entry conference on 11 March 2016 with Principal Secretary (Home) which was also attended by DGP and Additional Director General of Police (Headquarters) wherein the audit methodology, scope, objectives and criteria were explained.

To familiarise the auditors with the concept of modernisation of the police forces and the way this had rolled out in the state of UP, a workshop was organised before commencement of the audit. During the workshop there were briefings by Finance Officer/Police Headquarter, Section Officer/Modernisation Cell and DIG (Retired). During the course of performance audit, records of Police Headquarters (PHQ), Head Offices of Provincial Armed Constabulary (PAC), Radio, Training, Anti-Terrorist Squad (ATS), Special Task Force (STF), Security, Law & Order, Traffic, Forensic Science Laboratories (FSL) at Lucknow, State Police Training Academy, College and School at Moradabad, Police Training College, Arms Depot and Police Motor Training Workshop at Sitapur, were examined on test-check basis. Besides,

out of 75 district police offices of the state, 15 districts¹ and 60 police stations (four in each selected district) were selected for test check at field level using appropriate sampling method².

The audit methodology involved scrutiny of records, collection and analysis of data, issue of audit queries, response of unit to audit queries, joint physical verification and photographic evidence. An exit conference was also held (May 2017) in which the State Government accepted the facts and figures and the recommendations made by audit. The result of exit conference have been incorporated at appropriate places in the report.

1.6 Acknowledgement

The co-operation extended by the Principal Secretary, Home; ADG, Police Headquarter, Allahabad; Unit Heads of Radio Headquarter, Traffic Directorate, Forensic Science Laboratory, Training Directorate, Technical Services; and SSPs of test-checked districts is acknowledged.

¹ Agra, Allahabad, Deoria, Ghaziabad, Jhansi, Kanpur, Kushinagar, Lucknow, Mathura, Meerut, Moradabad, Pratapgarh, Shahjahanpur, Sitapur and Sonbhadra.

² Probability Proportional to Size Without Replacement.

Chapter 2

Planning and Financial Management

Chapter 2

Planning and Financial Management

2.1 Introduction

Efficient planning and prudent financial management is essential for successful implementation of any programme and achievement of intended objectives. Scrutiny of records revealed that the department had not prepared any long term or medium term perspective plan to systematically identify capabilities/infrastructure gaps and allocate adequate financial resources to modernise and strengthen state police in an efficient and timely manner. Audit findings are discussed in succeeding paragraphs.

2.2 Planning

2.2.1 Perspective Plan

MPF Guidelines required that a strategic plan be prepared to identify and analyse the gaps in various components under MPF scheme in conjunction with the Bureau of Police Research and Development (BPR&D) and to rectify any shortcomings noticed.

On the basis of the five-year perspective plan, Annual Action Plan (AAP) was to be prepared for approval by GoI. However, audit noticed that no perspective plan was prepared by the State Government during 2011-16 under MPF scheme. Thus, the annual plans submitted to GoI for MPF scheme were not based on any long term strategic planning.

Besides the MPF scheme of GoI, the State Government also spent substantial amount of funds on Police Force for modernisation and strengthening. However, audit noticed that though annual plans were prepared for the GoI scheme, no annual action plans were prepared by the department for infrastructure development and modernisation/ strengthening carried out from State's resources.

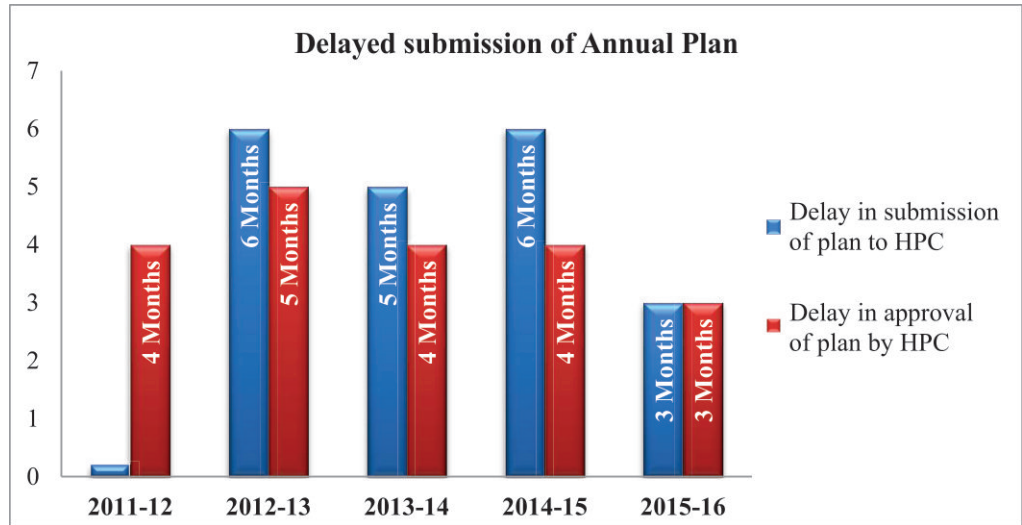
Due to lack of planning, many important activities related to modernisation have either been delayed considerably or not implemented at all as mentioned in succeeding chapters.

Government in its reply (February 2017) accepted that perspective plan was not prepared. However, it would be prepared now on the basis of detail asked for from different units of police department.

2.2.2 Delayed submission of Annual Action Plans of MPF

Annual Action Plan (AAP) under MPF Scheme is sanctioned by the High Powered Committee (HPC) of MHA. Annual plans are forwarded to HPC through State Level Empowered Committee (SLEC) headed by the Chief Secretary of GoUP. As per guidelines, GoUP was to submit AAP to MHA by 15th January for review and approval by HPC before commencement of financial year so that funds could be released in time and targets envisaged under the scheme may be achieved. Scrutiny, however, revealed that AAPs

were submitted to MHA with a delay of approximately six months which delayed its approval, release of funds and the implementation of the modernisation. Timelines of submissions and approvals of annual plans are given in *Appendix 2.1*.



Delayed submission of plans by GoUP results in delays in approval which in turn impacted the timely release and utilisation of funds rendering in short utilization and slow pace of programme implementation as discussed in succeeding paragraphs.

Government in its reply stated (February 2017) that efforts would be made to submit annual plans in time. As such the Government accepted that there was delay in submission of annual plans.

2.3 Financial Management

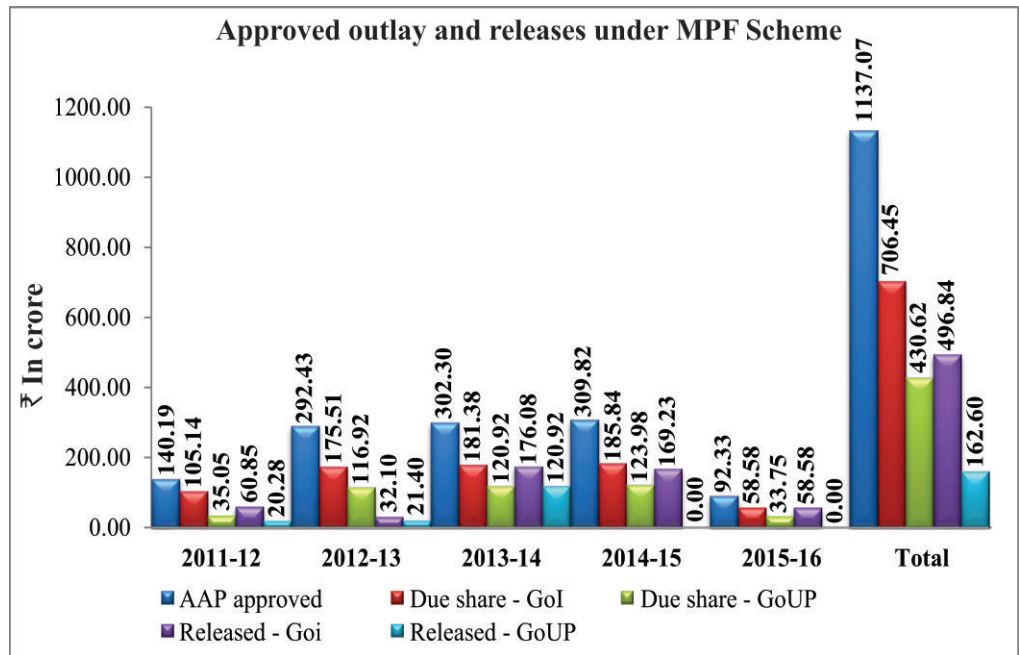
Modernisation of Police Forces was sought to be achieved by the State Government by providing adequate and modern equipment, vehicles, arms and ammunition to its forces and by construction of buildings. The modernisation efforts were to be funded from state resources as well as through GoI sponsored MPF Scheme. Funding pattern is given in *Appendix 2.2*.

MPF Scheme

The laid out procedure in MPF Scheme is after approval of AAPs, GoI releases funds to State Government and the State Government is required to release its share accordingly to the departmental authorities. Under MPF scheme, the central and state government were to share the expenditure in the ratio of 75:25 till 2011-12 and 60:40 from 2012-13. For procurement of arms and ammunition, Central Government releases approved amounts in annual plans directly to the Ordnance Factory Depots of the Government of India.

2.3.1 Short Release of required share

On the basis of approved Annual Action Plan under MPF during the period 2011-12 to 2015-16, the status of share due, fund released and short releases of shares by the GoI and the GoUP was as below:



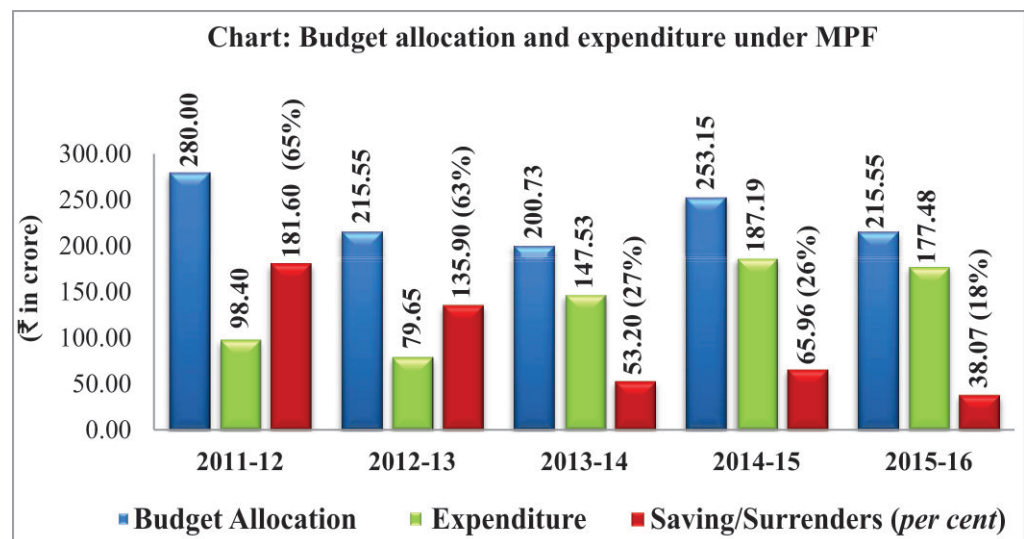
(Police Headquarter, Allahabad)

It is evident from the above chart that both central & state governments did not release their due shares for modernization of police forces under MPF Scheme due to slow pace of utilisation of funds. During 2011-16, GoI released ₹ 496.84 crore (70 per cent against its due share), while GoUP released only ₹ 162.60 crore (38 per cent against its due share).

Government in its reply stated (February 2017) that there was no need of any comment. As such, comments of the audit were right and were not rebutted by the Government.

2.3.2 Underutilisation of MPF fund

Under MPF Scheme year-wise budget allocation, expenditure and surrenders are given below.



(Source: Budget documents and surrender letters)

* Budget allocation in a financial year also includes Annual Action Plans approved in previous years.

Audit observed that:

- During 2011-16, ₹ 1,164.98 crore were released for modernisation of police forces but the department could utilise only ₹ 690.25 crore (59 per cent) as of March 2016 and the remaining amount of ₹ 474.73 crore (41 per cent) were surrendered. Surrenders were as high as 65 and 63 per cent in 2011-12 and 2012-13 respectively.
- Owing to low utilisation of the funds, modernisation plans suffered. Further, 15,644 equipment and vehicles costing ₹ 120.67 crore approved during 2013-14 to 2015-16 have still not been procured as of March 2016 **Appendix 2.3**. Hence the police force was deprived of the intended benefits of modernisation.

Government in its reply stated (February 2017) that procurement of some equipment are not completed till the end of financial year due to complex nature of procurement system. As such, Government accepted the fact that funds were underutilised and procurement of equipment and vehicles were not completed by the department. As far as complex nature of procurement is concerned rules are clear, feasible and made by the Government itself for the utilisation of funds in time.

2.3.3 Parking of MPF funds

MPF Scheme guidelines provide that funds released by MHA are to be utilised for the intended purpose and parking of funds should be avoided.

An amount of ₹ 174.34 crore, related for MPF scheme, was deposited in Personal Ledger Account (PLA) of Police *Awas Nigam* during 2011-16 by the department as these funds could not be utilised within the concerned financial years. At the end of March 2016 an amount of ₹ 153.01 crore was still lying in PLA. Transferring grants to PLA with a view to avoid lapse of funds constitutes a financial irregularity and should not be resorted to as per provisions of Financial Handbook (Vol. V) Part 1 and, therefore, the above practice of parking of funds in PLA for long periods was irregular and PLA of the Nigam was being used to avoid lapse of funds.

Government in its reply stated (February 2017) that sanctioned amount was deposited in PLA with permission of finance department for its use in future. By doing so unnecessary correspondence and time is saved in next year for utilising the funds. Reply was not acceptable as transferring of grants to PLA with a view to avoid lapse of funds constitutes a financial irregularity as per financial handbook Vol-5, Part 1.

2.3.4 Impact of delayed release of MPF funds

Once AAP is approved, GoUP should release the funds promptly for implementation of the modernisation plan. Delay in release of funds not only affect the modernisation programme adversely but may also result in significant cost escalation of equipment/ vehicle.

Scrutiny of records revealed that procurement of 79 vehicles, costing ₹ 8.65 crore, was approved in AAP 2010-11 but an amount of ₹ 1.48 crore only was released by GoUP at the fag end of financial year and, therefore, the procurement could not be made during 2010-11. GoUP released the remaining amount of ₹ 7.17 crore in October 2011 for purchase the approved vehicles. Audit observed that only 62 vehicles were procured from the sanctioned amount of ₹ 8.62 crore against the 79 vehicles approved by Government as detailed below.

Table 2.1: Delayed release of fund led to less procurement of vehicles

(₹ in lakh)

Name of vehicles	Approved quantity	Approved Rate	Approved Cost	Revised Quantity	Increased Rate	Actual Cost
Bus ³	20	12.00	240.00	6	18.65	111.90
				8	18.51	148.08
Vajra	21	11.00	231.00	20	11.45	229.00
Truck	10	11.30	113.00	8	12.50	100.00
Tata 207	18	4.50	81.00	13	5.05	65.65
Interceptor	10	20.00	200.00	7	30.05	210.35
Total	79		865.00	62		864.98

(Source: Police Headquarter, Allahabad)

Thus, there was short procurement of nearly 22 per cent vehicles than originally envisaged because of tardy release of funds. Audit further observed that increase in the price of the vehicles was cited as reason for less procurement of vehicles from the approved cost. Audit found that there was delay in procurement and though there was significant reduction in the number of vehicles procured against the government sanction, no revised approval of the reduction was taken from GoI.

Government in its reply stated (February 2017) that there was no need of any comment. As such, comments of the audit were right and beyond rebuttal of the Government.

2.3.5 Submission of Inflated Utilisation Certificate (UC)

As per guidelines of MPF Scheme, GoUP was required to furnish UCs in prescribed proforma of GFR 19-A when the released amounts were fully utilised for the intended purposes. UCs submitted by GoUP in respect of amounts released by GoI till 2015-16 were as under:

Table 2.2: Utilisation Certificate sent by GoUP

(₹ in crore)

Year	Funds released by GoI	UCs submitted by GoUP
2011-12	60.85	60.85
2012-13	32.10	32.10
2013-14	176.08	176.08
2014-15	169.23	127.58
2015-16	58.58	0.00
Total	496.84	396.61

(Source: Police Headquarter, Allahabad)

³ 8 buses were purchased from of ₹ 1.48 crore released in 2010-11.

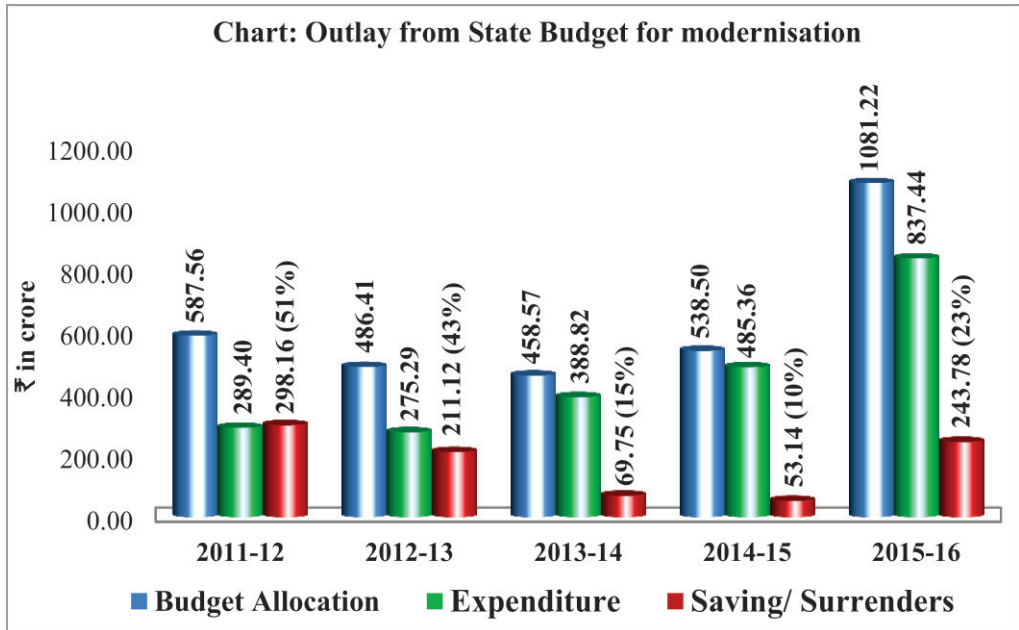
The State Government had not submitted UCs of ₹ 41.65 crore in respect of 2014-15 and ₹ 58.58 crore in respect of 2015-16 as of September 2016.

Audit further observed that ₹ 124.74 crore (₹ 7.36 crore and ₹ 117.38 crore) released by GoI during 2011-12 and 2013-14 respectively for construction activities were deposited into the saving bank account of Police Awas Nigam (PAN) on 22nd March 2012 and 26th September 2013 respectively. Scrutiny of records revealed that till May 2015 construction works worth ₹ 73.46 crore only were sanctioned by GoUP and the balance works of ₹ 51.28 crore were yet to be sanctioned. However, Police Headquarter irregularly submitted UCs of the entire amount of ₹ 124.74 crore (UC of ₹ 7.36 crore in June 2014 and ₹ 117.38 crore in May 2015) to MHA, though ₹ 51.28 crore were still lying in the bank account of Police Awas Nigam and had not been actually utilised. This resulted in inflated submission of UCs of ₹ 51.28 crore.

Government in its reply stated (February 2017) that UCs were sent to MHA upto 2014-15. UCs for the year 2015-16 were pending. Government did not furnish replies of irregular submission of UCs amounting ₹ 51.28 crore, the amount which was still lying unutilised in the bank account of PAN.

2.4 Modernisation and strengthening from State Budget

The position of outlay incurred from state budget for infrastructure development of police force excluding MPF scheme is given below.



(Source: Budget Documents and surrender letters)

Audit observed that:

- During 2011-16, the State Government released ₹ 3,152.26 crore under capital head for modernisation and strengthening but the department could utilise only ₹ 2,276.31 crore (72 per cent) as of March 2016 and the remaining amount of ₹ 875.95 crore (28 per cent) was surrendered.

Surrenders were as high as 51 *per cent* and 43 *per cent* in 2011-12 and 2012-13 respectively.

- Savings of ₹ 875.95 crore was surrendered on last date of the respective financial years in contravention of financial rules⁴. Main reasons attributed for surrender were that sanctions for construction of works (48 *per cent*: ₹ 420.30 crore) were not issued, there were delays in procurement of vehicles/armaments (9 *per cent*: ₹ 76.83 crore) and because of the imposition of election code of conduct (34 *per cent*: ₹ 298.16 crore), etc.

Government in its reply stated (February 2017) that there was no need of any comment. As such, comments of the audit were right and could not be rebutted by the Government.

The specific issues of financial management relating to various components are discussed in respective chapters.

Recommendations:

- *The State Government should prepare perspective and annual action plans both in respect of MPF Scheme and Capital Outlays from State Budget and ensure timely submission of AAP to avoid delay in release of funds.*
- *Funds should not be parked in PLA to avoid lapse of grants and utilisation certificates should be submitted by the Department only after funds had been utilised.*

⁴ Para no. 141 of Uttar Pradesh Budget Manual 2010.

Chapter 3

Modernisation of Weaponry

Chapter 3

Modernisation of Weaponry

3.1 Introduction

As the sophistication of weaponry used by criminals, naxals and terrorist elements have increased considerably in recent years, police forces need to be equipped adequately with the state-of-the-art weapons, to enhance their capability and effectiveness in combating such elements. MPF scheme as well as outlays sanctioned from State budget for modernization and equipping the state police, envisaged replacement of obsolete weapons with sophisticated modern weapons and other equipment to effectively deal with situations such as violent demonstrations, riots, terrorists/naxal attacks etc. This necessitates that not only the norms for equipping the police force are reviewed promptly but the adequacy of funds is also ensured and acquisition process managed effectively to provide modern arms and ammunitions to police in requisite quantity and capability, in a timely manner.

3.2 Budgetary Provisions

3.2.1 Procurement of weapons under MPF Scheme

Under MPF scheme, a total amount of ₹ 38.31 crore (including central & state shares) was allotted during 2011-16 for procurement of arms and ammunitions but the department could spend only ₹ 32.99 crore (86 per cent) only as given below:

Table 3.1: Allotment and expenditure under MPF for procurement of weapons
(₹ 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

(Source: Police Headquarter, Allahabad)

Allocation of funds by GOI under MPF has declined in recent years, which has impacted financing of almost all the components of the modernization scheme. As can be seen from the table above, against the demand of ₹ 69.37 crore as per Annual Action Plan under MPF scheme, ₹ 38.31 crore (55 per cent) was allocated and ₹ 32.99 crore (48 per cent) was spent on procurement of arms & ammunitions for the state police during 2011-16.

GoUP accepted (February 2017) and stated that against the proposal send to MHA the weaponry of ₹ 32.99 crore was purchased during 2011-12 to

2015-16 and pending proposals of previous years had been included in the Annual Action Plan for the year 2016-17 and send to MHA for approval.

This indicated that a significant portion of the requirement of weaponry could not be made available.

3.2.2 Procurement of weapons from state budget

In addition to MPF, the state government allocated a total outlay of ₹ 439.04 crore during 2011-16 under state budget for procurement of arms and ammunitions against which ₹ 430.92 crore was utilized. Year-wise position of allotment of funds and utilization under State Budget are given in tables below:

Table 3.2: Weapon procurement from State Budget

(₹ in crore)

Year	Allotment of Fund	Expenditure	Surrender
2011-12	20.00	20.00	00
2012-13	39.20	39.20	00
2013-14	44.00	44.00	00
2014-15	26.75	26.75	00
2015-16	309.09	300.97	8.12
Total	439.04	430.92	8.12

(Source: Police Headquarter, Allahabad)

The allocation of funds ranging from ₹ 20 to 44 crore for procurement of arms & ammunitions from state budget was inadequate against the requirement of 52,572 Rifle Category and ammunitions during 2011-14. This led to large number of proposals (47 item's proposals) for procurement of arms & ammunitions remaining pending for several years. To meet the shortfall the Government irregularly re-appropriated ₹ 265.09 crores during 2015-16 under Dearness Allowance (District Police) to augment allocations for procurement of arms & ammunitions. Despite this increased allocation, audit found that large numbers of proposals were still pending.

GoUP accepted (February 2017) and stated that during 2015-16 ₹ 265.09 were re-appropriated for purchase of weaponry.

Audit further observed that against the expenditure of ₹ 300.97 crore incurred during 2015-16 on procurement of arms & ammunitions, weaponry amounting to a major portion (₹ 204.83 crore) has still not been received from Ordnance Factories.

3.3 Delay in revision of Arming Policy

Scales for various kinds of arms & ammunition for State police forces were prescribed by the Ministry of Home Affairs (MHA) in 1953 and were applicable till 1995. In 1995, MHA informed that the weaponry prescribed in 1953 had become irrelevant and obsolete due to various reasons. MHA proposed revision of type and scale of weaponry for State police and sought (February 1995) views/suggestions of DGPs of all the states.

Audit observed that despite the matter being extremely important from security considerations and for maintenance of law and order, the state police took 17 years (February 1995 to February 2012) to prepare a response to the MHA's proposal for revision of type and scale of weaponry of State police. Despite substantial advancements in the sophistication of strategy and weaponry used by terrorists, naxals and other disruptive elements, which was evident from various attacks and strikes on important installations as well as public places all across the world including India during last two decades, the State police did not show any urgency to formulate and implement a new arming policy to equip the state police expeditiously with the state-of-the-art weapon systems and capabilities to effectively deal with any such contingency arising at any point of time. It was only in February 2012 that the PHQ prepared a "Standard Weapons Policy" for the state police and submitted to the Home Department, GoUP for approval and to forward the new policy to MHA in response to their 1995 proposal.

Scrutiny of records further revealed that GoUP took another four years to take a decision and forward the proposal to MHA. Thus, the Standard Weapon policy for the state police was finally submitted to the Ministry of Home Affairs after a lapse of 21 years in January 2016 by the state government.

GoUP accepted (February 2017) and stated that approval of the Arming Policy is awaited from MHA.

This indicated a callous attitude of the police authorities as well as the state government in dealing with the matters relating to security of citizens and maintenance of proper internal security and law & order in the state. The approval of the arming policy was awaited from MHA as of September, 2016.

3.4 Availability of weapons

PHQ in its proposal sent (April 2016) to GoUP intimated shortage of 1,76,110 weapons in the category of pistol/revolver and shortage of 9,445 in rifle category. Audit found that as per the Standard Weapon Policy (2012) there was shortage of 45,047 weapons in pistol/revolver category (**Appendix 3.1**) and there was excess of 56,928 weapons in Rifle category (**Appendix 3.2**) against the manpower actually available.



GoUP stated (February 2017) that purchase of weapons was made on the basis of sanctioned strength of police personnel. Appointment of police personnel is a regular process and weapons are purchased for allotment of weapon to newly appointed police personal.

Reply of the GoUP is not acceptable as there is huge gap between the requirement and availability of arms. Thus, the procurement was not made as per actual requirement

3.5 Equipping with obsolete weapons

As per 1995 instructions of MHA, the point-303 Rifles had become obsolete by 1995 itself and required replacement by modern weapon systems.



Point-303 Rifle

Audit however noticed that out of about 1.22 lakh rifles available with the state police, as of March 2016, 58,853 Rifles were of point-303 bore category as in 2015-16. Despite rifles being a very important weapon for arming of police, about 48 *per cent* of the police force in the state was still using point-303 bore rifle which had been declared obsolete more than 20 years ago.

GoUP accepted (February 2017) and stated that point 303 rifles are being replaced by Insas Rifles, and this process of replacing will be completed in five years.

Thus reply is not tenable because point 303 rifles had been declared obsolete more than 20 year ago (February 1995) and about 48 *per cent* of the police force in the state is still using it.

Further, out of 15 test checked districts in 14 districts, 16,700 Rifles of point-303 bore were being used by the district police (*Appendix 3.3*).

3.6 Amogh Rifle Lying Idle

PHQ placed an order in September, 2008 for supply of 148 Amogh Carbine under the Police Modernization Scheme and paid an advance of ₹ 26.64 lakh to OFB, Kolkata for supply of these rifles. Audit observed that 80 Amogh rifles supplied in October, 2009 were not being used by the state police and were lying idle in Central Reserve Depot, Sitapur for last eight years due to failure to supply of ammunition by the ordnance factory Khadki, Pune. Audit further observed that supply of balance 68 Amogh rifles was still pending as of September, 2016.



GoUP stated (February 2017) that 80 Amogh Rifle received against indent could not be distributed to district units because ball of these rifles were not received, now the ball had been received and rifles were distributed.

Reply of the GoUP was not acceptable because no evidence of receiving of ammunitions and distributing the same was attached with the reply and balance 68 rifles are still not supplied by the ordnance factory.

3.7 Shortage of Ammunitions

Pistols are provided to all the police officers including Head constables and above. In addition, 30 *per cent* of the constables are also equipped with

pistols/revolvers. Further, carbines are used by police officers on special police forces/ district arms police/ PAC/ VIP security duty.

The ammunition used by the State Police in automatic pistols and carbines is 9 mm ball ammunition. It was noticed that there were significant shortages in the availability of this ammunition. Supply of 9 mm ball ammunition by the Ordnance factories to the Police Department during the period 2014-15 and 2015-16 was as under:

Table 3.3: Status of supply of 9mm ball by ordinance factories

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

(Source: Police headquarters, Allahabad)

GoUP accepted (February 2017) and stated that every year demand of 9 mm ball was send to MHA but the approval for supply of 9 mm ball was not made in accordance with the demand by the MHA so the shortage prevails.

The significant shortfall of 9 mm ball ammunition had an impact on the training and providing VIPs security.

3.8. Central Reserve Depot

Central Reserve, Sitapur is the sole store and distribution centre of arms, ammunitions and munitions for state police force, which was established in 1910. Scrutiny of records of Central Reserve disclosed major shortcoming in maintenance and upkeep of the Central Reserve as discussed below.

3.8.1 Improper Storage of Arms and Ammunitions

Central Reserve Sitapur is the only reserve in the State which holds all the inventory of arms and ammunition purchased by the PHQ (through State Budget as well as under MPF scheme) and issues them to the respective police units/PAC based on the authorisation received from PHQ. The Central Reserve is also responsible for receipt, storage and destruction of obsolete arms and ammunitions received from various police units/PAC after completion of their prescribed life.

Over the years, the complexity and nature of arms and ammunitions procured and the expenditure incurred for modernisation of police forces has increased considerably. GoUP incurred an expenditure of ₹ 463.91 crore during 2011-16 on procurement of arms and ammunitions and, therefore, it was essential that the Central Reserve had adequate safe storage space for storage of arms and ammunitions.

Audit noticed during physical inspection (May 2016) that the building of Central Reserve was more than 100 years old and was in dilapidated condition. Roofs of the barracks where arms and ammunitions were stored had

severe problem of leakage of rainy water during monsoon. Audit also found that large number of newly procured arms was lying in corridors as space in barracks was not available for storage of weapons. These concerns were also raised by ADG, PHQ, UP in his inspection of Central Reserve, Sitapur conducted in April 2016. This indicated that modernisation or upkeep of Central Reserve was completely ignored as no proposal had been initiated in the past for undertaking any major repair/up-gradation or construction of new building for the Central Reserve despite poor condition of the existing building and substantial increase in procurement of arms and ammunition by the state police.



Improper stacking of rifles due to inadequacy of storage space in Central Reserve, Sitapur.



New weapons kept in open corridors due to lack of storage space in Central Reserve, Sitapur.

Audit further noticed that the problem of inadequacy of storage space in the Central Reserve was compounded because of the failure of the Central Reserve authorities to destroy old obsolete stores which had been received from various police units over the years, for disposal/destruction as discussed below:

Audit observed that 8,728 weapons that were declared obsolete during 2011-15 were stored in the Central Reserve, Sitapur (CRS) and were awaiting destruction/disposal as of May 2016. The proposal for their destruction was pending with PHQ. Information of obsolete stores of pre 2011 period was not provided by Central Reserve, Sitapur. This indicated that despite severe shortage of storage space, CRS as well as PHQ did not take any action to destroy/dispose of the obsolete arms. As a result, obsolete arms were lying in CRS for many years and occupied substantial space whereas expensive new arms purchased were not safely stored and were lying in corridors with risk of damage, pilferage, theft etc.

Hence, CRS faced serious problem of inadequacy of proper storage space but neither any modernisation steps were taken by the PHQ to construct safe and secure storage building for arms and ammunitions in CRS nor the CRS authorities ensured timely destruction of obsolete stores so that newly purchased arms could be stored properly.

GoUP accepted (February 2017) and stated that storage of weaponry is available at 11th Vahini PAC and Central Reserve Sitapur. Demand of extra space for storage of Arms/ammunition was made available and arms/ammunition parked in open space is being transferred.

The reply is not acceptable because during physical verification of Central Reserve Store audit noticed that CRS faced serious problem of inadequacy of proper storage space and neither any modernisation steps were taken by the PHQ to construct safe and secure storage building for arms and ammunitions in CRS nor the CRS authorities ensured timely destruction of obsolete stores so that newly purchased arms could be stored in the earmarked buildings.

Recommendations

- *As the existing barracks where arms and ammunitions are stored in CRS are in dilapidated condition, the department should immediately get it surveyed from the competent authority whether the barracks are still fit and suitable for storage of modern weapon systems and ammunitions and accordingly take corrective measures to ensure availability of adequate and secure space for storage of such systems and ammunitions.*
- *The process of destruction of obsolete arms should be streamlined to ensure that obsolete arms are not kept in stores and should be destroyed in a time bound manner to ensure availability of sufficient space for storage of new weapons that have been procured.*

3.8.2 Inadequate security and surveillance

Since Central Reserve, Sitapur maintains storage of large quantity of arms and ammunitions, so provision of foolproof security system consisting of physical security such as boundary wall etc., as well as electronic surveillance through CCTV cameras was essential for ensuring safety and security of the weapons.

Construction of Boundary Wall

CRS did not have even a boundary wall till 2013-14. It was only in October 2011 that a proposal for construction of 575 metre long boundary wall (with fencing) of the CRS complex at a cost of ₹ 1.25 crore was submitted to the Government. Audit noticed that the estimates for construction of boundary wall did not have provision for watch towers which are essential for proper security and surveillance in such sensitive establishments. Instead of approving the entire boundary wall, the Government accorded sanction of ₹ 0.73 crore for the construction of only 320.70 metre length of boundary wall at CRS complex. The Construction agency, UP Police Awas Nigam, therefore, constructed only 320.70 metre long boundary wall from the sanctioned amount of ₹ 0.73 crore, covering two and half side of the CRS premises. CRS premise still remains without a complete boundary wall and thus vulnerable.

This indicated that the proposal submitted initially by the department was not comprehensive as it did not provide for construction of watch towers. The sanction accorded by the Government was also deficient as it did not adequately address the security needs of CRS.

Audit noticed that a proposal for construction of rest of the boundary wall, modern storage for arms and ammunitions, watch towers, covered morcha for security of arms and ammunitions and a link road for internal patrolling of central reserve at an estimated cost of ₹ 9.29 crore has now been sent to Government by I.G. (Headquarters) in May 2016. The necessary sanction of the Government was awaited as of September 2016.

As of date CRS lacked adequate physical security in the form of a complete boundary wall with watch towers.

CCTV Surveillance

Given the fact that large quantity of arms, ammunitions and explosives are stored in CRS, an impenetrable security system comprising of wide network of CCTV cameras in addition to physical and manual security was required in Central Reserve Sitapur for security of arms/ammunitions stored. Audit noticed that no provision for security surveillance with CCTV cameras has been made in the CRS campus, though CCTV Cameras are widely being used by the police for city surveillance as well as for surveillance over sensitive religious places and other buildings. CCTV cameras are also being installed in police stations under CCTNS project. It was ascertained that CCTV cameras in the Central Reserve of Police Department of Madhya Pradesh and Maharashtra have been installed. However, no such proposals for installation of CCTV cameras in CRS had been made by PHQ under modernisation programme during 2011-16.

GoUP accepted (February 2017) and stated that PHQ is trying to get approval of the proposal in May 2016 and after approval of the proposal, security of CRS will be as per standards and 24 hour surveillance will be done through CCTV cameras.

Fact remains that modernisation of CRS security system was not done in UP and this indicated an apathetic attitude of the department towards securing such sensitive locations despite numerous instances of terrorists and naxal attacks in the country on important establishments of Armed Forces, Central Para Military Forces and State Police.

Recommendation

Government should adequately strengthen and modernise the security arrangements in Central Reserve, Sitapur by immediately constructing the remaining portion of the boundary wall fencing and watch towers, and

installing CCTV cameras at appropriate places for round the clock surveillance apart from taking other necessary measures.

3.8.3 Inadequate Fire Safety Arrangements

Provision of adequate fire safety arrangements are absolutely essential in storage depots where large quantity of arms, ammunitions and explosives are stored.

Fire Fighting Equipment



Fire Detector



Fire Alarm System



Fire Extinguisher



Fire Sprinkler System



Hose Reel



Bulb Sprinkler



Wet Riser System



Co2 Flooding System



Manual Call Point

Audit noticed that Fire Officer (FO) Sitapur who had conducted inspection of CRS in June 2016 pointed out serious deficiencies in fire safety arrangements in CRS and made several suggestions for taking immediate corrective measures such as installation of fire extinguishers in all stores per hundred square metres, storing explosives on the ground floor instead of basement, establishment of wet risers and yard hydrants, construction of underground water tank of 50,000 litres and a terrace tank of 10,000 litre capacity with a pump of 450 LPM and a no smoking board to be erected at the gate.

GoUP accepted (February 2017) and stated that a proposal on the suggestions of the Chief Fire Officer is being prepared for taking corrective measures in the present fire security system of CRS.

This indicated that CRS has been functioning without even basic firefighting arrangements till March 2017 and no modernisation or up-gradation of firefighting arrangements had been undertaken by the department in CRS despite several instances of major fire incidents being reported in arms and ammunitions depots as well as other public buildings in the country.

Recommendations:

Adequate fire safety measures as recommended by Fire Officer, Sitapur should be implemented immediately in Central Reserve, Sitapur.

3.8.4 Shortage of Manpower at Central Reserve

Audit noticed that against the sanctioned strength of 40, the men in position in CRS were only 16 as of March 2016 (**Appendix 3.4**). Shortages were in the cadre of Sub Inspector and Ministerial staff level who were responsible for maintenance and security of arms and ammunitions. Thus not deploying sufficient manpower may affect proper upkeep, maintenance and security of arms and ammunitions kept in the Central Reserve.

Chapter 4

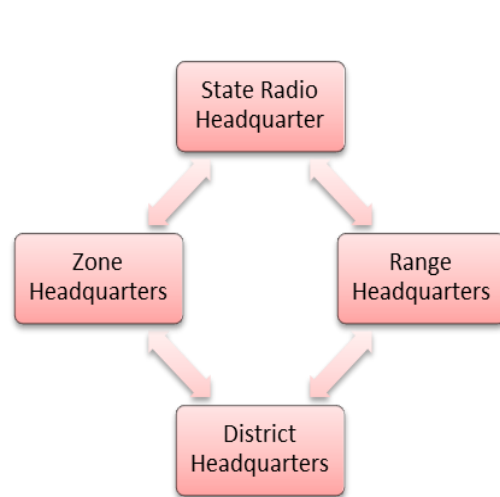
Modernisation of Communication System

Chapter 4

Modernisation of Communication System

4.1 Introduction

Radio Headquarter is responsible for providing immediate and secure communication to police and administration for maintaining of law and order. It has to ensure availability of an efficient inter district and intra district communication system. Intra district communication interconnects police stations, police posts, mobile units, district police and administrative officers for which police radio control rooms established at district headquarter remain active for 24 hours. For inter district communication radio centres are established at state radio headquarter and at each district. State headquarter is connected with zonal and range headquarters which are connected with each other and district headquarters. Most secret communications are also sent by radio department for use in police and administration.



Inter district communication system



Intra district communication system






4.2 Communication systems used by the department

A captive network of radio telephony and radio telegraphy has been developed by the department. Department uses:

High Frequency (HF) Network

– It is an intra district communication network. All district and range headquarters are linked to the state headquarters at Lucknow through wireless telegraphy, using HF radios.



<p>Very High Frequency (VHF) Network – It is an inter district network through which police stations, police outposts, district police and administrative officers are linked to control rooms established at district headquarters through wireless telephony.</p>	
<p>Range Repeaters – Repeaters enhance the range of VHF radio telephony communication and enable the DIG of a Range to talk to any SP of his range on wireless set.</p>	
<p>Wireless Based Public Address System – It is a public address system used by district police for crowd control and maintenance of law and order situation at religious and other important places.</p>	
<p>Police Communication Network (Polnet) – It is a satellite based inter and intra district network. Polnet connectivity is not only a means of voice communication but also provides computer connectivity, data communication and fax too.</p>	
<p>Closed Circuit Television – CCTV are used for video surveillance at religious and other sensitive places to monitor the security and law and order.</p>	
<p>Computer Aided Despatch System (CADS) – It works like a call centre in which affected people contacts the centre through voice calls, SMS, emails etc. for police help. Locations of GPS equipped police vans are tracked and are directed to reach the aggrieved person.</p>	

4.3 Procurement of communication equipment

Radio headquarter had submitted (January 2010) a requirement based plan of ₹ 198.21 crore for strengthening of communication system under MPF Scheme of GoI which was to be implemented during 2011-16. As per the plan, communication systems were to be strengthened annually and any shortfalls were to be rectified by the end of financial year 2015-16. Budget requirement, projected allotment made and expenditure incurred during 2011-16 are given in the table below.

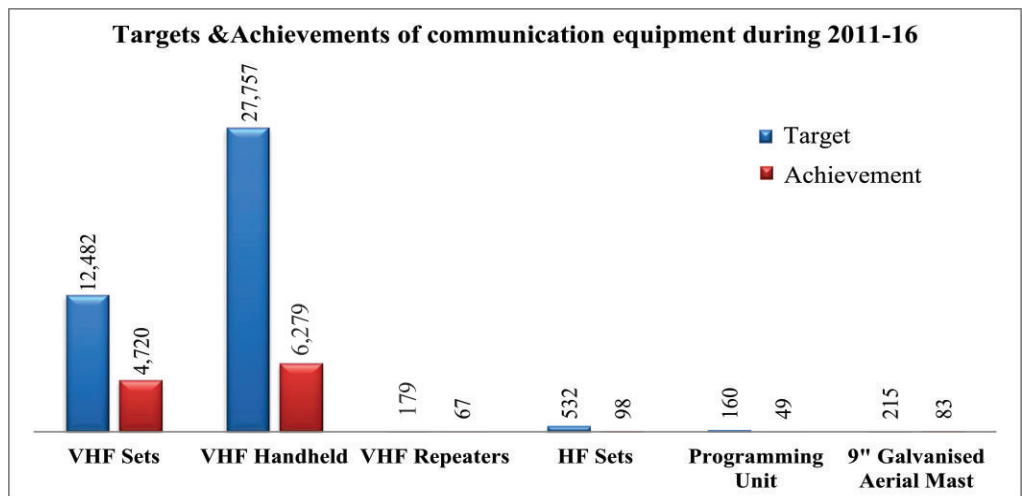
Table 4.1: Details showing allotment and expenditure under MPF

(₹ in crore)

Year	Budget Requirement	Allotment	Expenditure	Surrender (per cent)
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)

(Source: Radio Headquarter, Lucknow)

It is evident from the above table that Radio Headquarters had received ₹ 136.51 crore for procurement of communication equipment against the requirement of ₹ 198.21 crore, but the department could utilise only 41 per cent of the allotment. The funds could not be utilized due to failure of the department to finalise purchase orders and so the funds had to be surrendered. Because of the failure to utilise the funds, the procurement plans of equipment under MPF scheme suffered badly and the achievements of procurements against the targets were very low. Shortfalls in communication devices viz., VHF sets, HF sets, VHF handheld sets, VHF repeaters, programming units etc. against the targets (2011-16) ranged between 50 and 100 per cent. Achievements vis a vis targets of important communication equipment are given in the chart below and details are given in **Appendix 4.1**.



Government in its reply stated (February 2017) that procurements could not be made as complete modernisation schemes of different years were not

sanctioned and all items were not approved by SLEC and HPC of GoI. Purchases are made as per sanctions under modernisation scheme as per the AAP. Further, Government stated that tenders were invited again and again as per norms. Purchases could not be made in the financial year 2011-12 as election code of conduct for 2012 legislative election had been invoked.

The reply of the Government was not acceptable as there was huge surrender in other years also i.e. in the years 2011-12 to 2014-15. The responsibility of sending proposals and its approvals as per requirement lies with the department and the Government. Open tender is always allowed as per financial rules whether DGS&D rate contract is available or not.

4.4 Shortage of handheld sets

For effective communication, BPR&D recommended the norms of one VHF Handheld set per three policemen in field offices. As of January 2015, the State had 1,36,577 constables and head constables. So according to the said norms, 1,01,341 handheld sets against the sanctioned posts and 45,525 handheld sets against the available manpower in constables and head constables cadres should have been available.



Handheld Sets

However, only 23,814 handheld sets (52 *per cent*) were available as of July 2016 and the shortage was as large as 21,711 sets (48 *per cent*) of men in position and 76 *per cent* when seen against sanctioned strength. Further, out of 23,814 available handheld sets, only 16,119 sets were distributed by field units and 7695 sets were kept in store as reserve. Hence, the actual availability of handheld sets in field units was only 16,119 (39 *per cent*) against the men in position and 16 *per cent* when seen the against sanctioned strength.

Further, as per information available through BPR&D data, 51 police stations did not have telephones and 17 police stations were running without wireless facilities as of January 2016.

Government in its reply stated (February 2017) that proposals were prepared as per norms taking into view the requirement of men in position of police force. Procurement of 13,970 handheld sets was in process and 14,445 handheld sets were proposed for procurement in the financial year 2016-17. No reply was given for keeping 7695 sets in store. No attempts were made to provide telephones in 51 police stations and wireless facilities in 17 police stations.

4.5 Inventory of life expired Communication Sets

A number of 50,216 communication sets were available out of which 33,089 sets were deployed in field units and remaining 17,127 sets were kept in reserve as given in table below.

Table 4.2: Availability of communication devices-2017

Devices	Holding	Deployed	Available in Store at Lucknow Radio Headquarter					Life expired	Net functional
			Functional	Defective	Unserviceable	Condemned	Total		
VHF Set	21,645	14,785	2,612	24	1,683	2,541	6,860	15,124	6,521
VHF PA Sets	1,375	1,370	0	0	5	0	5	202	1,173
VHF Backpack Set	948	948	0	0	0	0	0	269	679
VHF Repeaters	214	134	2	0	47	31	80	147	67
ROIP	9	9	0	0	0	0	0	0	9
UHF Sets	12	0	0	0	9	3	12	12	0
Handheld Sets	25,327	15,412	2,582	30	4,217	3,086	9,915	17,518	7,809
HF Sets	644	431	17	0	64	132	213	546	98
HF Backpack Sets	42	0	0	0	42	0	42	42	0
Total	50,216	33,089	5,213	54	6,067	5,793	17,127	33,860	16,356

(Source: Radio Headquarter, Lucknow)

It is evident from the above table that out of total holdings of 50,216 sets, deployment in field units were 33,089 and 17,127 sets were deposited in store. Further, 33,860 sets were life expired and only 16,356 sets were functional out of which 5,213 functional sets were kept in store. Life expired sets needed to be replaced but the same were still being used in field units as new sets had not been purchased. No replacement of sets has been done since 2009. Further, out of 17,127 sets kept in reserve, only 5,213 sets were functional and 6,067 sets were unserviceable. The cost of unserviceable sets was ₹ 7.62 crore. Thus, out of 50,216 communication sets only 16,356 sets (33 per cent) were functional and remaining 67 per cent sets were unserviceable, condemned or completed their lives.

Government in its reply stated (February 2017) that in view of law and order those functional sets which have completed their lives are not returned from units/districts in store until substitutes of these sets are not received by them.

As such, Government accepted in its reply that communication sets whose life had expired were being used in the department.

4.6 Avoidable expenditure of ₹ 57.66 crore on spectrum charges

Wireless Planning and Coordination (WPC) wing of Ministry of Communication, GoI issued (April 2004) a Memorandum regarding levy of spectrum charges on wireless sets being used for communication purposes. As per the memorandum, all government ministries/departments/organisations were to pay annual spectrum charges (License Fee and Royalty) to WPC Wing. In case of failure to pay spectrum charges by scheduled date 'late fee' at the rate of two per cent per month, compounded annually, was to be paid.

Scrutiny of records revealed that budget provisions for payment of spectrum charges were not made during 2011-12 to 2014-15 despite repeated requests

by Communication headquarter and demand by the WPC Wing of Ministry of Communication, GoI. Due to the failure to pay spectrum charges timely, late fee of ₹ 104.47 crore was levied by WPC for the period from 2004-05 to 2016-17 out of which ₹ 57.66 crore was paid by the department to GoI in September 2015. Had the department taken timely action and provided funds in the budget annually, the payment of late fee of ₹ 57.66 crore could have been avoided.

Government in its reply stated (February 2017) that ₹ 0.89 crore in August 2016 and ₹ 30.48 crore in October 2016 were paid to GoI as complete spectrum charges. But Government did not furnish reply about late payment due to which late fee at the rate of 2 *per cent* per month, compounded annually, amounting to ₹ 104.47 crore was levied by WPC and was paid by the department. This was avoidable if the department had paid spectrum charges timely.

4.7 Usage of Wireless Sets without obtaining license

As per telecom policy of GoI, all wireless users including state police forces are required to obtain license for usage of wireless devices. User Department submits application to Ministry of Communication for issue of new licenses for wireless devices. After examination of the application, Ministry of Communication issues *Letter of Intent* (LOI) and demands spectrum charges at specified rates. User Department has to pay these charges within one month, else the LOI is cancelled and the User Department is required to submit fresh applications. After User Department has paid the specified charges, *Agreement in Principle* (AIP) is issued by the Ministry and thereafter the User is authorised to purchase and use wireless devices.

Scrutiny of records revealed that Communication Wing of Uttar Pradesh Police applied for issuance of LOI in respect of different types of 1486 sets in November 2013 and 1,189 sets in October 2014. Ministry of Communication, GoI had issued LOI for the said devices and demanded ₹ 0.52 crore and ₹ 0.39 crore respectively on account of license fees. Department, however, failed to pay the said amount within the scheduled time as a result of which LOIs lapsed.. During 2014-16, Communication Wing of Uttar Pradesh Police again applied for license of 4,374 additional sets but the licenses were not issued. Audit however observed that the Police Department purchased the wireless devices and were using the same without obtaining the required license.

Government in its reply stated (February 2017) that the process of providing license for radio centres from Ministry of Communication, GoI is complex and time bound under which permissible time for payment of spectrum charges is only 30 days. Sanction of estimated heavy amount as spectrum charges is not received in this limited time. As a result the department repeats the process again and again.

Reply was not acceptable for as per rules State Police is required to take license for usage of wireless devices which was not done.

4.8 Replacement of equipment which had completed their useful life

In March 2014, administrative and financial sanction of ₹ 45.04 crore was accorded for procurement of equipment⁵ which had completed their useful life. However, procurement could not be done as purchase orders were not finalised and therefore the amounts had to be surrendered. Again in September 2014, sanctions for ₹ 43.54 crore were accorded to procure these equipment but the quantities were reduced as per fresh/new sanction. Meanwhile, engagement of “Shreetron India Ltd.”, a UP Government undertaking, was appointed as consultant for outsourcing the tendering process and finalising the supply orders for an administrative fees of ₹ 2.07 crore and tendering process has been completed by the consultancy firm. However, payment to the firm is yet to be released. The fact remains that required devices could not be procured till 2015-16. Not having HF and VHF sets could affect the communication of messages in the department. Audit further noticed that the unutilized amount of ₹ 43.54 crore was deposited in “PLA of *Police Awas Nigam*” out of which ₹ 4.07 crore has been utilised in 2016-17 for the purchase of SMF heavy duty batteries at DGS&D rate contract. Keeping the money in PLA after close of the financial year is not permissible as per rules and therefore the action of the department to retain the funds was irregular.

Government in its reply stated (February 2017) that in view of law and order those functional sets even if they have completed their lives are not returned from units/districts in store until substitutes of these sets are received.

As such, Government accepted in its reply that communication sets which had completed their useful life were being used in the department.

4.9 Police Telecom Network (Polnet)

Polnet is a satellite based communication system which was established (2003-04) in 56 districts of the state by MHA. The facility was provided by GoI to all state forces and central forces and a National hub was established at New Delhi. The cost of Polnet V-Set established in 2003-04 was ₹ 3.10 crore for 56 sets. The system was more reliable and effective in disaster management. Network



services were being used for exchanging messages pertaining to law and order between state and central police forces in normal operations as well as for special events like elections, VIP movement, court matters, foreign nationals and other sensitive matters. The network started working from 2006.

⁵ VHF Sets – 8,192, Handheld Sets – 10,574, HF sets – 438, Batteries – 10,578.

Audit found that out of 56 Polnets established only 38 (68 *per cent*) was functional. This was because Annual Maintenance Contract (AMC) was not finalised by the department. In absence of AMC, the Polnet stopped functioning in 18 districts.

Government in its reply stated (February 2017) that Polnet were being maintained through an AMC with M/s Bharat Electronics Ltd. However, M/s Bharat Electronics Ltd. refused the AMC as their spare parts for maintenance were unavailable in the market. Now upgradation of Polnet system was in process by GoI under which upgradation of pre-established old Polnet system in 56 districts and installation of new Polnet centres in 19 districts was proposed by Radio Headquarter under the modernisation scheme in the year 2016-17.

4.10 Delay in adoption of modern technology

Department had established state-wise VHF grid in which analogue static/mobile radio set, handheld radio set and IP based controller/repeater sets were being purchased each year upto 2014-15. DGP, in November 2015, decided that analogue sets would not be purchased in any condition. Thus, only digital radio sets were to be purchased in future. Accordingly, 1204 analogue sets proposed for purchase at the cost of ₹ 1.96 crore were changed with digital sets. Department also decided to replace all analogue sets working in the VHF radio grid on completion of life (8 years) in year-wise phased manner starting from 2016-17 to 2023-24. Proposed estimated cost of replacement of analogue sets was ₹ 36.13 crore, ₹ 19.25 crore and ₹ 1.00 crore for 12046 number of static/mobile sets, 6418 handheld radio sets and 67 repeater sets respectively. These analogue sets were purchased during 2007-08 to 2014-15. Department's purchase of analogue sets continuously upto 2014-15 was highly imprudent and indicated lack of efficient planning for adoption of modern upgraded technology in communication.

4.11 GPS System not functioning

In Jhansi, 49 vehicles were equipped with GPS system and were connected to City Control Room for tracking the vehicles so that in case of any untoward incident, the nearest vehicle may be directed to reach the spot without delay. However, audit found that out of 49 GPS equipped vehicles, GPS system of 28 vehicles were not functioning due to technical reasons since August 2015. In Moradabad 56 GPS systems were purchased during March, 2014 and November 2015. However, these systems were not functional as rental charges of post-paid SIMs were not paid. As a result the police vehicles did not even have basic technical capability i.e. usage of maps for tracking of vehicles etc. which were available even with taxis like UBER, OLA.

No reply was furnished by the Government on our observation.

4.12 More than a third of CCTV Camera not functioning

CCTV Cameras are being used by police for crowd control, traffic management, monitoring important events, places, ensuring peace and security

and maintenance of law and order. The CCTV cameras are also being used in important cities under city surveillance system. CCTV cameras are connected with the Control Rooms to monitor the activities happening at the spot where these are installed.



City Surveillance by CCTV

Audit found that 269 (39 per cent) out of 691 CCTV Cameras installed in 15 test checked districts were not functioning due to technical defects or because AMC was not finalised. Further, out of 40 CCTV cameras installed at one religious place 13 did not function due to unsatisfactory services of firm hired for AMC by the SSP Faizabad (**Appendix 4.2**). Failure to have CCTV cameras functional defeated the purpose of installation of the cameras, and put the lives of common people as well as VIPs at risk besides compromising the security of an important religious place.

No reply was furnished by the Government on our observation.

4.13 Modern Control Room Kanpur did not function

With a view to provide immediate police help to caller on dialing 100, a Modern Control Room (MCR) at Kanpur was established (February 2014) by Radio Headquarters, Lucknow at the cost of ₹ 6.60 crore through Telecommunications Consultants India Ltd. (TCIL), a Public Sector Undertaking of GoI. The MCR started functioning in February 2014. As per the agreement, the supplier i.e. TCIL maintained the equipment for a period of two years upto February 2016. Audit found that after expiry of the warranty period of two years and department's failure and indecision to enter into an AMC, TCIL stopped providing services for running of the equipment. As a result, MCR stopped functioning (February 2016) and, therefore, Dial 100 system being operated through MCR has ceased to function in district Kanpur for the last six months. The system was still not functioning as of 31st August 2016, rendering the expenditure incurred (₹ 6.60 crore) on the scheme unfruitful and also resulting in the State Police not being able to provide help to callers in emergency situation.

Government in its reply stated (February 2017) that a proposal of ₹ 1.55 crore was sent to Police Headquarter by IG, Kanpur zone in May 2016 for AMC of Modern Control Room, Kanpur which was pending.

4.14 Manpower shortages

Radio staff in different cadres were responsible for the operation and maintenance of police communication system. Non-gazetted technical staff of radio cadre were mainly responsible for operation and maintenance of equipment. Audit observed that there was shortage of 1,431 (25 per cent) as of July 2016 in non-gazetted radio cadre which included Inspector, Sub-Inspector, Operator responsible for operation of district radio centres, district control rooms and radio workshops. Further, audit found that 612 posts in non-gazetted category in 18 new established districts were not sanctioned.

Shortage of staff against sanction, combined with the failure to sanction for newly created districts could adversely affect the operation and maintenance of police communications. No recruitment of officials in communication wing has been done after 2006.

Table 4.3: Manpower position in Communication Wing

Post	Sanctioned Post	Availability	Shortage (%)
Gazetted Officer	63	41	22 (35)
Non-Gazetted Officer	5,710	4,279	1,431 (25)
Transport Wing	73	53	20 (27)
Group D Employee	664	525	139 (21)
Total	6,510	4,898	1,612 (25)

(Source: Radio Headquarter, Lucknow)

Government in its reply accepted (February 2017) that non-gazetted posts had not been sanctioned till now for the operation of radio systems at the headquarters of those 18 districts in the State while equipment were managed under modernisation schemes.

Crime and Criminal Tracking Network Systems (CCTNS)

A Performance Audit of CCTNS was conducted during 2015-16 and the findings were included in the Chapter 2 Performance Audit of CAG's Report (General and Social Sector Audit) for the year ended 31 March 2015. In the said report audit had commented on poor project implementation and serious delays in making the CCTNS fully operational.



4.15 Network infrastructure and performance

As per agreement (April 2012), BSNL was to provide network connectivity between police stations/ higher offices and State Data Centre (SDC), SDC to National Data Centre and between SDC and Disaster Recovery Centre using technologies like Virtual Private Network over Broad Band (VPNoBB), Worldwide Interoperability for Microwave Access (WiMAX) and Very Small Aperture Terminal (VSAT). Status of connectivity provided by BSNL is given in below table.

Table 4.4: Status of connectivity, as of March 2016

Connectivity	Connectivity Status			Connectivity Percentage (available)
	Connectivity Required	Connectivity Available	Connectivity Not available	
VPNoBB	2,171	1,916	255	88
VPNoWiMAX	193	175	18	91
VSAT	123	00	123	00
Total	2,487	2,091	396	84

(Source: UPPTS connectivity status report March 2016)

It is evident from above table that only 84 *per cent* connectivity was made available.

As per Service Level Agreement (SLA) with BSNL, percentage uptime availability of more than 97 *per cent* was to be ensured. Status of percentage uptime availability of systems is detailed in Table below:

Table 4.5: Status of percentage uptime availability of systems

Percentage Availability	100 - 80 <i>per cent</i>	79 - 60 <i>per cent</i>	59 - 40 <i>per cent</i>	39 - 20 <i>per cent</i>	19 - 1 <i>per cent</i>	Zero <i>per cent</i>
No. of links	951	723	183	81	153	396
						2,487

(Source: UPPTS Network Monitoring System report (1 March 2016 to 31 March 2016))

This indicated that 16 *per cent* of the locations (396) had no uplink connection even for once, whereas only for 38 *per cent* of the locations (951) percentage uptime connectivity was over 80 *per cent* which reflected poor network performance. This was because of the failure to resolve the issues viz., inconsistent termination of line, absence of modems, adequate bandwidth availability and high latency with BSNL/SI/UPPTS.

4.16 Operationalisation and use of CAS for core Services

Audit found that CCTNS has still not been made fully operational. The core modules of Core Application Software (CAS) included four modules viz. Registration module for submission and generation of response on the complaints submitted, Investigation module for capturing crime and investigation details, arrest cards, property seizure etc., Prosecution module for capturing prosecution details and Citizen Interface portal for citizens to register online complaint and view status on the complaint and Search and reporting module for search on specified criteria.

Study of implementation of CAS in test-checked districts disclosed that:

- Out of four modules, only Registration Module was being used for registration of FIRs. The remaining modules viz. Investigation, Prosecution and Search, Reporting though developed, were still not being used by the police authorities.
- Out of 1,504 police stations, only 1,461 police stations were registering FIRs through CAS (March 2016). Thus, even registration of FIRs through CAS has not been implemented in all the police stations of the State.
- Citizen Centric portal services envisaged to be made available through Police portal and via SMS were yet to be made fully functional and were not launched as of 31 March 2016.
- Integrated Information Form (IIF) generated from CAS for the period January 2013 to March 2016 (**Appendix 4.3**) in respect of test-checked districts disclosed that there was very little information available in CAS database of seizure memo (IIF-IV).

Recommendations

- *Availability of manpower, especially in technical category should be improved for better operation and maintenance of communication network in state police.*
- *Budget utilisation must be ensured by expediting procurement of essential equipment and replacement of obsolete equipment/ technologies.*
- *AMC of procured equipment must be planned and implemented timely.*

Chapter 5

Improving Police mobility

Chapter 5

Improving Police mobility

5.1 Introduction

Mobility is measured in terms of the ability of police force of a unit to move to the incident site. Quick police response helps to save precious lives, maintain law and order and protect public and private property besides being a reliable



indicator of police performance. BPR&D has prescribed scales for various types of operational vehicles such as heavy/medium/ light vehicles and motor cycle required for police stations, district armed reserve and armed police battalions.

5.2 Availability of vehicles

Civil Police: As per the BPR&D recommendations, the Civil Police required 11426 nos. of four types of vehicles (Heavy vehicle, Medium vehicle, Light vehicle & Motor Cycle) for 75 districts of the state. Number of vehicles required in district depends on the number of police stations in the district. Scrutiny of records revealed that only 8288 (73 per cent) vehicles were available with Civil Police as compared to BPR&D recommendations (*Appendix 5.1*).

Hence, there was a shortage of 27 per cent in vehicles for Civil police, and the shortage of Medium Vehicles which are used for patrolling was as high as 68 per cent. Shortage of vehicles could adversely affect the mobility of Civil



Police especially their patrolling functions, which could impact law and order maintenance in the State.

Provincial Armed Constabulary (PAC): As per BPR&D norms, PAC required 2,112 vehicles of four types (Heavy vehicle, Medium vehicle, Light vehicle & Motor Cycle) in the State for discharging their role and functioning effectively. Scrutiny of records revealed that only 1,502 (71 per cent) vehicles were available with PAC (*Appendix 5.2*) during 2015-16. Hence, there was an overall shortage of 29 per cent in vehicles and shortage of Medium Vehicles

was as high as 75 per cent in PAC. Such huge shortage of vehicles with PAC would certainly affect their mobility in an adverse manner in any emergency.

GoUP accepted (February 2017) the audit observation and stated that purchase of vehicle for districts police/PAC is made in accordance with BPR&D norms and budget provision of MPF scheme from GoI and after administrative/financial sanctions of GoUP.

5.3 Irrational deployment of vehicles in districts

Vehicles should be allotted to district police as per the number of vehicles sanctioned by PHQ. Audit observed that deployment of vehicles was not based on rational analysis of shortage in the districts, as there was a shortage of 11 to 46 per cent vehicles in 43 districts whereas 32 districts had either excess or the shortage was very marginal as detailed in *Appendix 5.3*.

5.4 Short deployment of vehicles at Police Stations

Authorisation of vehicles in field units was standardised by BPR&D as three light vehicles in Urban Police Stations and two light vehicles in Rural Police Stations. Scrutiny of records in test-checked districts revealed that deployment of vehicles was not as per the BPR&D recommendations. Out of 15 test



Light Vehicle at Police Station

checked districts, 10 districts had short deployment of light vehicle in Rural Police Station in which four districts had acute shortage i.e. Jhansi and Sitapur (50 per cent), Mathura (55 per cent) and Kushinagar (63 per cent) in rural police stations, Urban Police Stations of 12 districts had short deployment of light vehicles. Out of these

districts, in 8 districts short deployment of light vehicle was above 50 per cent (Kushinagar, Deoria, Pratapgarh 50 per cent, Shahjahanpur 55 per cent, Meerut 57 per cent, Mathura 64 per cent, Sitapur 66 per cent and Jhansi 67 per cent) as detailed in *Appendix 5.4*. Despite the budget being available for procurement of vehicles, the department surrendered ₹ 4.24 crore of MPF scheme and ₹ 16.81 crore of State budget as discussed in succeeding para 5.5.

The overall shortage of vehicles in the state was 27 per cent and such huge shortages in districts indicate deployment of vehicles without any rational analysis and diversion of vehicles from some districts to others in state. This could adversely affect the mobility and hence law and order situation in these districts.

5.5 Vehicle not procured and budget surrendered

During 2011-16, an amount of ₹ 72.34 crore was sanctioned under MPF Scheme by GOI for procurement of different types of vehicles. State

Government also approved and released ₹ 216.79 crore for procurement of vehicles during this period. However, department could not utilize the budget fully and an amount of ₹ 21.05 crore (₹ 4.24 crore of MPF Scheme and ₹ 16.81 crore of State Budget) remained unspent (*Appendix 5.5*). Due to the failure to utilise the budget, department could only procure 6,367 vehicles against the sanctioned 6,539 vehicles (*Appendix 5.6*).

5.6 Irregular procurement of vehicles against replacement of condemned vehicles

As per Government Accounting Rules and Uttar Pradesh Budget Manual, “Replacement Expenditure is debit to Revenue Expenditure head of the Government Account”. Audit scrutiny revealed that ₹ 153.89 crore were spent for replacement of condemned vehicles during 2011-16 under capital head and amounted to misreporting of expenditure to the legislature (*Appendix 5.7*).

GoUP accepted (February 2017) the audit observation and stated that in exceptional circumstances to maintain the law and order situation in the state provision in budget is being made through re-appropriation and vehicles were purchased to overcome the shortage of vehicles.

5.7 Vehicles not procured against condemned vehicles

Government order (2009) stated that when a new vehicle is purchased against the condemned vehicle of the District/Unit/PAC Corps, it should be allocated to the same unit.

During 2015-16 PHQ submitted a proposal (January 2016) to the State Government for procurement of 1,792 vehicles against condemned vehicles at district/units. Government however released sanction for procurement of only 190 vehicles.

Hence only 10 *per cent* of total condemned vehicles were replaced during 2015-16 and as of March 2016, 1,847 condemned vehicles (including 245 condemned vehicles in march 2016) were awaiting replacement at the end of 2015-16.

5.7.1 Procurement of vehicles for VVIP

On proposal of Police Headquarters (September 2013), Government accorded administrative and financial sanction (13 September 2013) of ₹ 5.84 crore for purchase of 10 bullet proof and 08 general Tata Safari vehicles for the security of the Hon'ble Chief Minister against the 18 condemned vehicles of 11 districts. Government accorded administrative and financial sanction of ₹ 3.24 crore on 31 January, 2014 for purchase of two Land Cruiser bulletproof vehicles at a cost of ₹ 1.62 crore per vehicle for the Hon'ble Chief Minister's security. Again, Government on 5th March 2014 accorded administrative and financial sanction of ₹ 6.90 crore for purchase of two Mercedes Model M-Guard Bulletproof vehicles at the cost of ₹ 3.45 crore per vehicle, accordingly payment made (upto March 2015) after adjusting the earlier sanction of ₹ 3.24 crore for two Land Cruiser.

Thus, Government incurred avoidable extra expenditure of ₹ 3.66 crore by deciding to purchase more expensive and luxurious vehicles for VVIP instead of Land Cruiser sanctioned earlier.

Audit noticed that Bullet Proof Tata Safari and Bullet Proof Mahindra Scorpio are being used by the Hon'ble Chief Minister, Maharashtra and Ambassador Car is being used by Hon'ble Chief Minister, Madhya Pradesh and Hon'ble Chief Minister of Andhra Pradesh is provided with Bullet Proof Scorpio and Bullet Proof Ambassador/Tata Sumo vehicles.

GoUP in reply (February 2017) stated that vehicle were purchased as per the requirement of vehicles to maintain law and order situation and instructions were issued to all concerned for maintenance of vehicles. Vehicles were allotted to the concerned police units/district/PAC for which they were purchased. Vehicles were attached to other units on temporary basis as per the requirement/necessity to maintain law and order situation.

Reply of the GoUP was not tenable because government purchased 10 bulletproof Tata Safari and 08 General Tata Safari vehicle for security of Chief Minister against the 18 condemned vehicle of 11 districts.

5.8 Vehicles used by the department after completing their age

Government had fixed the norms for uses of vehicle in Police department in October 1986 as under:

Table 5.1: Service Life of vehicles as per Norms

Sl. No.	Description of vehicle	Life of vehicle
1.	Heavy vehicle	4.5 lakh Kilometer or 15 years
2.	Medium vehicle	2.25 lakh Kilometer or 12 years
3.	Light vehicle	1.75 lakh Kilometer or 10 years
4.	Motor cycle 3.5 H.P and above	1.00 lakh kilometer or 5 years
5.	Motor cycle up to 3.5 H.P	60,000 kilometer or 5 years

(Source: Police Headquarter, Allahabad)

Scrutiny of records of 15 test-checked districts revealed that 13 per cent to 70 per cent of vehicles used by the district authorities had completed their service life as fixed by the government (Deoria: 41 per cent, Kushinagar: 47 per cent, Jhansi: 49 per cent and Sitapur: 70 per cent). Out of 3,113 vehicles, 955 vehicles had completed their prescribed life but were still being used by the department as these vehicles were not replaced. This could impact the mobility and delivery of police services. District-wise position of available vehicles and vehicles that have completed their prescribed life is shown in (Appendix 5.8).

5.9 Vehicles provided to VIPs and expenditure incurred on POL

PHQ informed (26 August 2014) the Principal Secretary, Home, GoUP that there were shortages of vehicles in police force and purchase of vehicles for use in police department' and allotting them to Hon'ble ministers would make for permanent shortage of vehicles in the department and would affect the law

and order situation in the respective districts. In spite of these reservations expressed by PHQ, orders for purchase (December 2016) of 56 vehicles (*Maruti Gypsy*) at a cost of ₹ 3.08 crore for use as staff cars was issued and were allotted to hon'ble Ministers of various departments through concerned district police offices. It was further noticed that an order of meeting out the POL expenditure of these vehicles which were running for Hon'ble Ministers other than Police Department was issued (June 2015).

Audit observed that out of 15 test checked district in 12 districts⁶, 1 to 316 vehicles were attached with VIPs and ₹ 0.25 crore to ₹ 3.21 crore were spent on POL on these vehicles engaged for VIP duties (*Appendix 5.9*).

It was the responsibility of the district police to provide escort vehicle to Hon'ble Ministers during their visit to the districts. However, it was irregular on the part of the Government to permanently attach district police vehicles with Hon'ble Ministers especially when most of the districts had huge shortage of vehicles which would adversely impact their law and order related operations/functions.

5.10 Unfruitful expenditure on Automotive workshops

UP Police Automotive Workshop (PMT) was set up in 1947 at Sitapur district for providing training to reserve drivers, testing their ability to drive, renewal of their driving license as well as preventive maintenance and first level repairing of Police Vehicles. Along with the main workshop of Sitapur, regional workshops were established at Lucknow, Moradabad, Agra and Varanasi. The number of vehicles serviced/repaired at PMT workshop and expenses of the workshop during the period 2011-16 are as under:

Table 5.2: Repair cost of vehicles at PMT

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

(Source: UP Police Motor Workshop, Sitapur)

It was noticed that ADG (TS) requested PHQ (November 2014) that cost per unit of repair has increased during last seven years due to cost of salary of the staff and decrease in the number of vehicles repaired at the workshop (old models being replaced with the new vehicles etc.) The cost of the maintenance increased because workshop was not upgraded and there was lack of expertise in staff in repair of vehicles of new models/generations.

⁶ Allahabad, Deoria, Jhansi, Kanpur Nagar, Kushinagar, Moradabad, Mathura, Meerut, Pratapgarh, Shahjahanpur, Sitapur, Sonbhadra.

GoUP in reply (February 2017) stated that decision to assess the requirement of present workshop and their qualitative improvement were taken after approval of HoD on the recommendations of a high level committee.

Reply of GoUP was not tenable as cost per unit of repair has increased eight times during last seven years due to decrease in the number of vehicles repaired at the workshop. The decline is mainly on account of failure to upgrade the workshop and lack of expertise of staff in repair of new models/generations vehicles.

Recommendations

- *Vehicles should be purchased and provided to Civil Police/PAC as per BPR&D norms and the shortages should be minimised on priority to improve mobility and operational efficiency of State Police.*
- *Police vehicles should not be diverted for any other use.*
- *Need for continuance of PMT may be reviewed.*

Chapter 6

Modernisation of Forensic Science Laboratories

Chapter 6

Modernisation of Forensic Science Laboratories

6.1 Introduction

One important component under the MPF scheme was “Modernisation of Forensic Science Laboratories”. To improve the quality of evidence and criminal justice delivery process, GoI prepared a model scheme in 1958 for setting up forensic science laboratories (FSLs) all over the country. Accordingly, State FSLs were set up to help in crime investigation by analysing samples of different nature which would help in the collection of evidences and quick disposal of cases.

Presently, four FSLs (at Lucknow, Agra, Varanasi and Ghaziabad) are functional. The FSLs at Lucknow, Agra and Varanasi have 13, 9 and 5 sections as given in *Appendix 6.1*. In FSL Ghaziabad, toxicology section has been opened (July 2015) and its building is under construction (37 per cent complete) till March 2017. In four⁷ of five districts, Regional Forensic Science Labs⁸ (RFSLs) are still to be established. The above 5 RFSLs were sanctioned. The work of RFSL Moradabad has been completed handed over to department (June 2016) and became functional in July 2016, whereas the work of remaining four RFSLs are in progress (6 to 44 per cent) as on March 2017. The new RFSLs are proposed to reduce the work load on the above four functional FSLs and to enhance the capacity for analysis of samples in the state.

In addition to this, district field units have been established in all 75 districts to collect evidences/samples from crime places and send to concerned forensic labs after preliminary examination.

6.2 Planning

The Director, FSL had evolved a perspective plan on 18.11.2010 for 2011-16 to modernise forensic science laboratories. The plan was to be implemented in three phases during 2011-16. In the first phase, all the district field units were to be equipped with mobile forensic vans (mobile field units) with modern facilities for crime protection management, explosive, DNA, biological, computer crime etc., and in the second phase, these facilities were to be extended in 500 circles in all districts of UP.



Moreover, 5 RFSLs were to be opened in Moradabad, Jhansi, Gorakhpur, Allahabad and Ghaziabad with basic sections like physical, chemical and

⁷ Allahabad, Ghaziabad, Gorakhpur, Jhansi.

⁸ Allahabad, Ghaziabad, Gorakhpur, Jhansi and Moradabad.

biological sciences. In the third phase, engineering, mathematical, medical and behavioural sciences sections were to be opened in old FSLs (already existed FSLs). In Modernisation Plan, funds were to be allotted for these activities.

Scrutiny of records of Directorate FSL revealed that implementation of the Perspective Plan was not ensured as detailed below:

- In 33 district level field units (44 *per cent*), out of 75 districts have been equipped with mobile forensic vans (mobile field units) to investigate crime cases with modern facilities. Procurement of mobile forensic vans for strengthening of the rest 42 field units with modern facilities has not been done for want of funds (March 2017), however, kits have been purchased for above 42 mobile forensic vans and lying idle in Directorate (March 2017).
- In second phase, above facilities were to be extended in 500 circles in all districts but no such facilities were available as of March 2017.
- For functioning of five RFSLS, basic infrastructure facilities of having their own building was to be ensured. Status of the physical and financial progress of construction of buildings of RFSLS is given in **Appendix 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. The physical progress of construction of building of RFSL Jhansi and Gorakhpur were upto plinth and stilt floor level respectively (April 2017). The physical progress of construction of the buildings of RFSL Ghaziabad & Allahabad were 37 and 44 *per cent* respectively (April 2017), even after the lapse of perspective plan period.

As per the third phase of the plan, engineering, mathematical, medical and behavioural sciences sections were to be opened in old FSLs (already existed FSLs) but these sections were also not established in any of the FSLs (April 2017) except a medico legal section in Lucknow FSL.

The Government in its reply (February 2017) stated that in first phase ten and in second phase 25 mobile forensic vans with kits have been sent to district forensic field units and procurement of rest of 40 mobile vans is in process. The proposal of mobile forensic vans for 700 circles will be sent to Government.

Reply is not tenable because department failed to modernise and strengthen forensic labs as envisaged in perspective plan 2011-16. Only 47 *per cent* of the district in State could be equipped with mobile forensic vans and none of the 500 circles have been provided such facility so far. Hence four out of five RFSLS were still not fully functional. New sections were also not opened in the existing FSLs as planned.

6.3 Procurement of equipment:

The position of release and expenditure of FSL for purchase of equipment was as given in the table below:

Table 6.1: Allocation and expenditure of FSL for procurement of equipment

(₹ in crore)

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	29.45⁹

(Source: Directorate, FSL)

It is evident from the above table that although the perspective plan was prepared in 2011-12, but no funds were released during 2011-13 and there was delay in release of funds during 2013-16 because of delayed release of funds by GoUP/PHQ to the Forensic Directorate. Further, ₹ 53.55 crore was released for the procurement of equipment, against which expenditure of only ₹ 24.10 crore (45 per cent) was incurred. Further, during the year 2013-14 and 2014-15, against the released amount ₹ 28.67 crore, expenditure of only ₹ 5.10 (17.78 per cent) crore was incurred. Most of the expenditure was incurred in 2015-16. Rest 55 per cent budget was not spent, out of which ₹6.20 crore was parked in PLA of “UP Police Awas Nigam” as of July 2016.

The department in its reply (February 2017) stated that the most of the equipment are to be imported/ purchased from foreign/abroad. Due to lengthy and delayed process of tendering, sometimes procurement of equipment might be difficult during the period of financial year. Forensic Directorate replied that due to the failure to finalize the tenders in various years, funds were surrendered. Tender had been invited more than two or three times for most of equipment due as suitable technical/financial bids were not received.

It could however not be denied that there was shortage of modern equipment in FSLs. Audit, also, found that Department failed to utilise 55 per cent of the budget allotted for purchase of lab equipment and failed to modernise the FSLs.

6.4 Shortage of equipment:

Scrutiny of records of Director FSL revealed that the required number of equipment were not procured and established in FSLs and district field units as envisaged in plan. Solar power based backup systems and tunable light sources were to be provided in 51 and 20 field units respectively but could not be provided. Eight Vehicle chassis identification machine and infrastructure for above machines were to be provided in eight zones but only one machine

⁹ The figure contains the amount of PLA ₹ 6.20 crore.

was procured. One Central temperature modulator system was also not procured and established in FSLs (**Appendix 6.3**). Besides, 11 major equipment were not procured and commissioned due to the failure to finalise the tenders. Funds were kept in PLA as discussed in paragraph 6.3 (**Appendix 6.4**).

- During physical verification of test checked FSL Agra, it was found that Physics and Toxicology sections were facing shortage of basic instruments like fuming hoods, hanging load system, electric furnace etc. In the absence of fuming hoods, fumes were not ventilated out which resulted in labs environment getting polluted. During *visra* digestion phosphine, hydrogen cyanide, nitrogen dioxide, carbon dioxide, hydrogen disulphide and sulphur dioxide etc. gases were flowing in toxicology lab due to absence of fuming hoods. These gases are dangerous and harmful to health of employees working in labs.
- Scrutiny of records of FSL Lucknow disclosed that only one genetic analyser 3,130 (parental determination machine) was available in lab. This analyzer is used for final parental determination at the end of DNA testing. Since there was only one analyser this resulted in pendency of 4,113 samples (as of March 2016) in DNA and serology lab.

The Government in its reply (February 2017) stated that the specification to purchase vehicle chassis identification system has been sent to Government and preparation of preliminary estimate and technical specification for purchase of solar system is in process. A proposal for DNA unit establishment for Agra, Ghaziabad, and Varanasi FSLs has been sent to Government and a proposal for procurement of equipment in Agra FSL will be sent.

However the fact remains that the lack of important equipment in FSLs and field units indicated that modernisation of forensic science labs in the state was seriously lagging behind and was one of the major constraints in the timely completion of criminal investigations.

6.5 Shortage of technical manpower:

Scientific Assistant (SA), Senior Scientific Assistant (SSA), Scientific Officer (SO), Junior Lab Assistant (JLA), Lab Assistant (LA) are the technical staffs deployed in any Forensic Laboratory. 75 *per cent* of the post of SA was to be filled by direct recruitment and 25 *per cent* by promotion whereas 50 *per cent* posts of SO and LA was to be filled by direct recruitment and 50 *per cent* by promotion.

Scrutiny of records of four FSLs (Lucknow, Agra, Varanasi and Ghaziabad) revealed that overall shortage of technical staff increased from 47 *per cent* in 2012-13 to 67 *per cent* in 2015-16 (**Appendix 6.5**) in above four functional FSLs.

The Government in its reply (February 2017) stated that *adhivachan* has been sent by department to UPPSC & UPSSC for Scientific Officer and Lab Assistant. Forensic Directorate replied that vacancies were to be filled by the

Government and accepted that shortage of manpower adversely affected the disposal of the forensic cases.

Insufficient technical staff posted in district field forensic units:

District field units have been established in all 75 districts to collect evidences/samples from the place of crime and send it to concerned forensic lab after preliminary examination. Audit found that the availability of technical staff was only 31 *per cent* against the sanctioned strength in all the 75 districts and 37 *per cent* in 15 test checked districts.

Scrutiny of records of 15 test check district forensic units further revealed that:

- No technical staff had been posted in Deoria, Kushinagar and Sonebhadra districts. In Sitapur, Mathura and Pratapgarh districts, only junior lab assistants had been posted.
- In Sonebhadra, no samples had been collected by district field units from places of crime due to unavailability of technical staff since October 2015 as the Scientist Assistant posted there had died and no replacement had been provided in this place.

6.6 Huge Pendency due to delay in examination of samples:

As per the norms, examination of samples should be completed within seven days and report should be ready for submission to courts within 14 days. Scrutiny of records revealed huge pendency of cases during 2011-15.

Audit noticed that the number of pending cases at Lucknow, Agra and Varanasi FSLs increased from 6,617 in January 2011 to 15,052 in March 2016 (**Appendix 6.6**).

- In FSL Lucknow, pendency of samples increased from 1,342 in January 2011 to 7,671 in December 2015. Out of the above pending samples, 4,113, 1,336 and 1,307 samples were pending (as on Dec 2015) mainly in DNA/serology, biology and ballistic sections respectively. Further, test-check of data of 50 pending cases received for each section (10 cases each year) audit observed that in DNA and Serology section, even the samples received during the calendar year 2011 and 2012 were still lying undisposed. Despite FSL Lucknow being the only lab in the state having the facility to examine DNA samples, no concrete measures were taken by the Government to minimise pending cases. In biology section, samples received since July 2015 were lying undisposed.
- In FSL Agra, pendency in analysis of samples increased from 4,418 in January 2011 to 6,768 (153 *per cent*) in December 2015. Major pendency was noticed mainly in serology, toxicology and ballistic sections.

Government in its reply stated that even though many more new laboratories and many more sections in various FSLs were opened in recent years but in the absence of new recruitment as well as dependency on old technical staff, pendency of samples has increased. Director FSL accepted the facts and stated

that the reasons for huge pendency were due to shortage of required technical and other staff in FSLs, lack of equipment/kit and chemicals in serology and DNA sections in FSL Lucknow not being available.

Thus the fact remains that forensic science lab facilities remained highly inadequate in the state.

6.7 Improper collection of evidences due to shortages of manpower, labs and kits in district field units

Collection of forensic evidences requires expert manpower with specialised knowledge of forensic science. Expert must be supported with skilled trained staff. They should also be equipped with special kits so that the samples are collected properly and after preliminary investigation, handed over to concerned police station for final examination in nearest FSL.

Scrutiny of records of FSL Directorate and district field units revealed that sufficient experts/ skilled manpower (with special kits) were not available in district field units:

- From crime scene, different types of samples depending upon the nature of crime are collected. Audit found that only one sample of each type was being collected instead of two or three samples of each type (wherever possible) These inventory samples were not examined independently at different labs.
- The scientific officers, scientific assistants, senior scientific assistants are called experts in forensic field. In 75 field units, only 18 *per cent* experts were posted (22 against sanction strength of 120). In 15 test checked district, only 32 *per cent* experts were posted (nine against the sanction strength of 28). In Sitapur, Deoria, Kushinagar and Sonebhadra districts, no expert were posted in district field units. Only necessary kits were available in field units test checked but mobile forensic vans with total number of kits were available in only 33 districts¹⁰.
- In physical inspection, it was found that a laboratory was existing in district forensic field units to investigate primarily the samples before sending it to police station and forensic lab for further detail investigation. In Sonebhadra, no laboratory was available for this preliminary investigation of samples before handing over the report to concerned police station. Only one register was maintained for collection of samples from the scene of the crime but no record of samples being handed over to concerned police station was available. In addition to this no forensic data has been digitised at the level of district field forensic units.

¹⁰ Agra, Allahabad, Bareilly, Gorakhpur, Kanpur, Lucknow, Meerut, Varanasi, Faizabad, Jhansi, Hathras, Basti, Gonda, Azamgarh, Mirzapur, Moradabad, Saharanpur, Banda, Gautam Buddha Nagar, Sonebhadra, Lalitpur, Deoria, Chandauli, Mathura, Etawah, Kannauj, Ghazipur, Rampur, Fatehpur, Bahraich, Badaun, Jaunpur and Special Field Unit Lucknow Laboratory.

The Government in its reply (February 2017) stated that in all districts the posting of scientist, crime place inspection and collection of evidence is being done.

Reply is not tenable because sufficient technical staffs have not been posted in district field units. In new/small districts, no scientist has been posted and junior lab assistant were working as an experts. In many districts no mobile van with all kits has been provided. Thus lack of experts in district field units and inadequate infrastructure (mobile forensic vans, kits, preliminary labs etc.) adversely affected the quality of evidence collected.

6.8 Cybercrime zonal laboratory not fully established:

To examine cases related to cybercrime, a separate section was to be established in FSL Agra. Required equipment and other appliances were provided by the Director General, Technical Services, UP Lucknow (as of June 2015) and the lab was running under the Deputy Director, Physics section with trained/temporary staff (as of April 2017). No posts were sanctioned for the above lab. (*Appendix 6.7*)

The Government in its reply (February 2017) stated that cybercrime lab is now functional in FSL Agra, equipment as well as scientists have been deployed for above work.

Reply is not tenable because no post has been sanctioned for above work so far (April 2017) and the above laboratory was not fully established.

6.9 Investigation Support Units not provided:

Crime investigation is an important task of police, and Staff from the rank of Head Constables to Inspectors are entrusted with the task of crime investigation. They do not possess specialized knowledge of forensic science and hence, the investigation suffers due to lack of expertise. To provide expert help in collection of forensic evidences from crime scenes and investigation, *National Police Mission* recommended (July 2013) for providing a Crime Scene Officer with Crime Investigation Kit¹¹ at each Police Stations.



However, no strategic plans were made at state level to implement the recommendation and improve the quality of evidence collected. No kits/tools were available in test checked districts at the level of Police stations and no training has been provided to police field staff in this regard.

¹¹ Consisting 41 items including crime scene preservation tools, clue handling tools, clue analysis tools, spray marking paint, digital distant measuring device, laser light pen, UV light, magnifier, ratchet screw driver, venire gauge etc. to collect samples and to do spot analysis.

The Government in its reply stated that for qualitative improvement of field police staff they had to be trained properly by forensic scientist for collecting and sending samples to forensic laboratory.

Hence Government accepted the audit observations.

6.10 Records not maintained:

In FSL Agra, during physical verification it was found that no consumables stock register, dead stock register and equipment stock register were maintained in sections; therefore it was difficult to know the actual consumption of chemicals and other consumables utilised by the sections of lab. In FSL Moradabad equipment costing ₹ 83.93 lakh were procured but no equipment stock register was maintained. Hence proper utilization of chemicals and various consumables and their pilferages if any, could not be ascertained in audit.

Recommendations:

- *Mobile forensic vans fully equipped with modern facilities should be provided to remaining 42 district field units and 500 circles on priority.*
- *Construction of buildings and other infrastructure of five functioning RFSs should be expedited.*
- *The huge shortages of technical staff and equipment in FSLs should be immediately addressed to control the increasing pendency of samples in these labs and expedite criminal investigation.*

Chapter 7

Modernisation and Augmentation of Training Establishment

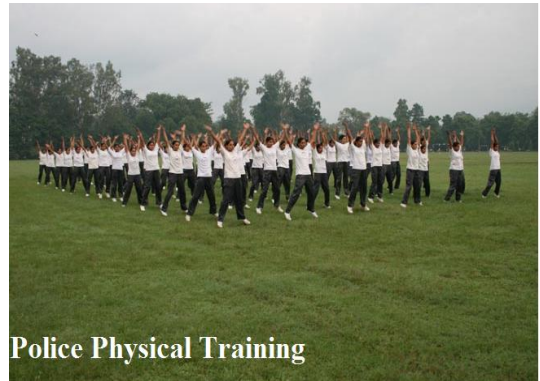
Chapter 7

Modernisation and Augmentation of Training Establishment

7.1 Introduction

Training is essential to impart knowledge and develop professional skill required for the performance of duty by the police personnel and to keep pace with fast growing challenges. The Director General of Police, Uttar Pradesh Police Training (DGPT) is the head of the training directorate in the state and is responsible for preparing annual training plan for providing basic indoor and outdoor trainings for all level of police personnel, management of human resource and supervision & inspection of training institutions/centers. Police training is imparted at nine training institutes¹² and 33 Recruit Training Centres (RTCs) in the State.

Dr. Bhim Rao Ambedkar Police (BRAP) Academy, Moradabad is responsible for basic training of Indian Police Service (Probationers), Deputy Superintendents of Police, Assistant Prosecution Officers etc. Two Police Training Colleges (PTCs) and four Police Training Schools (PTSs) provide training to inspectors and constables (Civil Police) respectively. Two Armed Police Training Colleges (APTCs) and 33 RTCs provide training to inspectors (armed police) and constables respectively. Audit noticed several deficiencies in training of police personnel in the state which are discussed below:



7.2 Equipment not procured

Allotment of fund and expenditure for strengthening of training establishment during 2011-16 is given in table below.

Table 7.1: Allotment and Expenditure during 2011-12 to 2015-16

(₹ in crore)			
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)

(Source: Training Directorate and PHQ)

¹²Dr. Bhim Rao Ambedkar Police Academy, Police Training College and Police Training School, Moradabad; Police Training College and Armed Police Training College, Sitapur; Armed Police Training College, Mirzapur; Police Training School, Gorakhpur, Police Training School, Meerut; and Police Training School, Unnao.

It is evident from the above table that against the allotment of ₹ 32.09 crore, ₹ 6.44 crore (20 per cent) only was utilized and ₹ 25.65 crore (80 per cent) was surrendered during the year 2011-12 to 2015-16 due to delay in processing and finalisation of procurements. Audit observed that equipment such as, Interactive Fire Arms Simulator/Advanced Weapon Simulator, Cyber Crime Lab (equipment and software), Solar Water Heating Systems etc. could not be procured as planned.

Thus, due to delay in processing and finalization of procurements, intended objective of modernisation of training institutions could not be achieved.

Audit also observed that an amount of ₹ 10.87 crore¹³ was kept in PLA of Uttar Pradesh Police Awas Nigam as per order of the Government (March, 2016) with the condition that it should be utilized by June, 2016. Audit noticed that this amount deposited in PLA was not utilized as of July, 2016. Further, keeping the unspent funds in PLA beyond the close of the financial year was irregular and not permitted under the Financial Rules.

In reply, the Government stated (February 2017) that procurement of Cyber Crime Equipment/software in 2013-14 for training laboratory was assigned to Additional Director/Director Police Dr. Bhim Rao Ambedkar Police Academy, Moradabad. Delay in procurement was due to price escalation in equipment of ₹ 256.17 lakh and import of most of the equipment/software with a sanctioned cost of ₹ 697.53 lakh. At present procurement of above mentioned equipment have been made by ADG Police Technical Services Directorate and the bill for payment has been sent to PHQ (December, 2016). Thus, the time consumed in procurement of Cyber Crime Training Lab considering that tendering and rate contract process involved, was not unnatural.

Reply is not acceptable as the procurement could have been completed earlier if the process of procurement was assigned to ADG Police Technical Services Directorate. Delay in procurement of equipment deprived the benefits of imparting training on cybercrime related matters to the trainees.

7.3 Inadequate Capacity of Training Centres

Failure to provide basic infrastructure and facilities in the training institutions/centres affected the quality of training and also put the trainees to lot of inconvenience during their stay at the training institutes/centres.

As per information provided by the Training Directorate, eight per cent of available police force has to be kept as reserve for training in a year. Accordingly, the state should have a training capacity for 28,320 to 29,598 trainees during 2011-16 based on sanctioned strength. Scrutiny of records of

¹³ Cyber Forensic Lab Equipment: ₹ 9.54 crore, Solar Water Heating System: ₹ 1.33 crore.

Training Directorate revealed (July 2016) that total capacity for 10,440¹⁴ trainees only was available, which indicated that there was a deficiency of 63 to 65 *per cent* in the training capacity (efforts) of the Department.

Further, to provide quality training, Government sanctioned (March 2012) the establishment of three Police Training Schools (PTS) at Bareilly, Jalaun and Sultanpur with total training capacity of 2400 trainees (800 trainees in each PTS). However, in view of problem regarding availability of land it was decided (May 2013) that PTS sanctioned (₹ 33.00 crore) at Bareilly should be established at Kansiram Nagar.

Scrutiny of records of PHQ revealed that work of PTS at Kansiram Nagar did not start due to problem of land again and other two at Sultanpur and Jalaun (at a cost of ₹ 63.15 crore) were still incomplete (March 2017) due to change in layout plan and design / drawing of the buildings, change in construction agency and slow progress of construction work by the construction agencies. Thus, the Department failed to increase the training capacity and not even a single PTS could become functional even after a lapse of four years. Inadequate training capacity and shortage of indoor training instructor adversely affected training of police personnel in the state as discussed in paragraph 7.4 and 10.2.

In reply, the Government stated (February 2017) that though there was deficient training capacity in the State but training was being imparted by engaging external and internal instructors. In respect of slow progress of construction work of PTS at Kansiram Nagar, Jalaun and Sultanpur the Government stated that the estimate for the construction of PTS, Kansiram Nagar, amounting to ₹ 251.67 crore, was under consideration at Government level and for completion of construction work of PTS, Sultanpur and Jalaun concerned construction agency has been directed to complete the construction work within stipulate date. However, training capacity at the moment remains inadequate in the State.

7.4 Shortage of Training Instructors

The Prosecution Officer and Psychologists are responsible for giving Indoor Training to the newly inducted cadets such as Deputy Superintendents of Police, Assistant Prosecution Officers, Sub-Inspectors, Constables etc. Similarly, Physical and Infantry Training Instructors (PTIs/ITIs) are responsible for giving Outdoor training to the newly inducted cadets mentioned above.

Sanctioned Strength (SS), Person in Position (PIP) and shortages of the indoor and outdoor Training Instructors in Training Institutions/Centers during 2011-16 are as given in table below:

¹⁴ Nine training institutes; 4,090 (Dr. Bhim Rao Ambedkar Police Academy, Moradabad: 340; Police Training College, Moradabad:600; and Police Training College, Sitapur: 600; Armed Police Training College, Mirzapur:600; and; Armed Police Training College, Sitapur: 350; Police Training School, Gorakhpur: 600; Police Training School, Meerut: 300; Police Training School, Moradabad:400;and Police Training School, Unnao: 300) and 33 Recruit Training Centers: 6,350.

Table 7.2: Sanctioned strength and Person in Position of indoor and outdoor instructors

Year	Indoor Training Instructors			Outdoor Training Instructors		
	Prosecution Officer/ Psychology			Physical/Infantry Training Instructors (PTIs/ITIs)		
	Sanctioned strength	Person in Position	Excess (+) Shortfalls (-) (per cent)	Sanctioned strength	Person in Position	Excess (+) Shortfalls(-) (per cent)
2011-12	50	32	(-) 18(36)	514	612	98 (19)
2012-13	50	32	(-) 18(36)	514	612	98 (19)
2013-14	50	32	(-) 18(36)	514	612	98 (19)
2014-15	56	18	(-) 38(68)	518	470	(-) 48 (10)
2015-16	55	18	(-) 37(67)	235	208	(-) 27 (11)

(Source: Budget document Volume-6)

Above table indicates that shortages in the post of Indoor Training Instructors ranged between 36 to 68 *per cent*. The shortage of Psychologists was 100 *per cent*. In respect of Outdoor Training Instructors, the persons in position against the posts of PTIs/ITIs were excess by 19 *per cent* during 2011-14. Audit observed that 16 to 34 number of PTIs/ITIs were posted without sanction in PTS, Meerut.

Scrutiny of records of five test checked training institutes revealed that shortages of PTIs/ITIs in these institutions ranged between 14 to 34 *per cent* during 2011-14 (*Appendix 7.1*).

In reply, the Government accepted (February 2017) the audit observation and stated that outdoor training programme is being imparted by engaging temporary Outdoor Training Instructors. In respect of Indoor Training Instructors no reply was furnished by the Government to the audit observation.

7.5 Indoor Training

As per syllabus of Indoor basic training courses, there should be a class room, information technology, computer, forensic science labs, cybercrime lab, hostel and library in the training institutes/ centre for imparting indoor training courses. Scrutiny of records of five test checked training Institutes¹⁵ disclosed that there was no Forensic Science Lab available in PTC, Sitapur and Cyber Crime Lab was not provided in PTCs, Moradabad and Sitapur.



In reply, the Government stated (February 2017) that necessary action for purchase of equipment of Forensic Science Lab had been completed and site preparation for installation of these equipment of Forensic Science Lab was under progress. In respect of Cyber Crime Lab, the Government stated (February 2017) that necessary action for purchase of equipment of

¹⁵Dr. Bhim Rao Ambedkar Police Academy, Moradabad; Police Training College, Moradabad; Police Training School, Moradabad; Armed Police Training College, Sitapur and Police Training College, Sitapur.

Cybercrime Lab was being done by Additional Director General of Police, Technical Services. However, the fact remains that facility of Forensic Science Lab and Cyber Crime Lab in these PTCs were not available, which resulted in police personnel were deprived of being trained for Forensic Science and Cyber Crime investigation techniques.

7.6 Outdoor Training

As per syllabus of Outdoor basic training courses, model police station, firing range, horse riding saddle, swimming pool, motor driving track, weighing and measuring etc., should be available in training institutes/centres. Scrutiny of records of five test checked training Institutes¹⁶, however, disclosed that:



- Model Police Station was not available in PTS, Moradabad; and
- *Weighing and measuring facilities were not available in PTS, Moradabad;*

In reply, the Government stated (February 2017) that direction for establishment of Model Police Station in the training Institutions / Centres had already been issued to head of the Training Institutions / Centres. Reply was not correct as during the joint physical verification, it was found that Model Police Station was not established in PTS, Moradabad.

7.7 Overburdened training centres

Training Institutions /Centres were overburdened during the year 2011 and 2015 to the extent of 187 and 153 *per cent* respectively but were underutilized in rest of the years. Scrutiny of records of five test checked training institutions (out of 42 training institutions/centres) also confirmed that the training institutions/centres were overburdened (**Appendix 7.2**) as 2464 to 7,197 trainees were trained in these test checked training Institutions/Centres which were 104 to 214 *per cent* of their capacities except in 2013. This implied that recruitment and training was not properly planned and phased out.

In reply, the Government stated (February 2017) that more personnel than capacity were trained in the training institute as the Government had done new recruitment and promotion of the police personnel. Reply of the Government proved that Training Institutions /Centres were overburdened during the year 2011 and 2015 to the extent of 187 and 153 *per cent*.

¹⁶ Dr. Bhim Rao Ambedkar Police Academy, Moradabad; Police Training College, Moradabad; Police Training School, Moradabad; Armed Police Training College, Sitapur and Police Training College, Sitapur.

7.8 Inadequate Residential Facilities for Trainees

As per provisions envisaged in the syllabus of training of Police personal/Officers, all trainees should be accommodated in the residential accommodation earmarked by the training institute and no trainees should live in other places during training period. Audit, however, noticed that there was acute shortage of accommodation for trainees in training institutions.

Year-wise details of trainees and available residential capacity during 2011-16 in 42 institutes/centres were as given in table below:

Table 7.3: Required and available residential facilities

Year	Required residential facility (8 per cent of available police force)	No. of available residential facility	Shortfalls (per cent to requirement)
2011-12	28,320	21,150	7,170 (25)
2012-13	28,320	21,150	7,170 (25)
2013-14	28,320	21,150	7,170 (25)
2014-15	28,320	21,150	7,170 (25)
2015-16	29,598	21,150	8,448 (29)

(Source: Budget volume-6 and Training Directorate)

It is evident from the table above that shortfall in residential facility for trainees ranged between 25 and 29 per cent during 2011-16.

Joint physical verification at PTC and APTC Sitapur also disclosed inadequacy of residential accommodation for trainees. In PTC, Sitapur, 26 trainees were residing in a dormitory which was set up for 16 trainees. In APTC, Sitapur, no wardrobe facility in the barracks was available, thus, personal belongings of the trainees were lying in the open space.



In reply, the Government stated (February 2017) that in PTC, Sitapur construction work of two hostels (one for male and one for female) for the capacity of 120 trainees each were in advance stage. After completion of construction work of these hostels, accommodation problem would be solved. In respect of unavailability of wardrobe facility in the barracks in APTC, Sitapur, the Government stated (February 2017) that there was no wardrobe facility in old barracks.

7.9 Fire Arms Simulator (FAS)

Use of Fire Arms Simulators is a modern, efficient and cost effective way of providing training to police force. Fire Arms Simulator training allows many more practice trails than would occur ordinarily and such training can be

individually tailored to meet specific instructional requirement. It also ensures minimum use of cartridges and, therefore, results in cost reduction and time efficiencies. Fire Arms Simulator training is an effective means of teaching individual, a broad range of weapons and cognitive skills.

Audit examination of information furnished (August 2016) by the Training Directorate revealed that there were ten Fire Arms Simulators installed in eight training Institutions/ Centres¹⁷ during May 2005 to February 2013. Six out of ten Fire Arms Simulators were not functioning since 2012¹⁸ to February 2016 due to technical problems and absence of Annual Maintenance Contracts (AMCs). The Training Directorate intimated that necessary steps were being taken for making the FASs functional. Further, FAS installed in PTC, Moradabad was stated to be functional, however, scrutiny of records of PTC, Moradabad by audit revealed that FAS was not functioning due to technical failure since April 2015. Apart from it, FASs were not available in one Training Institute¹⁹ and 33 Recruit Training Centres. Thus, training on advance fire arms simulator was not imparted to the police personnel in majority of the training institutes/centres as the FASs were either not functional or not available with the training institutes/centres. This could adversely impact the quality of fire arms training of police personnel.

In reply, the Government stated (February 2017) that seven²⁰ out of ten FAS, installed during May 2005 to February 2013, were functional but no documentary evidences were provided by the Government in support of functional status of these FASs. However, during physical verification of FAS in PTC, Moradabad, it was found that FAS was not functional. Further, the Government stated (February 2017) that necessary actions were being taken for making the remaining three²¹ FASs functional. In respect of unavailability of FASs in one Training Institute and 33 Recruit Training Centres, no reply was furnished by the Government.

7.10 Cyber Crime Training Laboratory not established

Dr. Bhim Rao Ambedkar Police Academy, Muradabad (Academy) submitted a proposal at a cost of ₹ 16.68 crore under MPF Scheme 2013-14 for establishment of Cyber Crime Training Laboratory (Cyber Lab.) in the Academy for providing training to combat offences related to Cyber Crimes. Against the proposals of the Academy, Government of Uttar Pradesh (GoUP) sanctioned ₹ 9.54 crore (September 2014: ₹ 2.56 crore; January 2015: ₹ 6.98 crore). Audit observed (May 2016) that Cyber Crime Training Laboratory was

¹⁷ Dr. Bhim Rao Ambedkar Police Academy (01) and Police Training College(01), Moradabad; Police Training College(01) and Armed Police Training College(01), Sitapur; Police Training School(01), Gorakhpur; Police Training School(01), Meerut; Police Training School (02), Unnao; and Armed Police Training School (02), Mirzapur.

¹⁸ Dr. Bhim Rao Ambedkar Police Academy, Moradabad: 01 no. (from 02 February, 2016); Police Training College, Moradabad:01 no. (from 01 April 2015); Police Training College, Sitapur:01 no. (from 06 August 2015); Armed Police Training College, Sitapur:01 no. (from 16March 2015); Police Training School, Meerut: 01 no. (from 27 August 2016) ; and Armed Police Training School, Mirzapur 01 out of 02 nos. (from 2012).

¹⁹ Police Training School, Moradabad

²⁰ Dr. Bhim Rao Ambedkar Police Academy, Moradabad: 01; Police Training College, Moradabad:01; Armed Police Training School, Mirzapur: 02; Police Training School, Gorakhpur:01; and Police Training School, Unnao:02.

²¹ Police Training College, Sitapur::01; Armed Police Training College, Sitapur:01; and Police Training School, Meerut:01.

not established in the Academy as of May 2016. Audit of records of ADG, Technical Services, UP Lucknow (June 2016) disclosed that procurement of equipment and software for the establishment of Cyber Crime Training Laboratory was still in progress as of June 2016. This resulted in 848 Sub Inspectors of Civil Police being deprived of Cyber Crime training during the Training Session 2015 and 2016 (524 and 324 respectively).

In reply, the Government stated (February 2017) that procedure for purchase of 15 hardware and software equipment had been completed (February 2017) for establishment of Cyber Crime Training Laboratory in different training institutions. Preparation of sites for their installation in training institutions was in progress (February 2017). ADG, Police Academy, Moradabad also confirmed (April 2017) that Cyber Crime lab is not functioning.

Recommendations

- *Procurement of equipment for modernization of training institutions should be monitored closely to ensure that there are no delays in procurement and the training institutions are equipped adequately with state-of-the-art systems to impart quality training to state police personnel.*
- *The Training Directorate should monitor and expedite the pace of construction of two PTS buildings, and bridge the gap in police training capacity available and required in the state.*
- *The Training Directorate should initiate action to fill up vacancies of indoor training instructors. Further, the available PIP of outdoor training instructors should be deployed rationally.*
- *Given the fact that Cybercrimes and their investigation is a new and complex area and require specialized skills, the Training Directorate should ensure that the cyber lab is established at the earliest and police personnel are imparted training in cybercrime investigation without delay.*

Chapter 8

Special Police Forces' modernisation

Chapter 8

Special Police Forces' modernisation

Government has established several special police forces/units under Uttar Pradesh Police Force for special purposes and needs. These special police forces/units include Anti-Corruption Organisation (ACO), Criminal Investigation Department (CID), Economic Offences Wing (EOW), Anti-Terrorists Squad (ATS), Provincial Armed Constabulary (PAC), Special Task Force (STF), etc. In this performance audit, three special police forces viz. ATS, PAC and STF were selected for detailed examination of their modernisation status. Our findings are as given below.

8.1 Anti-Terrorist Squad

Anti-Terrorist Squad (ATS) was established (November 2007) to combat and effectively control the increasing terrorist activities in the State. Objectives of the ATS are to identify the sensitive places where terrorists and anti-national elements might hide/reside; develop contacts for getting intelligence information about them; take action on intelligence information of any terrorist group's appearance/activities in the state, conduct follow-up operations; and to coordinate with Central and other States' intelligence units.



ATS can seek information from any department and units in the State and its area of operations covers the whole State. Cases registered in any police station by ATS are investigated by ATS till ADG (law and order/ crime) decides that the case is of general nature and can be investigated by the concerned police station.

ATS can seek information from any department and units in the State and its area of operations covers the whole State. Cases registered in any police station by ATS are investigated by ATS till ADG (law and order/ crime) decides that the case is of general nature and can be investigated by the concerned police station.

In addition to sanctioned manpower strength of 264, one company of commandos was to be provided to support ATS in achieving their assigned role and duties.

8.1.1 Establishment of Commando Training School and Commando Hubs

After various terrorist attacks in the country such as Mumbai Bomb Blast, Mecca Masjid Blast in Hyderabad, and 26/11 attack in Mumbai (2008), Uttar Pradesh Police decided (June 2009) to establish a Commando unit of 2000 commandos and 'Hubs' on the line of National Security Guards (NSG). GoUP nominated (July 2009) UPRNN as construction agency for construction of buildings of ATS commando training centre at Lucknow. ATS was nominated (October 2009) as a nodal agency for commando training of commandos of ATS, STF and Security Unit, and was directed to submit a detailed proposal in this regard.

Accordingly, ATS submitted (November 2009) a detailed proposal to PHQ for sanction of ₹ 420.89 crore including ₹ 278.09 crore for buildings and infrastructure development for:

- Establishment of commando unit of a capacity of 2000, one third of the commandos were to be under training regularly for updating their skills/techniques and fitness;
- Establishment of four ‘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; and
- Establishment of Centralised Commando Training School (CTS) at Lucknow and Counter Insurgency and Anti-terrorism School (Special Training Centre) at Mirzapur for Naxal/Jungle warfare training.



Against the above proposal, demand of ₹ 278.09 crore was made (December 2009) by the PHQ for the construction of buildings for 2,000 commandos. Later on UP Police decided (January 2010) to construct housing and other category infrastructure for only 200 commandos in first stage.

Establishment of CTS

The State Government sanctioned (June 2011) establishment of Commando Training School (CTS) at Lucknow at a cost of ₹ 139.21 crore and decided to execute the work in two phases. In phase-I, works (construction of training block, administrative building, corner watch tower, sand model room, commando hostel of 200 capacity, four hostels of capacity of 20 each, hospital building, etc.) amounting to ₹ 70.00 crore were to be executed by UPRNN. After completion of Phase-I, work of Phase-II was to be taken up. The works of Phase-I were to be completed by September 2013.



To establish CTS as per detailed estimate/drawing and design, 44.074 hectare land was required, out of which, only 16.466 hectare land was actually available. As the required land was not available Department decided to complete the works of Phase-I on the available land i.e., 16.466 hectare. However, the available land was also not sufficient for construction works of Phase 1.

Audit further noticed that due to the required amount of land not being available for execution of Phase-I works, the construction of 12 corner watch towers were not taken up for execution and as high tension electricity line were also not shifted, construction of residential building (five Type-IV and one Type-V) was not possible. Construction of Hospital building was started but not completed and was rescheduled to be complete in Phase-II. GoUP sanctioned (September 2015) revised cost of ₹ 98.99 crore for completion of works of Phase-I. The funds were released to UPRNN (March 2016). Audit noticed that an expenditure of ₹ 82.49 crore has been incurred against the original sanctioned cost of ₹ 70.00 crore but the physical progress was only 88 *per cent* (March 2016), even after three years of schedule date of completion (September 2013). This Phase-1 of the CTS is still under execution (September 2016) with a cost overrun of ₹ 12.49 crore.

Furthermore, the works of Phase-II i.e., simulation halls, indoor sports hall, sewer treatment plant, dog kennels, transit hostel, residential buildings, CCTV system, access control system etc., which are essential for the CTS to attain full functionality have also not been taken up for execution as the land required for construction of these works has still to be acquired.

In reply, the Government stated that construction of works under Phase-I have been completed by the executing agency on the available land of 16.466 hectare. Acquisition of required land of 27.576 hectare for Phase-II works is in process. However, the fact remains that the establishment of CTS has been considerably delayed as the land was not available.

Establishment of Commando Hubs and Counter Insurgency and Anti-terrorism School

Establishment of four Commando Hubs at Agra, Lucknow, Meerut and Varanasi where commandos were to be deployed after completion of their trainings for commando operation, as and when required; and establishment of Counter Insurgency and Anti-terrorism School (CIAT) at Mirzapur for Naxal/Jungle warfare training have still not been taken-up and even land acquisition process has not been started for required land for Hubs (25-25 hectare) and 75 hectare for CIAT.

Hence, establishment of Commando Training School at Lucknow, Counter Insurgency and Anti-terrorism School at Mirzapur and four commando hubs at Agra, Lucknow, Meerut and Varanasi could not be completed even after five years due to Government's failure to acquire land and ensure timely construction by the construction agency. Delay in execution/construction of work would led to considerable cost overruns. Such lackadaisical attitude of

the State Government in the matters of building capacities and ensuring preparedness for taking effective anti-terrorist measures and counter insurgency operations may seriously risk the safety and security of the people of the State in situations of terrorist/naxal attacks.

In reply, the Government stated (February 2017) that the proposal for sanction of posts, construction of buildings, procurement of vehicles, procurement of arms & ammunitions etc., is pending with GoUP.

8.1.2 Temporary Commando Training School:

Until the CTS was established and became functional, it was decided (January 2010) that a temporary commando training school be started at New Police Line, Kalli, Lucknow in a Barrack, one block of 12 Type-I residences and one block of 5 Type-II residences. Commando training comprises:

- Pre Induction Course (four week);
- Army Attachment (four week);
- Basic Induction Course (14 week); and
- Advance Course (eight week)

Audit, however, noticed that not a single personnel got full commando training required for becoming a commando. Training in only Pre Induction Course was provided to 228 personnel during 2009-12 whereas no training was 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.

In reply, the Government stated that the required training for commandos have been provided to 228 personnel. Reply is not acceptable as the government did not provide the documentary evidence in supports of its reply.

8.1.3 Establishment of commando unit

At the time of establishment of ATS, it was decided (November 2009) that one company of PAC was to be provided to ATS to support it in performing its assigned duties. At the time when the above decision (November 2009) was taken, four companies of PAC were working as commando companies comprising 508²² personnel on an *ad-hoc* and interim basis.

Audit, however, observed during audit that proposed commando strength of 2000 was still not sanctioned by the GoUP and only 79 PAC personnel were working with ATS (September 2016) in temporary CTS. Further, only 43 personnel (42 personnel²³ trained in 2009-10 and one constable trained in 2011-12) were working with ATS but no commando who had been trained in temporary CTS was working in either the STF or Security branch.

²² Company Commander:1, Platoon Commander:10, Head Constable:88 and Constable:409.

²³ Head Constable:14, Constble:28.

In reply, the Government stated that 103 commandos are posted with ATS. The Government reply itself confirm the audit observation made in this respect.

8.1.4 Manpower

GoUP had sanctioned manpower strength of 264 for ATS when it was established in November 2007. Subsequently, ATS in November 2009, demanded enhancement of its sanctioned strength from 264 to 892 (*Appendix 8.1*) to provide for ATS, CTS and CIAT.



Audit, however, observed that the proposal for increase in manpower was still pending with the Government as of September 2016. Further, in ATS, there were only 217 officials posted against the sanctioned strength of 264. Vacancies were mainly in the cadre of Dy. SP (67 per cent), SI (47 per cent), Constable (20 per cent) and Stenographer (93 per cent) whereas no manpower has been deployed in field unit comprising Junior Scientific Officer, Head Constable (Proficient) and Explosive Expert (*Appendix 8.2*). Such deficiencies in sanctioned manpower of ATS and failure of Government to take a decision on the proposal to strengthen ATS for seven years could have negative security implications.

In reply, the Government confirmed the facts as provided in the audit observation.

8.1.5 Availability of Arms and Requirement of ammunition:

Arm and ammunition are the most crucial requirement for operational activities of a special force like ATS. Audit, however, noticed that ATS did not get ammunitions as per their requirements of ATS. Arms like 9mm MP5, 12 Bore PAG, Hand Grenade, Stun Grenade and UBGL were provided first time to ATS during 2013-15 but ammunition for these weapons were not provided except hand grenade which was also not as per requirement. Further, ammunition for .303 CTN LMG was provided in 2010-11 without availability of the weapon, which resulted in ammunition lying in stock even up to March 2016 (*Appendix 8.3*).

Thus, due to (i) CTS not having been established at Lucknow; (ii) CIAT not taking off at Mirzapur; and (iii) absence of four 'Hubs', the objective to establish a commando unit in the State on the line of National Security Guard (NSG) to combat terrorism is yet to be achieved. Further, not sanctioning manpower, not providing ammunition for weapons etc., indicate that establishment of commando unit on the line of NSG to combat terrorism in the State was not given due priority and seriousness by the Government, which may have negative security implications. Hence, modernisation and strengthening of ATS was not achieved as envisaged and the State remained vulnerable to terrorist activity.

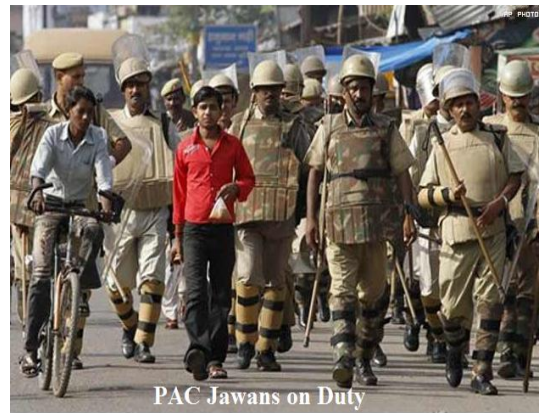
In reply, the Government stated that there are no shortage of arms and ammunition in commando training school. Reply is contradictory to the fact that no commando training has been organised during the last three years.

8.2 Provincial Armed Constabulary

Provincial Armed Constabulary (PAC) was created by UPPAC Act 1948 by amalgamation of military police and special armed constabulary which was meant to deal with extreme cases of violence, communal riots etc. After 1948, PAC was used as parallel force on the pattern of quasi-military force in maintaining law and order. PAC is divided into three zones, seven sections and 33 battalions with 273 companies but only 200 companies are functional at present.

8.2.1 Manpower

Availability of manpower 2015-16 in group A officers, Group B Gazetted officers and Group B Non-Gazetted personnel was 42, 57 and 30,216 against the sanctioned strength of 47, 147 and 36,898 respectively. As such, there were shortages of 61 per cent in group B Gazetted officers and 18 per cent in group B non-Gazetted personnel in 2015-16. Availability of manpower decreased from 32,406 in 2011-12 to 30,315 in 2015-16. There was an overall shortage of 18 per cent in PAC. Group 'B' had maximum shortage of 61 per cent and the shortage in Sub-Inspectors level was 72 per cent (*Appendix 8.4*).



No reply to the audit observation was furnished by the Government.

8.2.2 Deployment of Manpower

Against the sanctioned strength of 273 companies only 200 companies are functional as on date. Audit noticed that in respect of the remaining 73 companies, 19 companies have not been raised at all and 54 companies though raised have not been functional. It was found that despite large vacancies in the PAC, 246 excess personnel were deployed at Security Head Quarter (782 PAC men were deployed here against sanction of 591). Further, PAC personnel deployed in CBCID, Training institutes, ATS and STS were 143, 797, 86 and 8 against sanctioned strength of nil, 594, nil & nil respectively. 68 PAC personnel (Constable & Head Constable) were deployed for general security as security guards for securing buildings at Lucknow under UP Special Zone Security Vahini since March 2010 without sanction for continuing these posts. PAC Head Quarter had been demanding return of these personnel in view of shortage of manpower.

Acute shortage of PAC manpower against sanctioned strength and deployment of PAC manpower for tasks other than those prescribed for striking force could not only affect the efficiency and morale of the forces but also increase dependence on central para-military forces.

No reply to the audit observation was furnished by the Government.

8.2.3 Shortage of vehicles

Mobility is vital for efficient and effective performance of police force and deficiency in mobility should be minimal so that the forces reach the crime spot in the shortest possible time. Scrutiny of records revealed that there were shortages of 145 vehicles (12 per cent) in different categories of vehicles (*Appendix 8.5*). Out of shortfall of 145 vehicles, maximum shortage was in the category of Tata Truck (which was 130). Further, out of available 819 trucks and 276 buses, 322 trucks (39 per cent) and 186 buses (67 per cent) had completed their prescribed life of 15 years but as vehicles were not purchased, PAC was still using these obsolete old vehicles beyond their scheduled life period. Hence, a major part of the fleet of PAC was obsolete and needed replacement/modernisation.



Government in its reply stated (February 2017) that after receipt of 33 vehicles from police headquarter, Allahabad shortage in vehicles was only 112.

8.2.4 Funds for procurement of equipment

During 2011-16, an amount of ₹ 43.71 crore was allotted to PAC under MPF Scheme, out of which only ₹ 31.55 crore were utilised. As a result, many sanctioned items could not be procured. Details of allotment, utilisation and surrender were as follows:

Table 8.1: Allotment and Expenditure

(₹ in crore)

Year	Demand	Allotment	Expenditure	Surrender
2011-12	NA ²⁴	20.95	8.95	12.00
2012-13	59.80	13.47	13.45	0.02
2013-14	49.30	3.16	3.15	0.01
2014-15	127.34	5.39	5.29	0.10
2015-16	64.50	0.74	0.72	0.02
Total	300.94	43.71	31.56	12.15

(Source: PAC Headquarter)

²⁴ Demand for the year 2011-12 was not provided.

The above table shows that 57 per cent (₹ 12.00 crore) of allotted funds were not utilised and substantial surrender was noticed in 2011-12.

Important equipment viz., body protector with shin elbow guard, polycarbonate shield, polycarbonate *lathi*, bullet proof jacket, bullet proof helmet, 06 lane simulator etc., necessary for the force to maintain law and order were not purchased in 2015-16 although the demand of ₹ 64.50 crore was sent to PHQ for purchase of these equipment. At the end of 2015-16, availability of these important equipment was very low against the need as given in the table below.

Table 8.2: Shortfall in PAC equipment

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)

(Source: PAC Headquarter)

Non-availability of important protective items such as bullet proof jackets, bullet proof helmet, body protector and other equipment would not only reduce the efficiency of the PAC *jawans* in a riot or other violence situation but could also put their life at a risk.

No reply to the audit observation was furnished by the Government.

8.2.5 Shortage of Arms

Information regarding availability of arms provided by the PAC Headquarter revealed that there were significant shortages in the main category of Arms. Shortage in 5.56 INSAS LMG, Anti-Riot Gun, Tear Gas Gun, 51 mm mortar and AK 47 Rifle ranged between 33 to 68 per cent (**Appendix 8.6**).

No reply to the audit observation was furnished by the Government.

8.3 Special Task Force

Special Task Force (STF) was constituted²⁵ (May, 1998) with a view to control organized criminals and *Mafias* in coordination with district police. To achieve the assigned objective, STF has the power to collect information regarding crime from any branch of the police and also has the same powers of search, seizure, arrest, custody and other activities as the police officers possesses under the Criminal Procedure Code and other laws.

²⁵ Vide Government Order no.1889/chh:-pu-2—98-1100(35)/98 dated 4.05.1998.



Special Task Force

8.3.1 Shortage of manpower

Scrutiny of records revealed that more than 50 *per cent* of the sanctioned posts were vacant in STF. Total number of sanctioned posts were 472 against which only 234 officers/officials were posted as of March 2016 (*Appendix 8.7*). Such shortage of man power in STF would limit the STF's capability to check and control the organized criminals and mafia activities in the state.

On this being pointed out, Government replied (February, 2017) that consolidated proposal to enhance the sanctioned post has been sent vide letter no. STF-P-34/2016 dated 30.05.2016. So the reply by the Government itself is acceptance of the audit observation.

Further, to take action against *mafias* and organized criminals as envisaged in the Government Order 1998, posts of Superintendent of Police, Additional Superintendent of Police, Deputy Superintendent of Police, Inspector, sub-Inspector, Head Constable and Constables were created. STF have the availability of only 165 persons (53 *per cent*) against the sanctioned strength of 313 for operational action against Mafias and organized criminals. Scrutiny of the records of STF headquarter revealed that availability of arms against the person in position was more than 260 *per cent* and availability of even single item of pistol/ revolver was more than 170 *per cent*.

Thus, due to acute shortage in functional staff for operation against Mafias and organized criminals arms were lying idle and the objective of the special force was being compromised.

On being pointed out, Govt. replied (February, 2017) that a committee has been constituted to consider the utility/quality of available Arms and small weapons and also regarding the procurement of ultra-modern small weapons. Reply of the Govt. itself is an acceptance of audit observation.

8.3.2 Action against *Mafia* and organized criminals:

Government order²⁶ of 1998 provided that Director General of Police would prepare detailed guidelines to operationalize the general directions given in the

²⁶ No.1889/chh:-pu-2-98-1100(35)/98 dated 04.05.1998.

Government Order for functioning of the Special Task Force to take action against mafias and organized crime/criminals.

Audit, however, observed that no guidelines in this regard have been prepared and operationalized by DGP for effective implementation of the Government order (May 1998) to take action against mafias and organized crime/criminals. On being pointed out, STF Headquarter stated that STF was operating as per GO (May 1998) and no detailed guidelines had been prepared by Director General of Police. Hence, even after 18 years of establishment of STF, the detailed guidelines for operationalization of Government Order remain to be prepared and implemented.

On being pointed out, Government did not give any reply (February, 2017) to the audit observation.

8.3.3 Deficiencies in weapon management:

Scrutiny of records of STF Headquarter revealed that Sub-Machine Gun: 20 in May 2013 and Glock Pistol: 16 in Jun 2014 were provided by PHQ to STF without service cartridges. Senior Superintendent of STF raised demand for 2480 service cartridges in August, 2014 and December 2015, but PHQ could not provide the service cartridges as of January, 2016 because these were not available in central reserve at Sitapur. Failure to provide service cartridges for new weapons even after two years indicate serious flaws in the system of procurement and supply of ammunitions to special police forces.

Recommendation:

- *The commando training centre (CTS) at Lucknow, Counter Insurgency and Anti-terrorism School (CIAT) at Mirzapur and 'Hubs' should be completed as planned at the earliest by expediting land acquisition and speeding up the progress of construction.*
- *Required manpower, advance weapons and ammunition to ATS should be provided without delay.*
- *Obsolete vehicles of PAC must be replaced.*
- *Procurement of equipment should be expedited by streamlining the procurement process and allocating adequate funds to provide necessary protective items and other arms and ammunitions to PAC to modernise and equip the force adequately to handle riots and other violent situations effectively.*
- *Detailed Guidelines should be prepared to operationalize the Government Order issued in 1998 at the inception of the Special Task force, so as to render it effective.*
- *Deficiencies of man power and arms and ammunitions of STF should be met on priority to modernise and strengthen the force for ensuring effective check and control on organized criminal and mafia activities in the state.*

Chapter 9

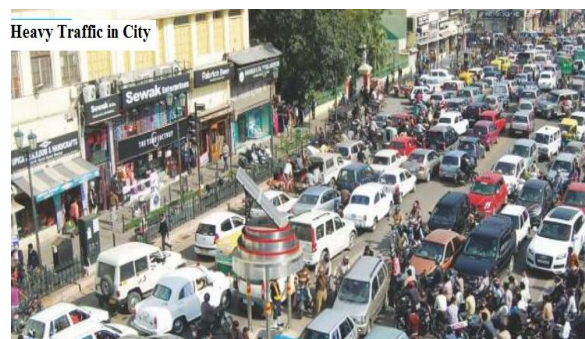
Traffic Police Modernisation

Chapter 9

Traffic Police Modernisation

9.1 Introduction

The Traffic Directorate is entrusted with the task of guiding and monitoring all the activities related to enforcement of road safety, training and organizing programmes to inculcate better traffic sense amongst the people and to bring necessary and desired improvement to coordinate with the field staff through In-charge of District Police.



9.2 Financial Resources and their utilization

UP Police Traffic Management Fund (UPPTMF) was established and notified in January 2009 with the objective of strengthening traffic management system and implementation of road safety measures in the state. The amount collected by Police by way of fine on the spot or compounding under motor vehicle Act has to be deposited in Government account and thereafter an amount equal to 75 per cent of the total amount deposited in the state exchequer in any financial year has to be transferred in the Uttar Pradesh Police Traffic Management Fund by making appropriate budgetary provision in the next financial year. Amount credited to the fund was to be utilized for making better management of traffic, effective implementation of road safety measures, wide publicity of traffic education and for furnishing the traffic enforcement system with modern equipment.

Department had prepared a Perspective Plan (December 2010) of ₹ 535.56 crore for 2011-16 for procurement of traffic equipment but did not take adequate measures to generate enough revenue. The position of receipt and utilization of amount from the fund during 2011-16 was as follows:

Table 9.1: Position of Perspective Plan, fine recovered, allotment of fund and expenditure from UPPTMF

(₹ in crore)					
Year	Fund proposed as per perspective plan	Fine recovered in the previous financial year	Fund allotted for the current financial year	Expenditure in the current financial year	Surrendered by the Directorate (percentage)
2011-12	106.34	16.36	13.66	13.34	0.32
2012-13	89.32	15.17	5.43	3.66	1.77
2013-14	102.31	22.36	39.43	37.81	1.62
2014-15	115.16	33.40	10.82	1.17	9.65
2015-16	122.43	38.19	14.77	13.61	1.16
Total	535.56	125.48	84.11 (69.89%)	69.59 (82.74%)	14.52 (17.26%)

(Source: Traffic Directorate, Lucknow)

Thus, the Traffic Department failed to implement the Perspective Plan 2011-16. Scrutiny of records of the Directorate of Traffic UP Police revealed that, against the total perspective plan of ₹ 535.56 crore department recovered fines of ₹ 125.48 crore (23 per cent), but GoUP sanctioned only ₹ 84.11 crore (16 per cent) for deposit into the fund during 2011-16. Against the sanctioned budget of ₹ 84.11 crore, only ₹ 69.59 crore (83 per cent) was spent by the department and ₹ 14.52 crore was surrendered. Audit observed that the amount of surrender was significantly higher in 2014-15 (89 per cent). It was also noticed that ₹ 10.82 crore were released by the Government only in the month of March 2015. Directorate informed to GoUP that, time available was not sufficient to complete the tender process for procurement of sanctioned traffic equipment in 2014-15.



There was huge shortage of traffic equipment as indicated in **Appendix 9.1**. The major shortages against the Perspective Plan 2011-16 were in Interceptor Vehicle with other implements (100 per cent), Challan system with mobile phone & printer (100 per cent), Disaster management vehicle system with crane & other implements (100 per cent), Centrally computerized challan and control system (100 per cent), Speed radar with picture display facility & Video Printer (93 per cent), Hand held breath analyser with printer (77 per cent) etc.

GoUP in reply (February 2017) stated that in order to smooth movement of the traffic in the State necessary work has been done as per instructions and guidance of the high officials from time to time. During the period 2015-16, ₹ 14.77 crore was allotted for purchase of traffic equipment which were allotted to districts as per their requirement and demand.

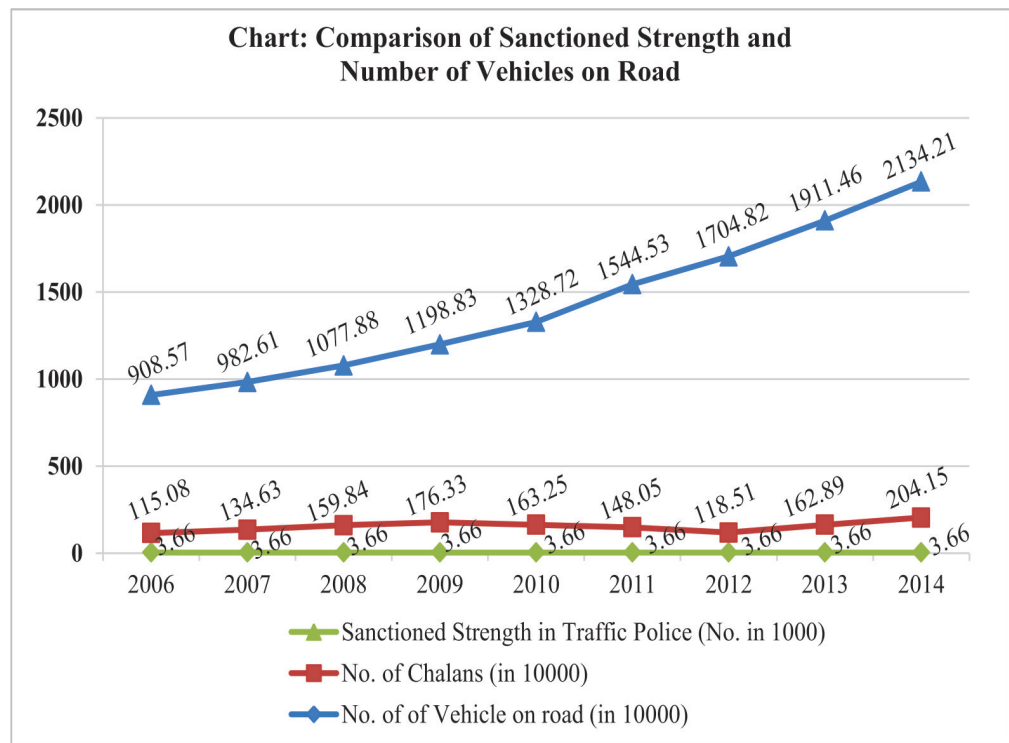
The reply of GoUP was not tenable because Traffic Department failed to implement the Perspective Plan 2011-16 and the fine recovered was only 22 per cent of the total target under the Perspective Plan. Further, allotment of fund to UPPTMF was only 16 per cent and expenditure was a meagre 13 per cent only as per perspective plan. This has resulted in failure to complete the procurement process of all traffic equipment as proposed in the Perspective Plan.

Thus, despite rampant violation of traffic rules and large number of deaths due to road accidents in the state, the State Police was not able to enforce traffic regulation because required funds were not provided as envisaged. As a result procurement of traffic equipment suffered for want of funds.

9.3 Men-in-position

As per BPR&D norms duties of traffic police personals may be categorised into three categories for performing operational, mandatory and special duties and can be distributed in traffic circles as per population of the city and number of vehicles i.e. Category ‘A’ (population above 50 lakh, one traffic police on 700 vehicles), ‘B’ (population above 20 lakh and below 50 lakh, one police personal on 850 vehicles) and ‘C’ (population below 20 lakh, one police personal on 950 vehicles).

Scrutiny of records and other relevant data of Directorate of Traffic revealed that number of registered vehicles in the state in the year 1985-86 was 9.04 lakh, when the department was established (1985). The position as of March 2015 was 2.13 crore vehicles. Thus, there was 2,256 *per cent* increase in number of vehicles in the State during 1985 to 2015. Despite this, sanctioned strength of the Traffic Department has remained the same since 1985 as shown in Chart below:



The Director Traffic sent proposals to GoUP for enhancement of the sanctioned strength in year 1999, 2009 and 2010 as there was enormous increase in traffic volume, road length and urbanization in the State during 1985-2016. The proposal for revision in the manpower strength of Traffic Department is pending with the Government since December 1999.

Audit further noticed that, there was significant shortage ranging between 71 and 93 *per cent* in the cadres of Traffic Inspector, Sub Inspector Traffic, Head

Constable and Constable Traffic against the sanctioned strength proposed as was sent in the proposals to GoUP in the year 2010 as shown in table below:

Table 9.2: Person in position in Traffic department during the period 2015-16

Name of post	Proposed Sanctioned Strength	Person in position	Excess/deficit against proposed sanctioned strength
Traffic Inspector	86	06	(-) 80 (93%)
Sub Inspector Traffic	1,065	79	(-) 986(93%)
Head Constable Traffic	3,411	581	(+) 2,830(83%)
Constable Traffic	8,475	2,420	(-) 6,055(71%)

(Source: Traffic Directorate, Lucknow)

Though the State has 75 districts with major cities like Lucknow, Varanasi, Agra, Kanpur, Allahabad, Meerut, Noida, Ghaziabad etc. the number of Traffic Inspectors and Sub Inspectors Traffic posted in the whole State was only 6 and 79 respectively. This implied that there was about one Traffic Sub Inspector per district and one Inspector Traffic per 12 districts. This itself explains the poor state of traffic management, inadequate revenue collection and high number of road accidents and casualty in the State.

GoUP in reply (February 2017) stated that in view of the increasing population of the state as well as the growth of the urban areas and increased traffic in the State, the Director General of Police vide Circular No. D.G.-4-103(29) 2014 dated 14.12.2015 has increased police personnel in traffic police. In the first phase, 16 inspector civil police officers who have been found eligible for 27 posts of Traffic Inspector have been appointed as Inspector Traffic Police. Post of Sub Inspector Traffic Police could not be filled due to absence of eligible candidate and necessary instructions have been issued for appointment of the Head Constable and Constable Traffic Police.

Reply of the GoUP is not tenable because while there has been an enormous increase in traffic volume, road length and urbanization in the State during 1985-2016 the proposal for revision in the strength of manpower strength of Traffic Department is still pending with the Government since December 1999.

9.4 Training for Traffic Police

Training must be provided to new officers and also to the existing officers when they are posted to a different branch. Annual refresher classes must be held. However no norms for training to the traffic police officials had been derived by the Directorate Traffic Uttar Pradesh. During last five years, various cadres of traffic police were trained as given in the table below:

Table 9.3: Training imparted to Traffic Officials

Details of cadre	Persons in position	Training imparted				
		2011-12	2012-13	2013-14	2014-15	2015-16
Inspector Traffic	06	0	14	0	7	0
Sub inspector traffic	79	0	17	0	0	0
Head constable traffic	581	0	0	0	0	0
Constable traffic	2420	619	323	295	0	0

(Source: Traffic Directorate, Lucknow)

As may be evident from the table above that 62 Sub Inspector Traffic, 581 Head Constable Traffic and 1183 Constable Traffic were not given any training during 2011-16. This implied that road safety and enforcement of traffic regulations was not being given sufficient priority by the Department. It was also observed that there is no training college in UP to train the traffic police personnel.

GoUP accepted (February 2017) the audit observation and stated that 17 Inspector, 51 Sub-Inspector, 1099 Head Constable and 1,337 Constable of Traffic Police were given training during the period 2016-17.

9.5 Road Accidents

During the period 2011-16, there were 1,61,968 road accidents in the State with death toll of 92,522 people. The position of accidents and deaths in road accidents is given in the table below:

Table 9.4: Detail of road accidents, death in road accidents and injured in road accidents in the state

Year	No. of road accident	Death in road accidents	Injured in road accidents
2011	29,285	21,512	15,513
2012	29,972	16,149	22,155
2013	30,615	16,004	23,024
2014	31,034	16,287	22,337
2015	32,385	17,666	23,205
2016 (upto 03/2016)	8,677	4,904	6,229
Total	1,61,968	92,522	1,12,463

(Source: Traffic Directorate, Lucknow)

Despite the large number of road accidents, the department and Government did not take necessary measures for enhancement of Traffic Police manpower, procurement of modern traffic equipment and training of traffic police personnel to enhance road safety.

Recommendations

- *Directorate should fix annual targets for revenue collection from fine/penalties under Motor Vehicle Act and closely monitor the progress to improve road/traffic discipline and ensure generation of adequate funds for procurement of road safety equipment.*
- *Adequate man power must be made available for enforcement of traffic regulation and improving road safety.*

Chapter 10

Construction of Police Accommodation

Chapter 10

Construction of Police Accommodation

10.1 Introduction

The national police commission had recommended housing accommodation for all police persons in the state with special emphasis on lower and higher subordinates. It is one of the thrust areas under modernisation of police forces to construct well-secured residential, administrative and other buildings with all basic amenities to provide a better living and working environment to State Police Forces.

10.2 Execution of works

To provide better infrastructural facilities to Police Personnel, GoUP sanctioned construction of 2,068 buildings costing ₹ 2,920.62 crore and awarded the construction works to nine executing agencies²⁷ during 1995-2016.

Out of the above 2,068 works, 616 works costing ₹ 1,048.73 crore sanctioned up to March 2014 were required to be completed up to March 2016. Audit scrutiny, however, revealed that only 393 works (64 per cent) were completed by incurring an expenditure of ₹ 482.15 crore and balance 223 works (34 per cent) were incomplete as of March 2016 on which an expenditure of ₹ 390.73 crore had been incurred (*Appendix 10.1*). Reasons behind the slow progress of construction works are discussed in succeeding paragraphs:

10.2.1 Funds not utilised

Budget allocation and expenditure on construction works of police department during 2011-16 were as follows:

Table 10.1: Details of allotment, expenditure and surrender

(₹ in crore)

Sl. No.	Year	Budget allotment/ Release	Expenditure (%)	Surrender (%)
1	2011-12	539.83	236.64 (44)	303.19 (56)
2	2012-13	561.75	294.08 (52)	267.67 (48)
3	2013-14	531.20	476.88 (90)	54.32 (10)
4	2014-15	559.13	517.41 (93)	41.72 (07)
5	2015-16	643.75	597.79 (93)	45.96 (07)
Total		2,835.66	2,122.80 (75)	712.86 (25)

(Source: Budget Documents)

The Department failed to utilise the budget allocation fully and ₹ 712.86 crore (25 per cent) were surrendered during 2011-16. Failure to utilise the funds indicated slow pace of execution of works.

²⁷ A&VP, C&DS, JLN, PAN Ltd., PACCFED, PWD, UPRNN, SKN and UPPCL.

10.2.2 Award of work on nomination basis**10.2.2.1 Award of works without competitive bidding**

As per Central Vigilance Commission Guidelines, award of contracts on nomination basis, which is also called a single tender should be resorted to only under exceptional circumstances like natural calamities and emergencies or if there were no bids to repeated tenders or where only one supplier has been licensed (proprietary item) in respect of goods sought to be procured.

Scrutiny of records revealed that open tenders were not being floated for award of works to ensure transparency and competitiveness and get most reasonable rates. Audit noticed that 2,068 works costing ₹ 2,920.62 crore were allotted to nine government construction agencies on nomination basis without inviting tenders as detailed in the table below:

Table 10.2: Agency wise number of works allotted

(₹ in crore)

Sl. No.	Name of the construction agency *	No. of works allotted	Sanctioned cost	Released amount	Expenditure	Incomplete works	
						No. of works (%)	Sanctioned cost (%)
1.	A&VP	81	166.89	104.07	80.01	68 (84)	158.57 (95)
2.	C&DS	41	51.43	46.05	40.56	25 (61)	36.98 (72)
3.	JLN	9	6.47	5.67	5.27	05 (55)	2.05 (32)
4.	PAN Ltd	1540	748.37	703.37	500.05	1,038 (67)	470.99 (63)
5.	PACCFED	18	28.37	22.54	18.44	07 (39)	16.09 (57)
6.	PWD	24	201.82	101.21	101.21	24 (100)	201.82 (100)
7.	UPRNN	69	1215.35	395.30	305.88	54 (78)	1,198.92 (99)
8.	SKN	27	56.77	40.21	33.21	13 (48)	25.65 (45)
9.	UPPCL	259	445.14	437.41	394.56	99 (38)	223.26 (50)
Grand Total		2,068	2,920.62	1,855.82	1,479.19	1344	2,364.13 (81)

(Source: Police Headquarters Allahabad)

* A&VP: *Awas and Vikas Parishad*, C&DS: *Construction and Design Services*, JLN: *Jal Nigam*, PAN Ltd: *Police Awas Nigam Limited*, PACCFED: *Processing and Construction Cooperative Federation Ltd.*, PWD: *Public Works Department*, UPRNN: *Uttar Pradesh Rajkiya Nirman Nigam*, SKN: *Samaj Kalyan Nigam*, UPPCL: *Uttar Pradesh Project Corporation Ltd.*

Award of such high value contracts on nomination basis without competitive bidding promotes ineffectiveness, arbitrariness and ignores the need to improve quality and enforce cost controls. Hence, award of such a large number of works on nomination basis even amongst the Government construction agencies was not proper and justified.

In reply, the Government stated that as suggested by audit, instructions had been issued to constructions agencies for compliance.

10.2.2.2 Payments to construction agencies as advance by PHQ

Advances given to the contractors/construction agencies should not exceed the financial limits prescribed in UP PWD model bid documents. Also advances should always be secured and recovery should be time bound and not linked to the progress of work. Receipt and utilization of advances should be monitored through Escrow accounts, to be opened by the construction agency receiving

the advance. Advances, if not secured against material brought at site, should be interest bearing.

Scrutiny of records revealed that first instalment of sanctioned amount was released to construction agencies by the PHQ as advance before start of the work. PHQ did not monitor the physical progress of execution of work and the actual expenditure incurred by the Government executing agencies against various works allotted to them and also did not monitor the balance available with them at the end of the financial year. PHQ went on releasing advances to Government construction agencies. As a result an amount of ₹ 376.63 crore balance had accumulated with the construction agencies as on March 2016. Such practice of releasing advances to construction agencies without monitoring the utilisation of advances already available with them puts avoidable burden on Government exchequer and extends undue favour to the construction agencies.

In reply, the Government stated that works is executed through deposit, therefore, the fund has to be paid in advance. The reply is not acceptable as the fund flow should be in accordance with the progress of the work.

10.2.3 Performance of Construction Agencies

Performance of construction agencies was not reviewed by the police department before awarding the works, which was evident from the table below showing details of works awarded during last two years (2014-16) despite large number of incomplete works of previous years pending with the executing agencies.

Table 10.3: Agency wise incomplete and allotted works during 2014-16

(₹ in crore)

Name of the agency	Total works awarded up to March 2012		Incomplete works awarded up to March 2012			Works awarded during 2014-16	
	No.	Cost	Period	Number (%)	Cost (%)	Number (% of total)	Cost (% of total)
A&VP	13	11.07	2011-12	1 (08)	3.17 (29)	66 (06)	150.96(08)
C&DS JLN	38	39.79	2002-12	22 (58)	25.34 (64)	2 (00)	3.07 (00)
JLN	2	1.70	2011-12	1 (50)	1.35 (79)	2 (00)	0.46 (00)
PAN Ltd.	141	104.65	2006-12	15 (11)	7.26 (07)	986 (88)	392.77 (22)
P-FED	16	18.09	2005-10	5 (31)	5.81 (32)	2 (00)	10.28 (01)
PWD	0	0	--	0 (00)	0 (00)	24 (02)	201.82 (11)
UPRNN	57	231.84	1995-2012	29 (51)	207.82 (90)	12 (01)	983.51 (54)
SKN	10	17.54	2004-10	7 (70)	16.20 (92)	16 (01)	35.27 (02)
UPPCL	227	359.37	2009-12	72 (32)	148.27 (41)	11 (01)	28.90 (02)
Total	504	784.05	1995-2012	165	422.81	1,121	1,807.04

(Source: Police Headquarters Allahabad)

It is evident from the above table that worst performing agency was *Uttar Pradesh Rajkiya Nirman Nigam Limited* (UPRNN) to whom 57 works costing ₹ 231.83 crore (30 per cent) were awarded during 1995 to 2012 but 29 works (51 per cent) costing ₹ 207.82 crore (90 per cent) were incomplete

as of March 2017. The State government allotted 12 major works valuing ₹ 983.51 crore (54 per cent of total value of works awarded during 2014-16) to UPRNN ignoring the poor performance of the agency. Similar was the position of several other agencies, such as *Avas and Vikas Parishad*, *Samaj Kalyan Nigam*, UP Project Corporation Limited, who were awarded large orders despite poor performance in executing works prior to year 2012. This has seriously impacted, the modernisation of police force, in an adverse manner due to inordinate delays in execution of majority of works like police stations, barracks, residential quarters, fire stations etc. The worst performing districts were Kanpur Dehat, Aligarh, Lucknow, Gorakhpur, Mirzapur etc.

In reply, the Government stated that action will be taken in accordance with the suggestions made by audit.

10.2.4 Award of works without assessing capacity of construction agencies

State Government had fixed (February 2013) maximum capacity limits of construction agencies for award of works, which were ₹ 25.00 crore for *Samaj Kalyan Nirman Nigam & Avas Vikas Parishad* and ₹ 10.00 crore for UPPCL & PACCFED. The department (awarding works) was required to obtain a certificate from these construction agencies certifying that the agency has capacity to carry out the balance work in light of their workload capacity as per the Government Order (GO). It was also mentioned in the GO that along with open tender, the option was also available with administrative department to adopt limited tendering among government agencies of the State and the Centre for awarding the work.

Scrutiny, however, revealed that police department in awarding the work of construction of buildings neither verified the workload capacity of the agencies nor invited open/limited tender. Number of works awarded to the above four agencies in 2015-16 vis-à-vis pending works as on March 2015 are given in table below:

Table 10.4: Works awarded to construction agencies with excess workload in terms of incomplete works

(₹ in crore)

Agency	Pending work till 2014-15		Works awarded during 2015-16		Total work load in 2015-16	
	No.	Cost	No.	Cost	No.	Cost
A&VP	30	82.92	38	75.65	68	158.57
P-FED	5	5.81	2	10.28	7	16.09
SKN	11	29.79	13	25.65	24	55.44
UPPCL	96	215.60	3	7.67	99	223.27
Total	142	334.12	56	119.25	198	453.37

(Source: Police Headquarters Allahabad)

It is evident from the above table that 56 works costing ₹ 119.25 crore were awarded in 2015-16 to four construction agencies exceeding their capacity in violation of GO.

In reply, the State Government stated that the said agency was nominated to execute the work after assessing their financial capacity. Reply could not be verified as no documents were provided to audit in support of their reply.

10.2.5 Memorandum of Understanding with Construction Agency

Uttar Pradesh Budget Manual (para 212.vii.4) provides that Agreements/MOU's were to be signed with executing agencies by the department before release of the fund to them or commencement of the works.

Audit noticed that above provision was not followed by the Department as works were commenced and funds were released before signing MOUs with the construction agencies. Scrutiny of 27 works with sanctioned cost of ₹ 328.84 crore (*Appendix 10.2*) revealed that:

- In all works, funds were released before signing MoUs amounting to ₹ 276.90 crore (84 *per cent*) except in one case²⁸ where the amount was released on the date of signing MoU.
- In 12 works (awarded during March 2005 to February 2015) costing ₹ 233.13 crore, MoUs were still not signed (March 2016) even though ₹ 226.28 crore were released up to March 2016. In 10 out of 12 cases in which MoUs were not signed, 100 *per cent* of the sanctioned amount was released.

Signing of MoU is essential to hold the construction agency accountable in case they failed to perform leading to delays and unsatisfactory quality in execution etc. Hence release of payment without firming up the terms and conditions of execution of works and responsibilities of the executing agency was highly irregular and did not protect the interest of the department.

Scrutiny, further revealed that even in cases where MOUs were signed, the provision of one *per cent* compensation for delay in completion of work was very low as compared to provisions in Public Works Department and Rural Engineering Department where it was one *per cent* of the contract price per week subject to the maximum of 10 *per cent*.

Further, despite long delays in completion of works, compensation of one *per cent* was also not recovered in any case from executing agencies. This gave undue benefit of ₹ 55.71 crore to the construction agencies as 223 works sanctioned up to March 2014 with sanctioned cost of ₹ 557.08 crore were still not completed by the construction agencies.

In reply, the Government stated that execution of sanctioned works is done after MoU is signed with the agencies. The letters have been sent to the concerned districts for signing the MoUs with the agencies involved in 12 selected projects by the audit. It further stated that penalty clause is included (July 2015) in new format of MoU. Collection of penalty from the agencies, which did not complete the works in prescribed time limits, is in process.

²⁸ Construction of buildings at Fire Station, Bilgram, Hardoi.

10.2.6 Award of work without ensuring availability of land

Financial Hand Book Volume-VI (paragraph 378) provided that no work should be started before availability of land.

Scrutiny of records of construction agency *Police Awas Nigam Ltd* (PAN Ltd) revealed that GoUP did not ensure the availability of undisputed land before awarding the work and releasing the fund to PAN Ltd. This resulted in 115 works costing ₹ 49.08 crore being allotted to PAN Ltd. (₹ 28.68 crore released) during 2009-2015 but work in these cases have not started as land was not available.

Release of funds in violation of Financial Rules resulted in undue favour at the cost of Government money.

In reply, the Government stated that land will be provided to construction agencies shortly.

10.3 Time and Cost overrun

Memorandum of Understanding (MoU) should contain specific and unambiguous conditions regarding time schedule, payment schedule, liquidated damages etc., so that the construction work are completed within the prescribed time limit and cost overrun avoided.

Scrutiny of records revealed that the cost clause was open ended in MOUs. As per this clause, the ceiling cost of the Project was to be decided as per the existing Plinth Area Rate of *Lok Nirman Vibhag* of the Government (SoR) subject to its revision from the time to time. Executing agencies demanded frequent cost revisions under this open ended clause. Whenever, the revision of rates were made in SoR, it was noticed that the Department allowed the revision of rates, which was irregular.

This resulted in cost overrun of ₹ 149.54 crore (*Appendix 10.3 & 10.4*) in respect of 241 works as detailed in table below:

Table 10.5: Details showing cost overrun sanctioned

(₹ in crore)

	Number of works	Sanctioned cost	Revised sanctioned cost	Cost overrun
Completed	119	127.95	164.59	36.64
Incomplete	122	253.46	366.36	112.90
Total	241	381.41	530.95	149.54

(Source: Police Headquarters Allahabad)

In reply, the Government stated (February 2017) that in the cases, where the time and cost overrun came into notice, levy of penalty/liquidated damages on the construction agencies is in process. The reply of the Government was not acceptable as penalty/liquidated damages have not been imposed in any case in the period of five years (2011-16).

10.4 Vetting of estimates by PHQ

GoUP sanctions works on proposals sent by PHQ. All the DPRs/estimates prepared by the construction agencies (PSUs) for construction works of police department were vetted and scrutinised by PHQ before recommending the case to GoUP for sanction of works.

GoUP sanctioned (March 2015) a project of construction of PHQ building at Lucknow for ₹ 684.45 crore on recommendation of PHQ (₹ 696.31 crore) based on estimate (₹ 776.64 crore) submitted by UPRNN (December 2014) and released ₹ 42.50 crore to UPRNN to commence the work.


Tender was invited by UPRNN for works (₹ 640.95 crore) in March 2015, M/s Larsen & Toubro Ltd, Mumbai (L&T) was the lowest tenderer at the premium of 19.95 per cent above the estimated cost. Consultants²⁹ examined the rate quoted by L&T and recommended acceptance of the bid up to the work cost of ₹ 731.60 crore (₹ 772.57 crore including service tax). After negotiation, L&T revised (August 2015) its rate to ₹ 757.29 crore including service tax (12.58 per cent above). It was however, noticed that against the cost of ₹ 757.29 crore accepted by L&T, UPRNN sent a revised cost estimate to Government at a higher rate of ₹ 761.99 crore, due to incorrect adoption of the rate quoted by L&T (basic cost and also service tax).

It was also noticed that the total cost of the project submitted to Government was ₹ 826.32 crore taking into account various other factors as shown below.

Table 10.6: calculation sheet of revised cost of the project

(₹ in lakh)

U.P. RAJKIYA NIRMAN NIGAM LTD.					
LUCKNOW					
ABSTRACT OF COST					
Name of work:- Police Bhawan (Signature Building) Gomtinagar, Lucknow					
S.No.	Particulars	Amount as per P.F.A.D (In Lacs)	Revised cost as per DPR (In Lacs)	Revised Project cost as per Tender of M/s L& T	Revised project cost calculated by Audit
1-	Estimated Cost for Construction works	64094.60	73160.35	72157.70	72,157.70
2-	Add Service Tax 5.6% on Sl.1	--	4096.98	4040.83	4,040.83
	Total	64094.60	77257.33	76198.53	76,198.53
3-	Add 2% Contingency on Sl.1	1281.89	1463.21	1443.15	1,443.15
4-	Add 1.5% fees for Third Party Quality Control consultant on Sl.1	980.65	980.65	980.65	980.65
	Add 1.5% fees for Architectural consultant on Sl.1	980.65	980.65	980.65	980.65
5-	Add 1% fees for UPRNN Ltd (Implementing Agency) on Sl.1	653.76	653.76	653.76	653.76
	Add labour cess 1%	653.76	731.60	721.58	721.58
6-	Add for VAT 0.5%	--	365.80	360.79	360.79
7-	Add of External Electric Connection	300.00	300.00	300.00	300.00
8-	Grand Total	68945.31	82733.00	82631.95	81,639.11
9-	Nett. Increasing cost to be sanctioned.	--	14261.46	13686.64	


 (मनीन्द्र श्रीवास्तव)
 इकाई प्रभारी
 उ०म० राजकीय निर्माण निगम लि०
 इकाई-21 लखनऊ

²⁹ M/s Stup Consultants, New Mumbai and M/s Data Technosys (Engineers) Pvt. Ltd, Lucknow.

It may be noticed from the above calculation sheet that as against ₹ 816.39 crore, UPRNN worked out the revised cost as ₹ 826.32 crore which was incorrect. Consultants, UPRNN, PHQ and the Government failed to notice error in the proposal.

It was also noticed in audit that an amount of ₹ 14.43 crore was provided for in estimate as contingency charges at the rate of two *per cent*, which was to be utilised by the RNN. This was contrary to the Government order, which provided that executing agency was eligible for payment of only one *per cent* including service tax for estimation, inspection and supervision, quality control etc.

It indicates that the estimates were not properly checked/vetted at department level, despite having an established engineering wing at PHQ headed by an Executive Engineer.

In reply, the Government stated that rectification will be made by modifying the sanction order and payment will not be made to agency. Action will be taken on the suggestions/objection made by the audit.

10.5 Administrative buildings of Police Stations and Police Posts

Construction of Police Stations (PS) and Police Posts (PP) is very crucial for maintenance of Law and Order and, therefore, development of this infrastructure was one of the important focus areas of police modernisation.

10.5.1 Number of functional Police Stations and shortage

Police Commission (1960-61) recommended one PS per 50,000 population in urban areas and 75,000 to 90,000 population in rural areas. Number of PSs required as per this norm and actual number of functional PSs are given in table below:

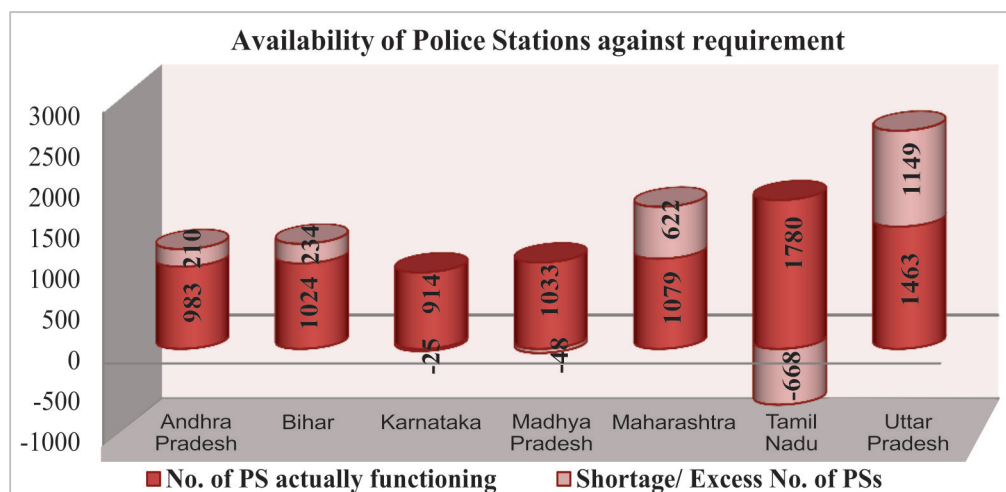
Table 10.7: Shortage of Police Stations

Category of population	Population (crore)	Norms of PS (1 PS @)	Required No. of PS as per norms	Actually functional	Shortage of PS (%)
Rural	15.53	90,000	1,725	1,023	702 (41)
Urban	4.45	50,000	890	437	453 (51)
Total	19.98		2,615	1,460	1,155 (44)

(Source: Police Headquarters Allahabad, Census data 2011)

Thus 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.

Position in other major states is depicted in graph below:



It is evident from the above chart that Tamil Nadu, Madhya Pradesh and Karnataka have achieved the norms set in 1960-61. Among the major States in India, UP is the worst in achievement of these norms.

In reply, the Government did not offer any comments to the audit observation.

10.5.2 Construction of Police Stations and Police Post buildings

Scrutiny of records revealed that out of 1460 functional PSs, 190 PSs/PPs were running in rented buildings. So it has required that their own buildings be constructed.

- GoUP sanctioned only 107 administrative buildings for PSs including 11 for woman police stations and 27 Police Posts during 2003-16 at a cost of ₹ 168.26 crore, out of which 99 buildings sanctioned during 2003-15 were required to be completed up to March 2016. Only 50 buildings (51 *per cent*) including eight woman police stations and 17 Police Posts were completed as of March 2016 by incurring an expenditure of ₹ 57.71 crore;
- 33 buildings including two woman police station and six Police Posts sanctioned up to March 2015 with sanctioned cost of ₹ 65.47 crore were still under construction after incurring an expenditure of ₹ 31.85 crore; and
- 16 buildings including three PP buildings sanctioned during 2007-15 costing ₹ 30.87 crore were yet to start construction (March 2016) (*Appendix 10.5*).

Hence, there were delays in construction of PSs buildings.

In reply, the Government did not offer any comments on the audit observation.

10.6 Construction of Barracks

GoUP sanctioned 315 barracks at a cost of ₹ 233.74 crore during 2003-16 including 148 barracks costing ₹ 45.17 crore for woman constables as detailed in table below:

Table 10.8: No. of sanctioned number of barracks and progress

Year	Barracks sanctioned		Complete		Incomplete		Zero progress	
	Total	Woman	Total	Woman	Total	Woman	Total	Woman
2003-04	1	0	1	0	0	0	0	0
2005-06	2	0	0	0	2	0	0	0
2009-10	2	0	1	0	1	0	0	0
2010-11	5	0	4	0	1	0	0	0
2011-12	132	0	108	0	24	0	0	0
2012-13	10	0	8	0	2	0	0	0
2013-14	6	0	4	0	1	0	1	0
2014-15	91	87	4	4	3	0	84	83
2015-16	66	61	0	0	0	0	66	61
Total	315	148	130	4	34	0	151	144

(Source: Police Headquarters Allahabad)

Audit observed that:

- No barracks for woman constables were sanctioned up to 2013-14; and
- Out of 249 barracks sanctioned up to 2014-15, only 130 barracks (52 per cent) including four woman barracks were completed (March 2016) by incurring an expenditure of ₹ 118.00 crore though ₹ 226.29 crore (97 per cent) were released to construction agencies against the total sanctioned cost of ₹ 233.74 crore (**Appendix 10.6**).
- Progress of construction of 151 barracks was nil, out of which 144 were woman barracks for which total sanctioned amount ₹ 45.17 crore was released to construction agencies and was lying in the bank accounts of the agencies as discussed in paragraph 10.2.2.2

In reply, the Government did not offer any comments on the audit observation.

**10.7 Residential infrastructure**

Availability of residential buildings for police personnel was most crucial and important for effective performance of their duties. BPR&D in its five-year projection on modernization and up-gradation of police infrastructure was of the view (March 2000) that the performance of the police was better in states where accommodation was available in large numbers. The national police commission also recommended 100 per cent accommodation for all police personnel.

10.7.1 Shortage of residential accommodation

There is an acute shortage of residential accommodation in all categories despite the fact that this requirement has been assessed on the basis of present working manpower (49 *per cent* of sanctioned strength) in state police force instead of sanctioned strength.



Residential Building under Construction

Audit observed that there was a shortage of 59,453 (48 *per cent*) residential quarters against the requirement of 1,25,998 residential quarters and shortage of barracks for 18,259 personnel (26 *per cent*) against the requirement of barracks for 68,874 personnel as on 31.03.2015 (*Appendix 10.7*).

Further, scrutiny revealed that the PHQ submitted that total available quarters in the State were 66,545 upto March 2015 including 2176 quarters in progress and 842 quarters not yet started. However, audit scrutiny revealed that this figures included residences sanctioned.

In reply, the Government did not offer any comments on the audit observation.

10.7.2 Number of units constructed

The State Government sanctioned only 5,156 residential quarters³⁰ (09 *per cent* of the requirement) of residences during 1998-2016 against the total requirement of 59,453 residential quarters of Type-I, II and III as detailed in table below:

Table 10.9: Residential units sanctioned, completed and in progress

Year	Requirement as on 31.03.2015 (Type-I, II & III)	Sanctioned in respective year	Completed as on 31.03.2016	In progress	Yet to be commenced
Up to 2010-11	59,453	1,792	460	1,325	07
2011-12		796	637	159	0
2012-13		852	655	197	0
2013-14		451	156	233	62
2014-15		1,234	230	262	742
2015-16		31	0	0	31
Total			5,156	2,138	2,176

(Source: Police Headquarters Allahabad)

Only 460 units (26 *per cent*) were completed (March 2016) out of 1,792 units sanctioned during 1998-2011 and 1,332 units of residences were still incomplete (March 2016) even after lapse of a period of five to 18 years since their sanction.

³⁰ Type I:3120, Type II:1286 and Type III: 750.

In test-checked districts, the availabilities of residential houses were only 5,729 (14 *per cent*) against the available manpower of 42007. Further, the position of residential houses in test-checked police stations was also similar with availability of only 22 *per cent* (817 against the available manpower of 3,604); housing to police personnel. Availability of housing in test-checked districts and police stations are given in (*Appendices 10.8 & 10.9*). The condition of the houses was also not satisfactory as given in pictures below.



Dilapidated condition of residences at Police Station, Bithur Kanpur

Dilapidated condition of residences at Police Station, Kanth, Shahjahanpur

In reply, the Government did not offer any comments on audit observations.

Recommendations:

- *Shortages in residences should be minimised by speedy construction of residential buildings and barracks.*
- *Government should clearly indicate timelines for completion of projects in all sanctions issued by it for execution of works to facilitate monitoring and avoid time and cost over runs.*
- *MoUs should be signed with construction agencies without any delay incorporating all important conditions such as timely execution of works, adhering to quality standards and imposition of liquidated damages at the rate of 10 per cent in case of delay and imposition of penalty in case of sub-standard quality of construction.*
- *Pace of construction works should be closely monitored and action should be taken against defaulting construction agencies by imposing liquidated damages as per MoU conditions to minimise time overruns.*
- *Since timely completion of works needs to be accorded top priority, the State government should immediately stop the practice of awarding works on nomination basis, which is not competitive and transparent.*
- *Advances given to the contractors/construction agencies not exceed the financial limits prescribed in UP PWD model bid documents. Advances should always be secured and recovery should be time based and not linked with the progress of work. Receipt and utilization of advances should be monitored through Escrow accounts, to be opened by the construction agency receiving the advance. Advances, if not secured against material brought at site, should be interest bearing.*

Chapter 11

Incidence of Crime and Police Deployment

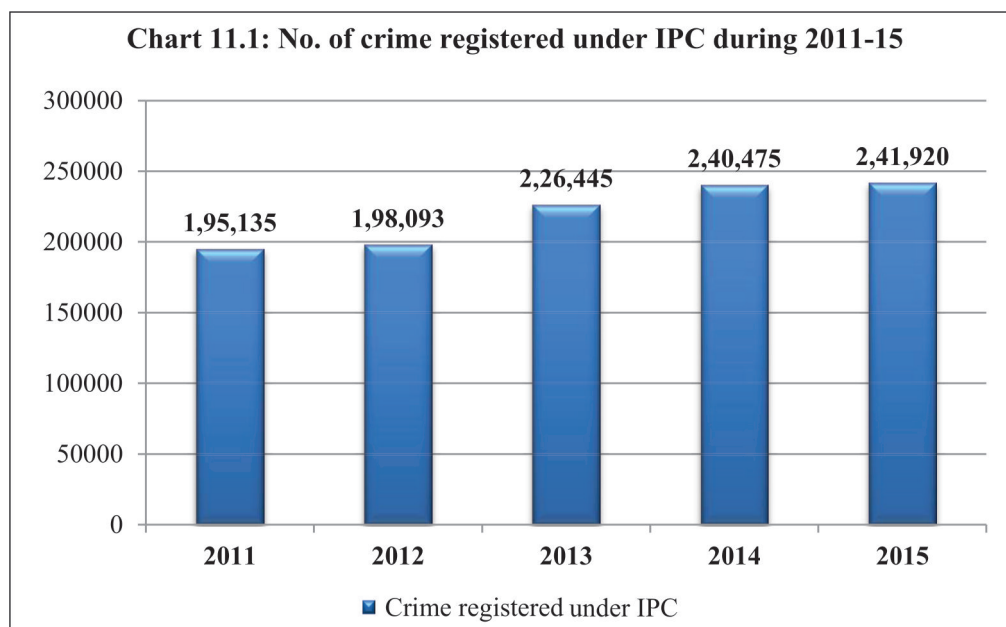
Chapter 11

Incidence of Crime and Police Deployment

11.1 Introduction

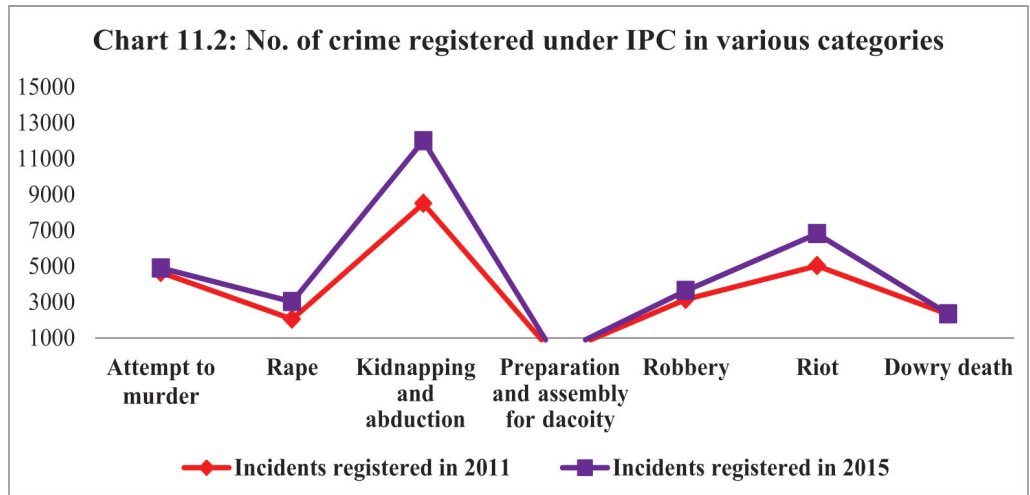
Prevention of crime, protection of life, liberty, property, human rights and dignity of members of public are amongst the main functions of police. As categorised by the National Crime Record Bureau (NCRB) there are two broad categories of crime registered by the State Police viz crime under Indian Penal Code (IPC) and crime under Special and Local Laws (SLL). The various crime heads covered under IPC are murder, attempt to murder, rape, riot, kidnapping and abduction, arson, preparation and assembly for dacoity, robbery etc. whereas crime heads covered under SLL are Arms Act, NDPS ACT, Gambling Act, Excise Act, Prohibition Act, Explosives Substances Act, Immoral Traffic (P) Act, Indian Railways Act, Registration of Foreigners Act, Protection of Civil Rights Act, Indian Passport Act, Essential Commodities Act, Terrorist and Disruptive Activities Act, Antiquities and Art Treasures Act, Dowry Prohibition Act, Prohibition of Child Marriage Act, Indecent Representation of Women (P) Act etc.

Incidence of crime registered under IPC in the state during 2015 increased by 24 *per cent* from that of 2011. The crime registered under SLL category recorded an increase of 35 *per cent* during 2011-15 as depicted in charts below:

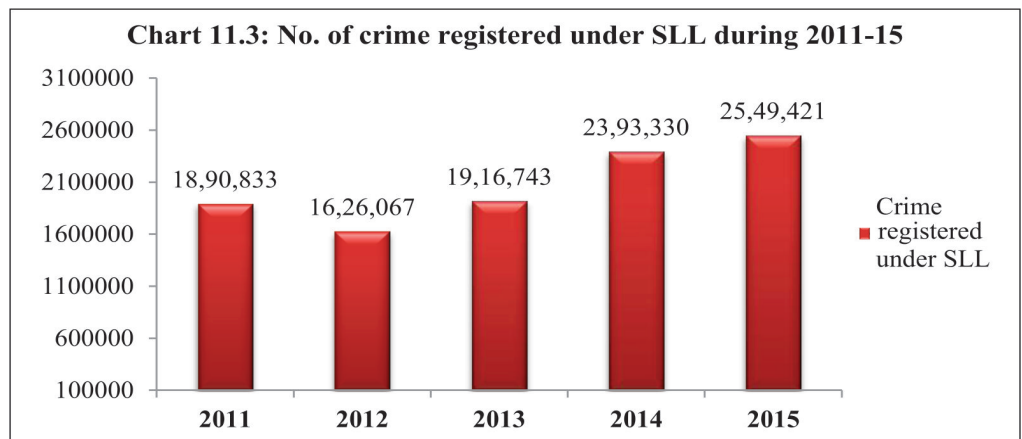


(Source: Crime data of NCRB)

Audit further noticed that there was a significant increase recorded in different types of crime under IPC in 2015 as compared to 2011 such as preparation and assembly for dacoity (44%), kidnapping and abduction (41%), rape (48%) and riot (36%) as shown in chart below:

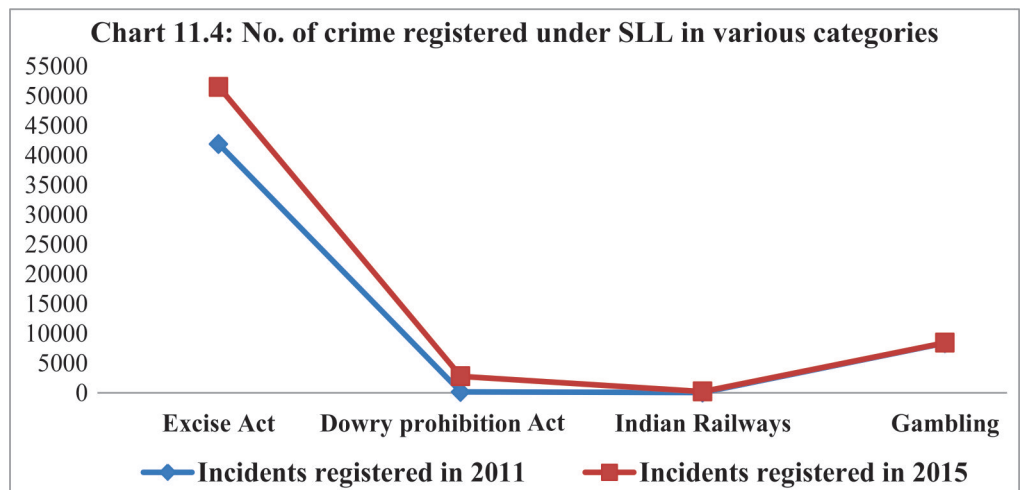


(Source: Crime data of NCRB)



(Source: Crime data of NCRB)

Similarly there was a substantial rise recorded in different types of crime under SLL in 2015 as compared to 2011 such as Dowry Prohibition Act (95%), Indian Railway Act (90%), Excise Act (18 per cent) etc. as given in chart below:



(Source: Crime data of NCRB)

Government in its reply stated (February 2017) that the State was biggest in India in view of population hence there is a possibility that violation of SLL

laws may be more than in other States so cases under this category may have increased. Further, increase in number under these categories of crime shows activeness of the police which is positive signal.

The reply of the Government was not acceptable as purpose of the modernisation of police forces was to reduce the number of crimes which increased in different categories of IPC and SLL.

The total crime registered against different sections of society had also increased substantially in the state during 2011-15 as given in below table.

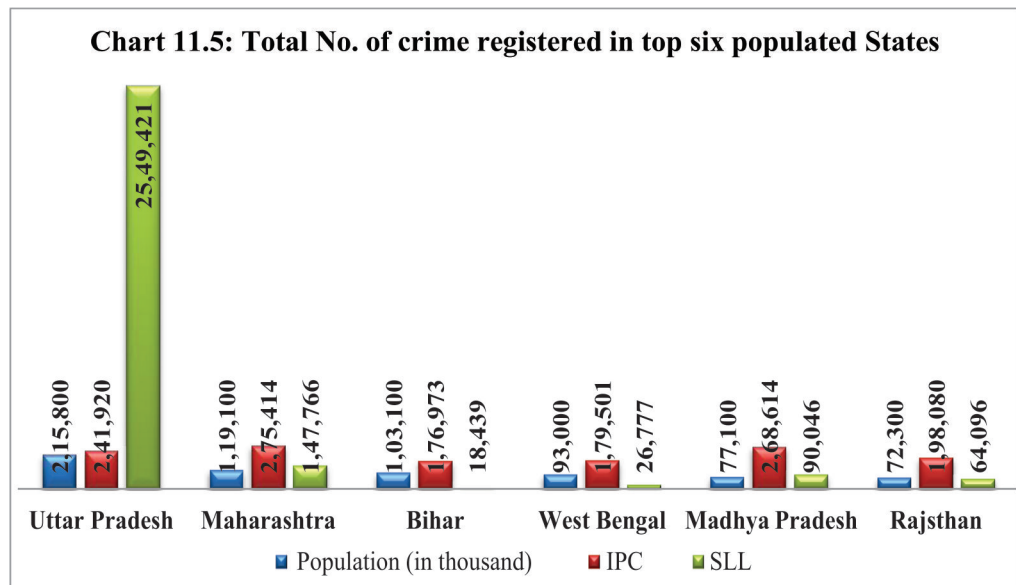
Table 11.1: Details of Category-wise crime in the State

Sl. No.	Particulars	Year 2011	Year 2015	Percentage increase
1.	Total incidences of crime	20,85,968	27,91,341	34
2.	Cases registered under IPC	1,95,135	2,41,920	24
3.	Cases registered under SLL&LA	18,90,833	25,49,421	35
4.	Crime reported against women	22,639	35,527	57
5.	Crime reported against children	5,500	11,420	108
6.	Crime against SC ST	7,702	8,358	9

(Source: Crime data of NCRB)

It is evident from the above table that in all the categories, crime increased significantly which ranged between 9 to 108 *per cent*. Crime against children had increased by 108 *per cent* during 2011-15. Audit further noticed that:

- If total reported number of crime under IPC and SLL categories are compared in highest populated six States in the country namely Uttar Pradesh, Maharashtra, Bihar, West Bengal, Madhya Pradesh and Rajasthan, Uttar Pradesh was highest in number of reported crime under SLL category and third in IPC category in India as shown in chart below:



(Source: Crime data of NCRB)

- Uttar Pradesh had reported highest number of cases of SLL crimes, accounting for 58 *per cent* of total SLL crimes reported in the country during 2015. Uttar Pradesh reported the highest number of cases (40,613) of violent crimes accounting for 12 *per cent* of total violent crimes in the

country. The number of SLL crimes reported in Bihar and West Bengal during 2015 was 18,439 and 26,777 respectively.

- Uttar Pradesh reported the highest number of cases of murder accounting for 15 *per cent* (4,732 out of 32,127 cases) of total murder cases and highest cases of culpable homicide not amounting to murder accounting for 42 *per cent* (1,338 out of 3,176) out of total such cases during 2015 in the country.
- Uttar Pradesh reported highest number of cases of crime against women which accounted for 11 *per cent* (35,527 out of 3,27,394 cases) and 19 *per cent* (8,358 out of 45,003 cases) against scheduled castes in the country.
- Government in its reply stated (February 2017) that taking into account the crime rate i.e. incidence of crime per lakh population, Uttar Pradesh was on 26th place in 2011 and on 28th place in 2015 in India. As such, status of crime became better in the State in comparison to other States in the period from 2011 to 2015. But the fact remained that incidence of crime registered under IPC during 2011-15 increased by 24 *per cent* and under SLL category the increase was 35 *per cent* in the State. It was also found that increase in population was about 8 *per cent* in this period while increase in IPC cases was 24 *per cent* and SLL cases was 35 *per cent*.

11.2 Cyber Crime

Cyber crime is defined as a crime in which a computer is the object of the crime (hacking, phishing, spamming) or is used as a tool to commit an offense (child pornography, hate crimes). Cybercriminals may use computer technology to access personal information, business trade secrets, or use the Internet for exploitive or malicious purposes. The information technology (IT) Act, 2000 specifies these types of acts are punishable. Several offences having related to cybercrime are also registered under appropriate sections of the IPC with the legal recognition of electronic records and the amendments made in several sections of the IPC vide IT Act, 2000.

The Department established (August 2011) two cyber units at Agra³¹ and Lucknow³² to investigate cybercrimes in the state.

- Audit observed that against the proposal (September 2012) of establishment of one cybercrime police station in each district, only two cybercrime police stations were established (March 2016) at Lucknow³³ and Gautam Buddha Nagar (Noida)³⁴ to investigate cybercrime.
- Cases registered and person arrested under cyber-crime (IT Act & IPC) during 2011-15 are detailed in table below:

³¹ Crime related to Meerut, Saharanpur, Bareilly, Moradabad, Aligarh and Agra commissionery.

³² Crime related to Allahabad, Mirzapur, Varanasi, Azamgarh, Chitrakoot, Devipaatan, Basti, Gorakhpur, Lucknow, Kanpur, Faizabad and Jhansi commissionery.

³³ Crime related to police zone Lucknow, Allahabad, Varanasi, Kanpur and Gorakhpur.

³⁴ Crime related to police zone Meerut, Bareilly and Agra.

Table 11.2: Cases Reported and Person Arrested under Cybercrime

Year	Cases reported under Total cybercrime (IT ACT and IPC)	Person arrested under Total cybercrime (IT ACT and IPC)
2011	114	NA
2012	249	185
2013	682	602
2014	1,737	1,223
2015	2,208	1,699
Total	4,990	3,709

(Source: Crime data of NCRB)

Above data reveals that 2,208 cases were registered under cyber-crime (Cases of Various Categories under IT Act, 2000 and cases registered under various sections of IPC) during the year 2015 as compared to 114 cases during the year 2011 thereby reporting a significant increase of 1,837 *per cent* in 2015 over 2011. For committing such offences 1,699 persons were arrested during the year 2015. It may further be noticed that 3,709 person were arrested out of 4990 cases registered under cyber-crime during the year 2011-15.

Scrutiny of records revealed that 1990 cases were registered under IT and IPC Act during January 2015 to March 2016 in 15 test check districts. Highest (616 cases out of 1990 number of cases) in test check districts were reported from Kanpur Nagar followed by Lucknow 361 cases and Allahabad 343 cases.

11.3 Manpower Management of police forces

Efficient manpower management is crucial for a police organisation as availability of adequate manpower and its proper deployment is necessary for effective functioning of police force and maintenance of law and order in the state. This requires efficient strategy for ensuring timely recruitment to minimise deficiencies and adoption of judicious approach for deployment of manpower for various roles and function so that adequate police coverage is provided to all the areas/geographical locations and the crime graph is kept under control.

Shortages in police force

Police personnel at the rank of Constables to Inspectors of civil and armed police play a very important role in maintaining law and order and, therefore, the strength in these cadres should be adequate to maintain law and order and keep the incidence of crime under control. The manpower position in civil and armed police force against sanctioned strength is given in the table below.

Table 11.3: Manpower in Uttar Pradesh Police

Year	Inspector		Sub-Inspector		Head Constable		Constable		Others		Total	
	SS	PIP	SS	PIP	SS	PIP	SS	PIP	SS	PIP	SS	PIP
2011	1996	668	17914	7657	62156	16487	263161	144243	15036	15267	360263	184322 (51)
2015	3052	2607	22038	10492	66583	31826	270674	121747	15127	13977	377474	180649 (48)

(UP Budget 2015-16 Vol. VI)

It is evident from the above table that only 1,80,649 police personnel (48 *per cent*) in the State were available against the sanctioned strength of 3,77,474 as on 1st April 2015. The strengths of civil and armed police decreased from 1,84,322 in 2011 to 1,80,649 in 2015.

Test-check of deployment of manpower in 15 districts by audit disclosed that many districts had only 30 to 40 *per cent* of sanctioned manpower deployed in the cadre of Inspector, Sub-Inspector, Head Constable and Constable as shown in the table below.

Table 11.4: Shortage of Manpower in Test Checked Districts

District	SS	PIP	Shortage of manpower against SS	Shortage in percentage
Agra	6,865	4,059	2,806	41
Allahabad	9,615	4,082	5,533	58
Deoria	3,758	1,010	2,748	73
Ghaziabad	6,214	3,943	2,271	37
Jhansi	4,220	1,640	2,580	61
Kanpur	8,964	4,813	4,151	46
Kushinagar	3,258	983	2,275	70
Lucknow	8,368	7,110	1,258	15
Mathura	4,828	2,688	2,140	44
Meerut	5,052	2,452	2,600	51
Moradabad	8,270	2,792	5,478	66
Pratapgarh	3,664	1,476	2,188	60
Shahjahanpur	3,836	1,726	2,110	55
Sitapur	5,769	1,580	4,189	73
Sonebhadra	3,452	1,653	1,799	52

(Police Headquarter, Allahabad)

Kushinagar, Deoria and Sitapur had 70 to 73 *per cent* shortage of manpower while Jhansi, Moradabad and Pratapgarh had 60 to 66 *per cent* shortage of police personnel.

The huge shortages (48 *per cent*) in the police force could have an adverse impact on the maintenance of law and order in the State.

11.4 Recruitment in Police Department

The main reason for acute shortage of police manpower was not filling up of the vacant posts through timely and regular recruitment.

As per Government Order of April 2009, PHQ would centrally assess the vacancies as per sanctioned strength of various posts and send number of vacancies in respect of various posts as proposal (*adhiyachan*) to Police Recruitment and Promotion Board, Lucknow (Board) for recruitment of personnel. Recruitment was to be done twice a year. Further, the Board has to notify the vacancies and call applications for written and physical tests. After physical and written tests of applicants, the Board selects the candidates and send a list of selected candidates to PHQ for training and deployment. PHQ after receiving the list of selected candidates was to depute them for undergoing training. After completion of training, the trained police personnel were to be deployed in districts/PACs.

GoUP accepted (February 2017) that there was a huge shortage of resources in Police Recruitment and Promotion Board (Board). Presently Board is responsible for recruitment to the post of Constable/CP/PAC, Sub-Inspector/Platoon Commander CP/PAC, Computer Operator, Fire Services and Jail Services.

The Government needs therefore to enhance the resources and manpower to enable the Board to conduct regular and timely recruitment of police personnel twice a year as per notification made by Government.

11.4.1 Delays in recruitment

Recruitment of Sub-Inspectors and Platoon Commanders

Audit observed that the PHQ had sent *Adhiyachans* for making recruitments against following posts during 2009-16:

Table 11.5: Recruitment process for Sub Inspector and Platoon Commander

Year	No of Post of SI+PC for which <i>Adhiyachan</i> sent to Board	Notification published for Recruitment against <i>Adhiyachan</i>	Candidates selected against notification	List of selected candidates sent to PHQ
2009-10	3,698+312	NA	NA	NA
2010-11	NA	NA	NA	NA
2011-12	NIL	3,698+312 (against <i>Adhiyachan</i> 2009)	NA	NA
2012-13	NIL	NA	NA	NA
2013-14	NIL	NA	NA	NA
2014-15	NIL	NA	NA	NA
2015-16	3,000	Under process	3,493+291=3,784 (against <i>Adhiyachan</i> 2009)	3,784 in June 2015

(Source: PHQ Allahabad and Recruitment Board Lucknow)

Scrutiny of records of PHQ and Police recruitment and promotion Board (Board) revealed that:

- PHQ did not send any *Adhiyachan* to Board during 2011-12 to 2014-15 for recruitment to the post of Sub Inspector/Platoon Commander (PAC) despite large number of vacancies. PHQ sent an *Adhiyachan* for 3000 posts of Sub Inspector/Platoon Commander (PAC) during 2015-16 only.
- Against the *Adhiyachan* of 2009 received from PHQ for recruitment of 3698 Sub Inspector/CP and 312 PC/PAC, the Board took two years in inviting the applications for the post of Sub Inspector/CP/PAC (May 2011). Examination of the eligible candidates was held in five stages and took four years and final result was declared in June 2015 as given in table below:

Table 11.6: Schedule of Examination for the post of SI

Name of Exams	Dates of exams held	Date of Declaration of Result
Physical Standard verification	05.09.2011 to 01.11.2011	
Written examination (Preliminary)	11.12.2011	01.01.2013
Physical Efficiency Examination	05.02.2013 to 01.09.2014	
Written examination (Mains)	14.09.2014	18.11.2014
Group Discussion	11.12.2014 to 10.01.2015	
Final Result		16-03-2015
Result as per direction of Hon'ble High Court		25-06-2015

(Source: Police Recruitment and Promotional Board, Lucknow)

Board is yet to invite applications for the post of Sub Inspector against *Adhiyachan* of 2015-16 received from PHQ.

Thus, neither the Department nor the Board showed any urgency in ensuring timely recruitment of Sub Inspector/CP/PAC despite huge shortages and deteriorating law and order in the State as was indicated in the increasing crime graph.

Audit further noticed that out of 3,784 candidates selected against the *Adhiyachan* of 2009, PHQ sent only 3,153 candidates for training during 2016-17 and 631 candidates are still awaiting their deployment for training.

Recruitment of Constables

Table 11.7: Recruitment process for Constable

Year	No of Post of Constable for which <i>Adhiyachan</i> sent to Board	Notification published for Recruitment against <i>Adhiyachan</i>	Candidates selected against notification	List of selected candidates sent to PHQ
2011-12	NIL	NA	NA	NA
2012-13	NIL	NA	NA	NA
2013-14	41,610	41,610 (June 2013)	Under process	NA
2014-15	NIL	NA	NA	NA
2015-16	34,716	December 2015 (under Process)	38,315+4,438 (against <i>Adhiyachan</i> 2013)	42,753 (January 2016) against <i>Adhiyachan</i> 2013.

(Source: PHQ Allahabad and Recruitment Board Lucknow)

- PHQ sent *Adhiyachan* for the posts of Constable to the Board for 41,610 posts during 2013-14 and for 34,716 posts during 2015-16. PHQ did not send any *Adhiyachan* for the posts of Constable during 2011-12, 2012-13 and 2014-15 despite vacancies in the cadre ranging from 45 to 55 per cent.
- Board invited application for the 41,610 post of Constable in May/June 2013 against *Adhiyachan* of 2013-14. Examination was held in four stages and final result was declared in July 2015 as shown in table given below:

Table 11.8: Schedule of Examination for the post of Constable

Name of Exams	Dates of exams held	Date of Declaration of Result
Written examination (Preliminary)	15.12.2013	28.07.2014
Physical Efficiency Examination	07.10.2014 to 19.11.2014	
Written examination (Mains)	14.12.2014	22.03.2015
Medical Examination	27.03.2015 to 06.2015	
Final Result		16-07-2015

(Source: Police Recruitment and Promotional Board, Lucknow)

Thus, the Board took two years and eight months in completing the process of selection of candidates.

Audit further noticed that out of the selected 42,753 candidates, only 16,075 candidates have been sent for training and 17,425 candidates are still awaiting their deployment for training. All the selected candidates could not be deployed for training due to limited capacity of police training institutions/schools/centres as discussed in *paragraph 7.3*. Character verifications of 3,966 candidates is in process and no information was

furnished about remaining 5,287 selected candidates. Recruitment for vacancies notified during 2015-16 is under process.


Government replied (February 2017) that delay in recruitment process was mainly due to large number of candidates of various posts as well as legal matters pending before the Hon'ble High Court at Allahabad and Lucknow.

The reply of the Government is not acceptable because despite large number of vacancies in the cadres of Sub-Inspectors (52 *per cent*) and Constables (55 *per cent*), PHQ did not send *Adhiyachan* for recruitment of various posts to the Board twice a year, which was one of the important reasons for continued shortfall in police manpower in the State. Again the Board after receipt of *Adhiyachans* from PHQ, did not take prompt action and the recruitment process took an unduly long time of about three to four years. All these resulted in depleted strength of State Police with about 52 *per cent* posts of Sub-Inspectors /Platoon Commanders and 55 *per cent* posts of Constables lying vacant which could effect the maintenance of law and order in the State.

Recommendation

- *The Department as well as Police Recruitment and Promotion Board should streamline their procedures for recruitment and put in place a proper monitoring mechanism to ensure that recruitment of police personnel is done in a timely and regular manner, within the prescribed time limits.*

ALLAHABAD
THE 19 June 2017


(P.K. KATARIA)
Principal Accountant General (G&SSA)
Uttar Pradesh

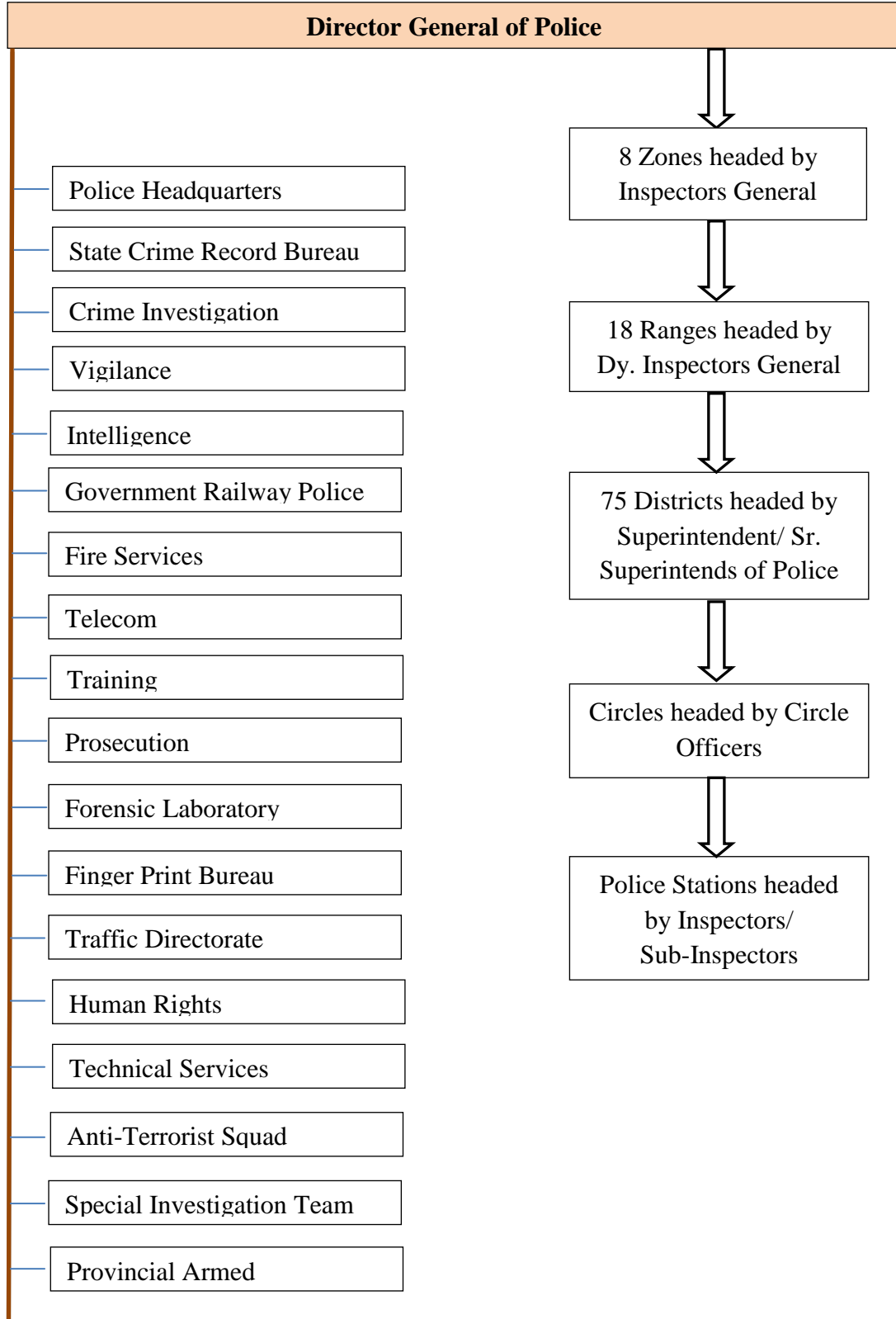
COUNTERSIGNED

NEW DELHI
THE 20 JUN 2017


(SHASHI KANT SHARMA)
Comptroller and Auditor General of India

Appendices

Appendix 1.1
Organisation Chart of Uttar Pradesh Police
(Reference: Paragraph 1.2)



Appendix 2.1

Due date and actual dates of submission of Annual Plans

(Reference: Paragraph 2.2.2)

Year	Due date of submission of plan to HPC	Actual date of submission of plan to HPC	Due date of approval by HPC	Actual date of approval by HPC	Delay in approval of plan
2011-12	15 th Jan. 2011	NA	Feb./March 2011	21 st July 2011	4 Months
2012-13	15 th Jan. 2012	23 rd July 2012	Feb./March 2012	11 th September 2012	5 Months
2013-14	15 th Jan. 2013	21 st June 2013	Feb./March 2013	5 th August 2013	4 Months
2014-15	15 th Jan. 2014	24 th July 2014	Feb./March 2014	1 st August 2014	4 Months
2015-16	15 th Jan. 2015	30 th April 2015	Feb./March 2015	22 nd June 2015	3 Months

(Source: Police Headquarter, Allahabad)

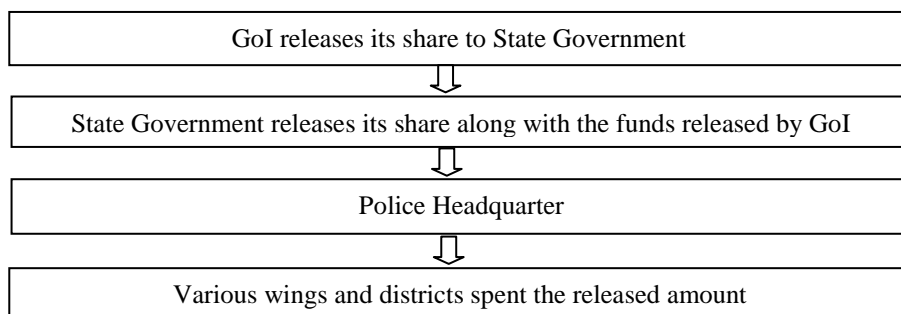
Appendix 2.2

Funding Pattern

(Reference: Paragraph 2.3)

The whole amount was routed through state budget under grant no. 26 except in the year of 2012-13 and 2013-14 when ₹ 7.36 crore and ₹ 117.38 crore of MPF Scheme related to construction works were released directly from GoI to Police Awas Nigam. Under MPF Scheme, GoI released funds to the state through electronic transfer. The state released the budget with its matching share to the department. As such budget allocation was combined in general budget of the state which included MPF budget also. releases under general budget and MPF Scheme were issued to PHQ separately. Budget under capital object head 14 for purchase of vehicles, 24 for purchase of equipment and 26 for building works was released to PHQ from where it was released to directorate level offices, district units and construction agencies. Budget for procurement of arms and ammunition under MPF Scheme was sent to ordnance factories by GoI directly for its share and by PHQ for state share and also in case of procurement under State general budget.

Under MPF Scheme, GoI releases funds to the State Government through electronic transfer and the State Government, with its matching state share, releases/allocates funds to the department. A fund flow chart under MPF Scheme is given below:



Appendix 2.3

Equipment approved during 2011-16 not procured

(Reference: Paragraph 2.3.2)

(₹ in lakh)

Name of Equipment	No.	Rate	Amount (in lakh)	Scheme Year
BP Helmet	275	0.10	27.50	2014-15
Holographic Shield	30	1.50	45.00	2013-14
Solar Water Heating System	18	9.50	171.00	2014-15
Cyber Forensic Training Lab Equipment (31 Items)	1	953.70	953.70	2013-14
Comparison Microscope	2	70.00	140.00	2013-14
GCMS Gas Chromatograph Mass	1	80.00	80.00	2013-14
Projectina Docobox Dragon	1	40.00	40.00	2013-14
Cellcom Software (Password Recovery Tool)	1	3.50	3.50	2013-14
Desktop Computerised (Modular Model)	1	11.00	11.00	2013-14
Shaking Water Bath	1	3.00	3.00	2013-14
Fuming Chamber	2	4.00	8.00	2014-15
Gas Liquid Chromatograph	1	25.00	25.00	2014-15
Semi Automatic Flesh Point	1	7.00	7.00	2014-15
X-Ray Florence Spectrometer	1	65.00	65.00	2014-15
Raman Spectrometer	1	85.00	85.00	2014-15
Equipment for new FSL Unit	3	100.00	300.00	2014-15
Electronic Balance	2	2.50	5.00	2014-15
Analyser	1	1.50	1.50	2013-14
Muffle Furnace with Accessories	2	0.80	1.60	2014-15
X-Ray Baggage Scanner	1	18.00	18.00	2014-15
Explosive Detector	7	14.00	98.00	2013-14
DFMD	20	0.30	6.00	NA
Central Monitoring System	1	60.00	60.00	NA
CCTV System	22	3.00	66.00	2014-15
Multifunctional Fax Machine	581	0.15	87.15	2013-14
Bus	1	25.00	25.00	2015-16
35 Seater Bus	4	15.00	60.00	2015-16
Mini Truck	2	10.00	20.00	2015-16
Truck	2	20.00	40.00	2015-16
Utility Vehicle	6	10.00	60.00	2015-16
32 Seater AC Bus	5	22.00	110.00	2015-16
30 Seater Bus	1	15.00	15.00	2015-16
Interceptor Vehicles	5	30.00	150.00	2015-16
Prison Van	2	14.00	28.00	2015-16
Highway Patrol Van	8	5.50	44.00	2015-16
Motorcycles	19	0.70	13.30	2015-16
Light Vehicles	61	7.00	427.00	2015-16
Heavy Vehicles	13	20.00	260.00	2015-16
UBGL	95	0.92	87.40	2015-16
Tear Gas Gun	1000	0.18	180.00	2015-16

Sniffer Rifle	11	4.54	49.94	2015-16
12 Bore Pump Action Gun	505	0.63	318.15	2015-16
MP5 Sub Machine Gun	115	1.82	209.30	2015-16
Chassis Identification Machine	5	55.00	275.00	2015-16
Chassis Identification Machine Infrastructure	5	12.50	62.50	2015-16
Computer	12	0.37	4.44	2015-16
Printer	22	0.42	9.13	2015-16
VHF Analogue Set with Accessories	46	0.65	29.90	2015-16
VHF Analogue/Mobile Set	500	0.30	150.00	2015-16
VHF Digital Set	300	0.45	135.00	2015-16
VHF Analogue Mobile Set	148	0.15	22.20	2015-16
Desktop Computer	20	0.70	14.00	2015-16
Photocopier	1	3.75	3.75	2015-16
Digital Visualiser	5	0.45	2.25	2015-16
Firing Simulator	1	90.50	90.50	2015-16
High Gas Mask	25	0.03	0.75	2015-16
Solar System	15	10.00	150.00	2015-16
Solar Lighting System	10	0.33	3.30	2015-16
FAX	1	0.25	0.25	2015-16
CCTV System	75	1.25	93.75	2015-16
LED Search Light	150	0.06	9.00	2015-16
Solar Light Panel	100	0.35	35.00	2015-16
Body Protector	1000	0.02	20.00	2015-16
Polycarbonate Shield	100	0.01	1.00	2015-16
Polycarbonate Lathi	500	0.01	6.00	2015-16
BP Jacket Level 3+	500	0.52	260.00	2015-16
BP Helmet	500	0.11	55.00	2015-16
Night Vision Binocular	50	0.35	17.50	2015-16
Generator 15 KVA	10	3.20	32.00	2015-16
Photocopier	10	1.30	13.00	2015-16
FAX	10	0.25	2.50	2015-16
Photocopier	4	1.60	6.40	2015-16
Desktop Computer	20	0.50	10.00	2015-16
Laser Printer	30	0.15	4.50	2015-16
Laptop	6	0.50	3.00	2015-16
Scanner	2	2.50	5.00	2015-16
LCD Projector	1	0.85	0.85	2015-16
FAX	4	0.17	0.68	2015-16
Water Cooler	5	1.00	5.00	2015-16
Smartboard	1	1.50	1.50	2015-16
Crime Scan Investigation Kit	50	0.20	10.00	2015-16
Night Vision Binocular	2	0.60	1.20	2015-16
Projector	1	1.30	1.30	2015-16
FAX	1	0.20	0.20	2015-16
Digital Voice Recorder	6	0.12	0.72	2015-16
First Aid Kit	9	0.02	0.18	2015-16
Desktop Computer with Accessories	8	0.50	4.00	2015-16
Laptop	4	0.60	2.40	2015-16

Appendix

Scanner	2	0.50	1.00	2015-16
LED Torch	10	0.01	0.05	2015-16
5 KVA Silent Generator	1	1.75	1.75	2015-16
Crime Scene Investigation Kit	5	0.20	1.00	2015-16
Fire Extinguisher	6	0.05	0.30	2015-16
Solar Lantern	10	0.03	0.30	2015-16
Dragon Light	10	0.05	0.50	2015-16
Refrigerator	2	0.40	0.80	2015-16
Back to Back Workstation Module	12	0.45	5.40	2015-16
Back to Back Linear Workstation Module	6	1.51	9.06	2015-16
4 Drodge LFC	40	0.22	8.80	2015-16
Task Wear with Arm	56	0.04	2.24	2015-16
Single Static Oneway Pushpull	2	0.14	0.28	2015-16
Single Last Oneway Pushpull	2	0.16	0.32	2015-16
Twin Mobile Oneway Pushpull	8	0.24	1.92	2015-16
Single Static Drive Cover Unit	1	0.29	0.29	2015-16
Single Light Drive Cover Unit 2 way	1	0.37	0.37	2015-16
Twin Mobile Drive Cover Unit 2 way	4	0.53	2.12	2015-16
Single Static Drive Cover Unit 3 way	1	0.40	0.40	2015-16
Single Light Drive Cover Unit 3 way	1	0.48	0.48	2015-16
Twin Mobile Drive Cover Unit 3 way	4	0.72	2.88	2015-16
Bulletproof West	35	0.13	4.55	2015-16
Bulletproof Helmet	35	0.11	3.68	2015-16
Portable Ladder	10	0.40	4.00	2015-16
XRY Mobile data extraction device	2	8.00	16.00	2015-16
Cellbrite UFED for Mobile	2	9.00	18.00	2015-16
Cellbrite UFED for PC	1	7.50	7.50	2015-16
Digital day & night vision Binocular with recording	6	1.50	9.00	2015-16
Intella Pro	1	6.00	6.00	2015-16
Porn Detection Stick	4	0.20	0.80	2015-16
Chat Stick	4	0.20	0.80	2015-16
Verba Centre (RMC)	1	35.00	35.00	2015-16
Blood Clotting Patch Kit	50	0.06	3.00	2015-16
Spotter Scoop	4	0.20	0.80	2015-16
Cell Site Recording	100	0.18	18.00	2015-16
See Through All Radar	2	90.50	181.00	2015-16
Mobile Data Recovery System Hardware	1	12.00	12.00	2015-16
Mobile Data Recovery System Software	1	12.00	12.00	2015-16
Voice Recognition Software	1	38.40	38.40	2015-16
Containerised Shooting Range	4	50.00	200.00	2015-16
Technical Engagement Regulator	1	180.00	180.00	2015-16
GPU Power Station for password recovery	1	12.00	12.00	2015-16
Password Recovery Kit Forensic	2	1.50	3.00	2015-16
Dazzler	16	1.00	16.00	2015-16
Laser Grip for Glock Pistol	40	0.35	14.00	2015-16
Door Buster	2	37.50	75.00	2015-16
Bullet Proof Vests	125	1.20	150.00	2015-16
Laptop	25	0.50	12.50	2015-16

Social Media Analysis Software	1	25.00	25.00	2015-16
CDR Analysis Tool	1	12.00	12.00	2015-16
Cyber Security Audit	1	8.00	8.00	2015-16
Taser X2	15	1.50	22.50	2015-16
Comb Binding Machine	1	0.19	0.19	2015-16
Multitasking Machine	2	0.20	0.40	2015-16
Loud Haler	425	0.05	21.25	2015-16
Search Light	150	0.02	3.40	2015-16
Body Protector	1000	0.02	16.60	2015-16
Polycarbonate Lathi	1000	0.00	2.24	2015-16
Shock Baton Defender	500	0.05	25.00	2015-16
Crime Scene Protection Kit	500	0.50	250.00	2015-16
Binocular with Night Vision	75	0.40	30.00	2015-16
X-Ray Baggage Machine	75	2.00	150.00	2015-16
Crime Investigation Kit	75	0.10	7.50	2015-16
BP Jacket	275	0.35	96.25	2015-16
DSMD	26	1.50	39.00	2015-16
Eye Protection Goggle	52	0.07	3.64	2015-16
Commando Torch	26	0.25	6.50	2015-16
Telescopic Manipulator	24	8.00	192.00	2015-16
Binocular	26	0.15	3.90	2015-16
HHMD	66	0.08	5.28	2015-16
Blasting Machine	33	5.00	165.00	2015-16
Binocular	32	0.15	4.80	2015-16
Sniffer Dog	60	0.50	30.00	2015-16
Sniffer Dog Accessories	66	0.20	13.20	2015-16
Light Vehicles	90	7.00	630.00	2015-16
Bus	10	20.00	200.00	2015-16
12 Bore Pump Action Gun	450	0.63	283.50	2015-16
MP5 Sub Machine Gun	154	1.82	280.28	2015-16
Vehicle Chassis Identification Machine	3	55.00	165.00	2015-16
Vehicle Chassis Identification Machine Infrastructure	3	12.50	37.50	2015-16
Computer	10	0.37	3.70	2015-16
UPS	22	0.04	0.78	2015-16
Windows 7 HP	12	0.08	0.90	2015-16
APABX 2 Line	1	0.90	0.90	2015-16
Desktop	5	0.45	2.25	2015-16
Laptop	2	0.37	0.74	2015-16
UPS	3	0.06	0.18	2015-16
Router	1	5.00	5.00	2015-16
Application Switch	1	2.00	2.00	2015-16
Firewall	1	10.00	10.00	2015-16
Passive Components	1	5.00	5.00	2015-16
VHF Static/Mobile Set	80	0.30	24.00	2015-16
CCTV System	25	6.00	150.00	2015-16
Digital Camera	1	1.20	1.20	2015-16
9" Galvanised Aerial Mast	40	1.00	40.00	2015-16
VHF Static Set with Accessories	5	0.65	3.25	2015-16

Appendix

VHF Analogue/Mobile Set	10	0.15	1.50	2015-16
VHF Handheld Set	10	0.35	3.50	2015-16
VHF Repeater Set	4	1.25	5.00	2015-16
Desktop Computer with Accessories	8	0.70	5.60	2015-16
Colour Printer Press	1	85.00	85.00	2015-16
Digital Photocopier	1	0.91	0.91	2015-16
Colour Digital Photocopy Machine	1	2.96	2.96	2015-16
Solar Lighting System	10	0.33	3.25	2015-16
Electra Duplo Machine	1	2.00	2.00	2015-16
Centrally Communication Sound System	2	6.00	12.00	2015-16
Fire Alarm System	2	2.50	5.00	2015-16
Electronic Surveillance Lab	1	2.65	2.65	2015-16
Public Address System	1	35.00	35.00	2015-16
Caller Mike	15	0.20	3.00	2015-16
Cyber Lab	1	10.00	10.00	2015-16
Cycling SP in 25 KG	4	0.35	1.40	2015-16
Twister Manually	2	0.06	0.12	2015-16
Electronic Vibrator Full Body	2	0.35	0.70	2015-16
Tummy Fit	2	0.09	0.18	2015-16
Photocopier	1	3.00	3.00	2015-16
DSMD	66	1.50	99.00	2015-16
Telescopic Mirror	25	0.05	1.25	2015-16
Search Light	28	0.05	1.40	2015-16
Under Vehicle Search Mirror	25	0.06	1.50	2015-16
Explosive Detector	26	15.00	390.00	2015-16
Portable X-Ray View System	26	16.00	416.00	2015-16
Sock Baton Defender	500	0.05	25.11	2015-16
Crime Scene Protection Kit	500	0.50	250.00	2015-16
Binocular with Night Vision	75	0.40	30.00	2015-16
X-Ray Baggage Machine	75	2.00	150.00	2015-16
Crime Investigation Kit	75	0.10	7.50	2015-16
BP Jacket	275	0.35	96.25	2015-16
HHMD	75	0.08	6.00	2015-16
DSMD	75	1.50	112.50	2015-16
BP Helmet	150	0.10	15.00	2015-16
BP Patka	150	0.02	3.00	2015-16
Video Camera	150	0.28	42.00	2015-16
Portable Inflatable Emergency Light	75	3.00	225.00	2015-16
Total	15,644	2,861.94	12,067.09	

(Source: Police Headquarter, Allahabad)

Appendix 3.1

Requirement of Revolvers /Pistol / Glock Pistols

(Reference: Paragraph 3.4)

As per new Policy					
Name of Post	Persons in position	allotment of arms (in per cent)	Necessity of arms	Availability of arms	Excess/ deficiency
Gazetted Officer	1,682	100	1,682	7,293	
Inspector	2,411	100	2,411	23,096	
Sub Inspector	9,437	100	9,437	506	
Head Constable	26,180	100	26,180	5,256	
Constable	1,00,909	30	30,679	128	
Distt. Reserve	2,01,452	5	10,072	19	
State Reserve			1,000	15	
Extra			0	101	
Total			81,461	36,414	45,047

(Source: Police Headquarter, Allahabad)

Appendix 3.2

Requirement of in Rifles category

(Reference: Paragraph 3.4)

As per new Policy					
Name of Post	Person in position	allotment of arms (in per cent)	Necessity of arms	Availability of arms	Excess/ deficiency
Constable CP	84,872	20	16,975	58,853	
Constable AP	16,037	100	16,037	7,343	
Constable PAC	20,838	100	20,838	32,229	
Head Constable PAC	5,658	100	5,658	23,543	
Battalion Reserve PAC	44,157	8	3,532		
State Reserve			2,000		
Total			65,040	121,968	(+) 56,928

(Source: Police Headquarter, Allahabad)

Appendix 3.3

Status of Outdated Rifles .303 being used at districts

(Reference: Paragraph 3.5)

Sl. No.	Name of District	No of .303 No. 1 Rifles	No. of .303 No. 4 Rifles	Total
1	Allahabad	1,620	318	1,938
2	Pratapgarh	506	243	749
3	Sitapur	754	78	832
4	Kushinagar	223	282	505
5	Deoria	615	169	784
6	Ghaziabad	792	0	792
7	Mathura	848	82	930
8	Mordabad	0	0	0
9	Jhansi	811	67	878
10	Kanpur Nagar	1,469	178	1,647
11	Meerut	1,233	115	1,348
12	Shahjahanpur	733	52	785
13	Lucknow	2,130	459	2,589
14	Sonbhadra	360	79	439
15	Agra	2,230	254	2,484
Total		14,324	2,376	16,700

(Source: Test Checked Districts)

Appendix 3.4

Manpower position in Central Reserve, Sitapur

(Reference: Paragraph 3.8.4)

Name of Post	2011		2012		2013		2014		2015		2016	
	SS	PIP	SS	PIP	SS	PIP	SS	PIP	SS	PIP	SS	PIP (%)
Reserve Inspector	2	2	2	2	2	2	2	2	2	2	2	1 (50)
Inspector Armorer	2	2	2	2	2	2	2	2	2	2	2	1 (50)
RSI	1	0	1	0	1	0	1	0	1	0	1	0 (00)
SIA	4	1	4	1	4	1	4	1	4	1	4	0 (00)
HCAR	4	3	4	3	4	2	4	1	4	1	4	1 (25)
CAR	16	12	16	13	16	14	16	9	16	9	16	9 (56)
HCAP	1	0	1	0	1	0	1	0	1	0	1	0 (00)
CAP	2	0	2	0	2	0	2	0	2	0	2	0 (00)
SIM	1	0	1	0	1	0	1	0	1	0	1	0 (00)
CDR	1	0	1	0	1	0	1	0	1	0	1	0 (00)
OP	1	0	1	0	1	0	1	0	1	0	1	0 (00)
PO	5	4	5	3	5	4	5	4	5	4	5	4 (80)
Total	40	24	40	24	40	25	40	19	40	19	40	16 (40)

(Source: Central Reserve, Sitapur)

Appendix 4.1

Target and achievement of communication wing during 2011-16

(Reference: Paragraph 4.3)

Particulars	2011-12		2012-13		2013-14		2014-15		2015-16		Total		Percentage of Shortfall
	T	A	T	A	T	A	T	A	T	A	T	A	
VHF Sets	1,332	5	6,377	395	2,819	583	635	3,022	1,319	715	12,482	4,720	62
VHF Handheld	11,157	0	4,266	594	4,326	1,013	4,200	3,401	3,808	1,271	27,757	6,279	77
VHF Repeaters	23	0	81	49	17	3	46	15	12	0	179	67	63
HF Sets	130	0	297	68	98	10	0	10	7	10	532	98	82
Programming Unit	27	0	46	0	25	1	31	25	31	23	160	49	69
9" Galvanised Aerial Mast	91	0	31	0	31	0	31	68	31	15	215	83	61
CAD	0	0	1	0	2	1	1	1	2	1	6	3	50
Digital Video Camera	1	0	1	0	0	0	0	1	0	0	2	1	50
Video Capturing Card	1	0	0	0	0	0	0	0	0	0	1	0	100
Video Cable RG 6	10,000	0	0	0	0	0	0	0	0	0	10,000	0	100
Data Cable	10,000	0	0	0	0	0	0	0	0	0	10,000	0	100
Video Cable RG 11	10,000	0	0	0	0	0	0	0	0	0	10,000	0	100
Solar Plant	30	0	10	0	11	0	10	0	11	0	72	0	100
Test Measuring Set	33	0	11	0	11	3	10	4	11	15	76	22	71
Installation of Hybrid Network	0	0	71	0	71	0	71	0	70	0	283	0	100
40 kva Generator	1	0	0	0	0	0	0	0	0	0	1	0	100
Air Conditioner	4	0	0	0	0	0	0	0	0	0	4	0	100
Computer	0	0	2	0	2	0	2	0	2	0	8	0	100
Photocopier	1	0	0	0	0	0	0	0	0	0	1	0	100
Accessories for Tower	3	0	0	0	0	0	0	0	0	0	3	0	100
Search Light	125	0	0	0	0	0	0	0	0	0	125	0	100
Low Loss Cables, Antenna, Connectors etc.	461	0	159	0	158	0	158	0	158	0	1,094	0	100
Barroks for Women	1	0	0	0	0	0	0	0	0	0	1	0	100
Photocopier (Radio Training)	1	0	0	0	0	0	0	0	0	0	1	0	100
Furniture (Radio Training)	4	0	2	0	2	0	0	0	0	0	8	0	100

Appendix

Test Measuring Set (Radio Training)	0	0	0	0	1	0	1	0	0	0	2	0	100
LMV	17	0	5	0	5	0	5	0	5	0	37	0	100
Motor Cycle	50	0	18	0	17	0	17	0	17	0	119	0	100
Radio Maint. Vehicle	5	0	1	0	0	0	0	0	0	0	6	0	100
Desktop (Office Automation)	12	0	10	0	0	0	0	0	0	0	22	0	100
Photocopier (Office Automation)	3	0	1	0	1	0	1	0	0	0	6	0	100
Residential House	0	0	0	0	4	0	4	0	4	0	12	0	100
Guest House	0	0	1	0	0	0	0	0	0	0	1	0	100
Boundary Wall	0	0	1	0	0	0	0	0	0	0	1	0	100
Tubewell	1	0	0	0	0	0	0	0	0	0	1	0	100
Sewer Line	1	0	0	0	0	0	0	0	0	0	1	0	100

(Source: Radio Headquarter, Lucknow)

T=Target; A=Achievement

Appendix 4.2

CCTV Cameras installed at test-checked districts

(Reference: Paragraph 4.12)

District	No. of Cameras installed	Functioning	Not functioning
Agra	20	15	5
Allahabad	55	42	13
Deoria	5	0	5
Ghaziabad	146	0	146
Jhansi	29	29	0
Kanpur	8	0	8
Kushinagar	12	0	12
Lucknow	242	238	4
Mathura	33	30	3
Meerut	11	0	11
Moradabad	10	8	2
Pratapgarh	66	38	28
Shahjahanpur	30	7	23
Sitapur	4	0	4
Sonebhadra	20	15	5
Total	691	422	269

(Source: Police Headquarter, Allahabad and test-checked districts)

Appendix 4.3

Table 23: Status of information of IIF-I to VII from 01.01.2013 to 31.03.2016

(Reference: Paragraph 4.16)

Sl. No.	District	FIR (IIF-I)	Crime Detail (IIF-II)	Arrest Memo (IIF-III)	Seizure Memo (IIF-IV)	Charge Sheet and Final Report (IIF-V)	IIF-VI	IIF-VII
1.	Agra	17,217	8,734	470	48	8,563	0	0
2.	Mathura	12,684	3,420	306	1	3,878	0	0
3.	Allahabad	15,098	2,987	978	53	3,206	0	0
4.	Pratapgarh	5,342	391	150	36	414	0	0
5.	Jhansi	8,205	4,113	221	95	4,014	0	0
6.	Kanpur	18,238	894	70	14	2,925	0	0
7.	Lucknow	28,418	1,163	94	11	325	0	0
8.	Sitapur	6,223	2,062	383	114	1,929	0	0
9.	Ghaziabad	15,841	6,364	1,075	328	7,880	0	0
10.	Meerut	14,163	2,315	198	0	1,263	0	0
11.	Sonebhadra	1,794	364	293	181	208	0	0
12.	Shahjahanpur	6,336	2,510	240	57	2,427	0	0
13.	Moradabad	20,061	6,956	1,436	151	3,812	0	0
14.	Deoria	4,307	1,349	61	3	624	0	0
15.	Kushinagar	7,351	2,969	612	266	3,095	0	0
	Total	1,81,278	46,591	6,587	1,358	44,563	0	0

(Source: ADG, Technical Services)

Appendix 5.1

Vehicles requirement and availability at District

(Reference: Paragraph 5.2)

Sl. No.	Make of vehicle	No. of vehicles as per BPR&D Norms	No. of District/ Thana/ Chauki	Requirement	Actual Availability	Shortage (in per cent)
1	Light vehicles for district headquarter	14	75	1,050	758	292 (28)
2	Light vehicles for Thana level	02	1,528	3,056	2526	530 (18)
3	Medium vehicles for district level	17	75	1,275	413	862 (68)
4	Heavy vehicles for district	07	75	525	417	108 (21)
5	Motor cycles district level	07	75	525	490	35 (7)
6	Motor cycles thana level	03	1,463	4,389	3182	1,207 (28)
	Motor cycles chauki level	02	303	606	502	104 (18)
Total				11,426	8288	3,138 (27)

(Source: Police Headquarter, Allahabad)

Appendix 5.2

Vehicles requirement and availability at PAC

(Reference: Paragraph 5.2)

Sl. No.	Make of vehicle	No. of vehicles required as per BPR&D norms	No. of Company/ Battalions	Requirement	Actual Availability	Shortage (in per cent)
1.	Heavy vehicles (Big Bus) for Company (Nine companies in one Battalion)	03	297	891	277	614 (70)
2.	Heavy vehicles (Big Truck) for Company (Nine companies in one Battalion)	01	297	297	717	
3.	Heavy vehicles (Water tanker) for Battalion	01	33	33	00	33 (100)
4.	Medium vehicles for Company (Nine companies in one Battalion)	01	297	297	73	224 (75)
5.	Light vehicles (Tata 407) for Battalion (Nine companies in one Battalion)	05	33	165	399	63 (14)
6.	Light vehicles (Tata 407) for Company (Nine companies in one Battalion)	01	297	297		
7.	Motor cycles for Battalion	04	33	132	36	96 (73)
Total				R	1,502	1,030 (49)

(Source: PAC Headquarter, Lucknow)

Appendix 5.3
Irrational deployment of vehicles
(Reference: Paragraph 5.3)

Sl. No.	Name of District	Number of vehicles Sanction	Availability	Shortage(+)/Excess(-)	Short/ Excess in %age
1.	Balrampur	80	43	37	46
2.	Jalaun	117	69	48	41
3.	Budaun	135	84	51	38
4.	Chandauli	139	87	52	37
5.	Siddharthnagar	113	71	42	37
6.	Rampur	126	82	44	35
7.	Baghpat	79	52	27	34
8.	Maharajganj	102	68	34	33
9.	Bijnor	126	89	37	29
10.	Saharanpur	181	128	53	29
11.	Kaushambi	84	60	24	29
12.	Rai Bareli	110	79	31	28
13.	Banda	119	86	33	28
14.	Bara Banki	139	101	38	27
15.	Farrukhabad	122	90	32	26
16.	Pilibhit	96	71	25	26
17.	Hamirpur	98	73	25	26
18.	Fatehpur	122	92	30	25
19.	Lalitpur	90	68	22	24
20.	Ghaziabad	505	384	121	24
21.	Kanpur Nagar	567	437	130	23
22.	Kushinagar	93	72	21	23
23.	Auraiya	109	85	24	22
24.	Jaunpur	153	121	32	21
25.	Aligarh	225	179	46	20
26.	Shrawasti	54	43	11	20
27.	Shahjahanpur	138	110	28	20
28.	Faizabad	148	118	30	20
29.	Ghazipur	172	139	33	19
30.	Etah	114	93	21	18
31.	Azamgarh	164	135	29	18
32.	Gautam Buddha Nagar	293	243	50	17
33.	Firozabad	155	129	26	17
34.	Bahraich	138	115	23	17
35.	Allahabad	407	345	62	15
36.	Moradabad	192	163	29	15
37.	Varanasi	378	321	57	15
38.	Lucknow	739	630	109	15
39.	Bareilly	223	191	32	14

Appendix

Sl. No.	Name of District	Number of vehicles Sanction	Availability	Shortage(+) /Excess(-)	Short/ Excess in %age
40.	Sant Kabir Nagar	73	63	10	14
41.	Sant Ravidas Nagar (Bhadohi)	73	63	10	14
42.	Ballia	132	116	16	12
43.	Kheri	132	117	15	11
44.	Agra	416	373	43	10
45.	Jhansi	167	150	17	10
46.	Mathura	187	169	18	10
47.	Basti	105	95	10	10
48.	Unnao	106	96	10	9
49.	Deoria	121	110	11	9
50.	Kanpur Dehat	113	103	10	9
51.	Bulandshahr	178	163	15	8
52.	Meerut	304	279	25	8
53.	Sitapur	142	131	11	8
54.	Ambedkar Nagar	101	94	7	7
55.	Chitrakoot	79	74	5	6
56.	Kannauj	95	90	5	5
57.	SonEbhadra	153	145	8	5
58.	Mau	79	75	4	5
59.	Shambhal	92	88	4	4
60.	Jyotiba Phule Nagar	75	72	3	4
61.	Hardoi	139	134	5	4
62.	Kaasganj	58	56	2	3
63.	Pratapgarh	122	118	4	3
64.	Mainpuri	111	108	3	3
65.	Mahamaya Nagar (Hathras)	74	72	2	3
66.	Sultanpur	122	121	1	1
67.	Etawah	185	185	0	0
68.	Gonda	106	106	0	0
69.	Mahoba	68	68	0	0
70.	Muzaffarnagar	194	198	-4	-2
71.	Gorakhpur	186	190	-4	-2
72.	Amethi	78	80	-2	-3
73.	Mirzapur	140	157	-17	-12
74.	Samli	58	70	-12	-21
75.	Hapur	56	75	-19	-34
Total		11765	9950	1815	

(Police Headquarter, Allahabad)

Appendix 5.4

Shortage of light vehicles at Police Stations against BPR&D Norms

(Reference: Paragraph 5.4)

Name of District	Rural				Urban			
	No. of PS	Requirement	Availability	Shortage	No. of PS	Requirement	Availability	Shortage
Jhansi	20	40	20	20 (50%)	6	18	6	12 (67%)
Lucknow	9	18	16	2 (11%)	34	102	68	34 (33%)
Sitapur	24	48	24	24 (50%)	2	6	2	4 (66%)
Pratapgarh	19	38	30	8 (21%)	2	6	3	3 (50%)
Allahabad	24	48	48	00 (00%)	15	45	25	20 (44%)
Kushinagar	16	32	12	20 (63%)	2	6	3	3 (50%)
Deoria	17	34	22	12 (35%)	2	6	3	3 (50%)
Ghaziabad	11	14	19	(+) 5	10	30	34	(+) 4
Mathura	10	20	9	11 (55%)	13	39	14	25 (64%)
Meerut	15	30	21	9 (30%)	17	51	22	29 (57%)
Shahjahanpur	20	40	23	17 (42%)	3	9	4	5 (55%)
Sonbhadra	22	44	48	(+) 4	0	0	0	0
Total	207	406	292		106	318	184	

(Source: Test checked Districts)

Appendix 5.5

Budget allotment, expenditure and surrender of Mobility during 2011-16

(Reference: Paragraph 5.5)

(₹ in lakh)

Year	Head of account	Allotment	Expenditure	Surrender
2011-12	(Modernization scheme) 4055-Non Plan	884.04	631.38	252.66
	(State Budget) 4055-Non Plan	4706.08	4530.58	175.50
2012-13	(Modernization scheme) 4055-Non Plan	1300.26	1298.86	1.40
	(State Budget) 4055-Non Plan	1785.39	1658.58	126.81
2013-14	(Modernization scheme) 4055-Non Plan	1549.93	1485.17	64.76
	(State Budget) 4055-Non Plan	5749.77	5397.84	351.93
	<i>State Contingency fund</i>	690.00	33.76	656.24
2014-15	(Modernization scheme) 4055-Non Plan	3499.35	3394.26	105.09
	(State Budget) 4055-Non Plan	3121.22	2827.11	294.11
	(State Budget) 2055-Non Plan	3657.73	3581.24	76.49
	<i>State Contingency fund</i>	80.00	79.95	0.05
2015-16	(State Budget) 4055-Non Plan	1888.57	1888.40	0.17
Total Modernization Scheme (Central Grant)		7233.58	6809.67	423.91
Total State Budget (State Grant)		21678.76	19997.46	1681.30
Grand Total		28912.34	26807.13	2105.21

(Source: Police Headquarter, Allahabad)

Appendix 5.6

Vehicles procured under MPF scheme and State Budget during 2011-16

(Reference: Paragraph 5.5)

S=Sanctioned, P=Procured

Year	Head	Heavy vehicle		Medium		Light Vehicle		Two-wheeler		Total	
		S	P	S	P	S	P	S	P	S	P
2011-12	(Modernization scheme) 4055-Non Plan	14	14	70	53	16	12	141	12	241	91
	(State Budget) 4055-Non Plan	108	108	38	38	460	460	170	170	776	776
2012-13	(Modernization scheme) 4055-Non Plan	8	8	41	41	93	93	452	452	594	594
	(State Budget) 4055-Non Plan	43	42	14	13	152	149	164	164	373	368
2013-14	(Modernization scheme) 4055-Non Plan	0	0	59	59	118	118	177	177	354	354
	(State Budget) 4055-Non Plan	86	78	31	31	495	495	1004	997	1616	1601
2014-15	(Modernization scheme) 4055-Non Plan	4	4	0	0	589	589	416	416	1009	1009
	(State Budget) 4055-Non Plan	46	46	2	0	205	205	249	249	502	500
	(State Budget) 2055-Non Plan	0	0	0	0	760	760	0	0	760	760
2015-16	(State Budget) 4055-Non Plan	41	41	1	1	268	268	4	4	314	314
Total		350	341	256	236	3,156	3,149	2,777	2,641	6,539	6,367

(Source: Police Headquarter, Allahabad)

Appendix 5.7**Detail of expenditure incurred on replacement of vehicles under Capital head**
(Reference: Paragraph 5.6)

(₹ in Crore)

Year	Amount Sanctioned for replacement of vehicle under capital head	Expenditure for replacement of vehicle under capital head
2011-12	45.91	44.28
2012-13	17.85	16.57
2013-14	57.50	53.98
2014-15	21.55	20.18
2015-16	18.89	18.88
Total	161.70	153.89

(Source: Police Headquarter Allahabad)

Appendix 5.8**Life completed vehicles in test checked districts as on March 2016**
(Reference: Paragraph 5.8)

Sl. No.	Name of district	Total no. of vehicle available			Details of vehicles completing their age			
		Heavy/ medium/ light	Motor cycle	Total	Heavy/ medium/ light	Motor cycle	Total	Percentage
1.	Mathura	94	82	176	35	27	62	35
2.	Moradabad	99	74	173	33	28	61	35
3.	Jhansi	79	43	122	37	23	60	49
4.	Kanpur Nagar	247	198	445	47	12	59	13
5.	Meerut	131	136	267	51	48	99	37
6.	Shahjahanpur	72	47	119	18	22	40	34
7.	Ghaziabad	183	206	389	56	50	106	27
8.	Allahabad	216	142	358	61	34	95	27
9.	Deoria	55	56	111	8	38	46	41
10.	Kushinagar	48	24	72	13	21	34	47
11.	Pratapgarh	70	48	118	35	2	37	31
12.	Sitapur	75	58	133	37	56	93	70
13.	Lucknow	338	292	630	120	43	163	26
14.	Sonebhadra	0	0	0	0	0	0	0
15.	Agra	0	0	0	0	0	0	0
Total				3,113			955	

(Source: Test checked Districts & PHQ, Allahabad)

Appendix 5.9
**Expenditure on POL and maintenance of the
vehicle in the test checked district**

(Reference: Paragraph 5.9)

Name of district	Year 2011-16	No. of Vehicles allotted for VIP Duties	Cost (₹ in lakh)
Allahabad	2011-16	20 to 28	320.73
Deoria	2011-16	6 to 12	2.49
Jhansi	2011-16	1 to 2	20.32
Kanpur Nagar	2011-16	132 to 316	309.94
Kushinagar	2012-16	2 to 3	30.62
Mathura	2011-16	6 to 10	191.19
Meerut	2011-16	2 to 3	44.92
Moradabad	2011-16	1	4.62
Pratapgarh	2011-16	8 to 28	3.64
Shahjahanpur	2011-16	2 to 3	27.45
Sitapur	2012-16	2 to 3	42.36
Sonebhadra	2011-16	4 to 6	4.98

(Source: Test checked District)

Appendix 6.1

Sections of Functional Forensic Science Laboratories

(Reference: Paragraph 6.1)

SI No.	Name of FSL	No. of sections in FSLs	Year of establishment	Name of sections
1	Lucknow	13	1969	Ballistic, Biology, Chemistry, Document, Physics, Serology, Toxicology Instrumental, DNA, Lie Detection, Computer Forensic, Medicolegal and Narco Analysis Section.
2	Agra	9	1979	Ballistic, Biology, Chemistry, Document, Physics, Serology, toxicology, Instrumental and Explosive Section.
3	Varanasi	5	2005	Biology, Chemistry, Document, Physics and Serology.
4	Ghaziabad	1	2015	Only toxicology section has been started since August 2015.

(Source: FSL Directorate)

Appendix 6.2

Progress of Regional Forensic Science laboratories as of April 2017

(Reference: Paragraph 6.2)

Sl. No.	Name of FSL	Name of executive agencies ¹	Sanctioned cost	Year of sanction	Due date of completion	Released amount	Year of released amount	expenditure	Physical progress (per cent)
1	Moradabad	PAN	3.68	2014-15	31.08.15	3.68	2014-15 & 2015-16	3.61	100
2	Ghaziabad	UPRNN	58.64	2015-16	31.03.17	23.46	2015-16	21.35	37
3	Allahabad	UPRNN	29.13	2016-17	31.12.17	8.00	2016-17	4.33	44
4	Jhansi	UPRNN	29.80	2016-17	31.12.17	8.00	2016-17	4.25	Plinth level
5	Gorakhpur	UPRNN	28.69	2016-17	31.12.17	8.00	2016-17	0.00	Stilt level

(Source: Police Headquarter, Allahabad)

Appendix 6.3

List of equipment not procured

(Reference: Paragraph 6.4)

Sl. No.	Plan year	Name of equipments	No. of equipment	Projected cost
1	2012-13	Tuneable light source in 20 field units	20	80.00
2	2012-13	Solar power based backup system	51	357.00
3	2014-15	Central temperature modulator system	01	48.00
4	2015-16	Vehicle chechis identification machine	07	385.00
5	2015-16	Infrastructure for vehicle chechis identification machine	07	87.50

(Source: Directorate, FSL)

¹ PAN-Police Avas Nigam;UPRNN-Uttar Pradesh Rajkey Nirman Nigam

Appendix 6.4

Major equipment not established due to late tendering process (since two years) and funds kept in PLA

(Reference: Paragraph 6.4)

(₹ in lakh)

Sl. No.	Name of equipments	Sanctioned cost
1	Comparison microscope with computer interface (2)	140.00
2	GCMS gas chromatograph mass spectrometer with gas generator	80.00
3	Projecteena docobox dagan	40.00
4	Alcom software password recovery tools	3.50
5	Desktop (modular model)	11.00
6	Fuming chamber	8.00
7	Gas liquid chromatograph with gas generator	25.00
8	Semi automatic flash point apparatus	7.00
9	XRF	65.00
10	Raman spectrometer	85.00
11	Electronic balance	5.00
12	Equipment for Ghaziabad, Kannauj and Moradabad	150.00
Total		619.50

(Source: Directorate, FSL, Lucknow)

Appendix 6.5

Staff position in FSLs in UP

(Reference: Paragraph 6.5)

Year	Name of Post	Sanctioned Post	Men-in-position	Shortfall
2012-13	Scientist Officer	40	34	06
	Sr. Scientist Assistant	62	61	01
	Scientist Assistant	98	24	74
	Lab Assistant	34	05	29
	Jr. Lab Assistant	00	00	00
	Total	234	124	110 (47% Shortfall)
2014-15	Scientist Officer	47	28	19
	Sr. Scientist Assistant	69	06	63
	Scientist Assistant	120	68	52
	Lab Assistant	34	18	16
	Jr. Lab Assistant	117	79	38
	Total	387	199	188 (49% Shortfall)
2015-16	Scientist Officer	110	06	104
	Sr. Scientist Assistant	143	60	83
	Scientist Assistant	220	63	157
	Lab Assistant	61	17	44
	Jr. Lab Assistant	161	59	102
	Total	622	205	490 (67% Shortfall)

(Source: Directorate, FSL, Lucknow)

Appendix 6.6

Pendency of Samples in Forensic Laboratories in UP

(Reference: Paragraph 6.6)

Calendar Year	Pendency of samples before commencement of year (O.B.)	Samples received during year	Pendency of sample	Samples examined during year	Pendency of samples at the end of year
2011	6,617	23,230	29,847	21,579	8,268
2012	8,268	21,637	29,905	18,379	11,526
2013	11,526	23,188	34,714	19,759	14,955
2014	14,955	22,636	37,591	21,823	15,768
2015	15,768	24,389	40,157	25,105	15,052
2016 (till March)	15,052	6,173	21,225	6,192	15,033

(Source: Directorate, FSL, Lucknow)

Appendix 6.7

Idle equipment of cybercrime zonal lab in FSL Agra

(Reference: Paragraph 6.8)

Sl. No.	Name of Appliances	No.
1	Desktop brand Dell (Model no. 3020MT)	1
2	Hard disc 1 Terabyte	1
3	Digital Camera Sony	1
4	Memory Card 16 GB	1
5	Multi Card Reader	1
6	Pen drive 16GB	4
7	Device Forensic Suit	1
8	Network Forensic Suit	1
9	Cyber check suit	1
10	UPS 1 KVA	1

(Source: FSL, Agra)

Appendix 7.1

Shortfall in the cadres of Physical and Infantry Training Instructor (PTIs/ITIs) in 5 test-checked training institutes

(Reference: Paragraph 7.4)

Year	Sanction Strength	Person in Position	Shortfalls (per cent)
2011-12	168	144	24 (14)
2012-13	168	133	35 (21)
2013-14	168	128	40 (24)
2014-15	168	111	57 (34)
2015-16	168	120	48 (29)

(Source: Directorate, Training)

Appendix 7.2

Year-wise trained trainees in test checked Training Institutes during 2011-15

(Reference: Paragraph 7.7)

Sl. No.	Name of Training Center	Capacity	Number of year-wise trained trainees				
			2011	2012	2013	2014	2015
1	Dr. BRAP Academy, Moradabad	340	1,275	734	836	1,723	1,204
2	Police Training College, Moradabad	600	973	1,744	191	1,227	960
3	Police Training School, Moradabad	400	890	875	205	870	359
4	Armed Police Training College, Sitapur	350	896	794	1,201	639	1,172
5	Police Training College, Sitapur	600	1,018	1,506	31	1,738	988
Total		2,290	7,063	7,665	4,477	8,211	6,698

(Source: Training Directorate and test checked training institutes/centres)

Appendix 8.1
**Required man power for Anti-Terrorist Squad, Commando Training School
and special training centre (CIAT)**
(Reference: Paragraph 8.1.4)

Sl. No.	Name of the Post	No. of persons required for ATS/CTS/CIAT	Post already sanctioned	Net requirement
1.	Inspector General	01	01	00
2.	Dy. Inspector General	02	01	01
3.	Senior Superintendent of Police	03	01	02
4.	Additional Superintendent of Police	06	04	02
5.	Deputy Superintendent of Police	16	09	07
6.	Prosecution Officer	01	01	00
7.	Inspector (Civil Police)	12	12	00
8.	Sub-Inspector (Civil Police)	56	36	20
9.	Head Constable (Civil Police)	47	12	35
10.	Constable (Civil Police)	163	90	73
11.	Inspector (M)	00	01	-01
12.	Sub Inspector (M) (PHQ cadre)	12	17	-05
13.	ASI (M) (PHQ cadre)	06	02	04
14.	RI (QM)	01	00	01
15.	SI (MT)	01	00	01
16.	HC (MT)	04	01	03
17.	HC (AP)	22	04	18
18.	Constable (AP)	84	12	72
19.	Constable (Driver)	105	25	80
20.	Urdu Translator	01	01	00
21.	Bengali Translator	01	01	00
22.	Junior Scientific Officer	02	02	00
23.	Head Constable (Proficient)	04	04	00
24.	Explosive Specialist	04	04	00
25.	Computer Operator	06	00	06
26.	SQM	01	00	01
27.	HC (AP) Magazine In-charge	01	00	01
28.	HC (AP) Kot In-charge	01	00	01
29.	HC Armourer	01	00	01
Total		564	241	323
<i>Technical Staff</i>				
30.	Orderly	73	22	51
31.	Ground man	05	00	05
32.	Electrician	02	00	02
33.	Carpenter	04	00	04
34.	Mali	01	00	01
35.	Daftari	01	00	01

Appendix

36.	Darjee	01	00	01
37.	Dhobi	36	00	36
38.	Naaee	20	00	20
39.	Mochi	03	00	03
40.	Safai Karmi	44	00	44
41.	Cook	110	00	110
42.	Plumber	01	00	01
43.	Painter	01	00	01
Total		302	22	280
<i>Hospital Staff</i>				
44.	Doctor	02	00	02
45.	Pharmacist	03	00	03
46.	Staff Nurse	03	00	03
47.	Ward Boy	08	00	08
48.	Safai Karmi	03	00	03
Total		19	0	19
<i>Wireless Staff</i>				
49.	Radio Inspector	01	00	01
50.	Radio Centre Officer	02	01	01
51.	Head Operator	04	00	04
Total		7	1	6
Grand Total		892	264	628

(Source: ATS Headquarter, Lucknow)

Appendix 8.2**Men-in-position against sanctioned strength in ATS***(Reference: Paragraph 8.1.4)*

Sl. No.	Post	Sanctioned Strength	Person in Position	Short/ Excess
1.	Inspector General	01	01	00
2.	Dy. Inspector General	01	00	01
3.	Senior Superintendent of Police	01	03	-02
4.	Additional Superintendent of Police	04	03	01
5.	Deputy Superintendent of Police	09	03	06
6.	Prosecution Officer	01	01	00
7.	Inspector	12	13	-01
8.	Sub-Inspector	36	19	17
9.	Head Constable (Civil Police)	12	21	-09
10.	Head Constable (Motor Transport)	01	01	00
11.	Head Constable (Armed Police)	04	09	-05
12.	Constable (Civil Police)	90	72	18
13.	Constable (Armed Police)	12	27	-15
14.	Constable (Driver)	25	21	04
15.	Head Clerk	01	00	01
16.	Stenographer	15	01	14
17.	Sub-Inspector (<i>Gopan</i>)	02	04	-02
18.	Sub-Inspector (M)	01	02	-01
19.	Assistant Sub-Inspector	01	01	00
20.	Urdu Translator	01	01	00
21.	Bengali Translator	01	00	01
22.	Radio Centre Officer	01	00	01
23.	Junior Scientific Officer	02	00	02
24.	Head Constable (Proficient)	04	00	04
25.	Explosive Specialist	04	00	04
26.	Orderly	22	14	08
Total		264	217	47

(Source: ATS Headquarter, Lucknow)

Appendix 8.3
Requirement of ammunition
(Reference: Paragraph 8.1.5)

Name of Arm	Year	Available number of arms	Demand of Ammunition	Ammunition provided	Difference in demand and supply	Remarks
AK-47	2010-11	176	68,400	68,400	0	
	2011-12	215	16,985	4,648	12,337	
	2012-13	210	31,523	6,057	25,466	
	2013-14	189	38,346	38,346	0	
	2014-15	165	7,284	7,284	0	
	2015-16	162	19,288	19,288	0	
9 mm pistol	2010-11	92	69,600	69,600	0	Ammunition almost not provided during 2011-16
	2011-12	215	7,920	00	7,920	
	2012-13	209	41,678	3,928	37,750	
	2013-14	184	54,664	00	54,664	
	2014-15	155	46,568	00	46,568	
	2015-16	148	39,544	00	39,544	
9 mm MP 5	2010-11	0	0	0	0	No ammunition provided
	2011-12	0	0	0	0	
	2012-13	0	0	0	0	
	2013-14	225	00	00	0	
	2014-15	213	14,204	00	14,204	
	2015-16	204	11,448	00	11,448	
.303 CTN LMG	2010-11	0	1,000	1,000	0	Ammunition provided without availability of weapon
	2011-12	0	00	00	0	
	2012-13	0	00	00	0	
	2013-14	0	00	00	0	
	2014-15	0	00	00	0	
	2015-16	0	00	00	0	
12 Bore PAG	2010-11	0	0	0	0	Ammunition provided in only 2014-15
	2011-12	05	0	0	0	
	2012-13	05	0	0	0	
	2013-14	05	0	0	0	
	2014-15	13	260	260	0	
	2015-16	13	00	00	0	
HE 36 hand grenade	2010-11	0	0	0	0	
	2011-12	0	0	0	0	
	2012-13	0	0	0	0	
	2013-14	0	0	0	0	
	2014-15	140	90	17	73	
	2015-16	140	73	73	0	

Stun grenade	2010-11	0	0	0	0	No ammunition provided
	2011-12	0	0	0	0	
	2012-13	0	0	0	0	
	2013-14	0	0	0	0	
	2014-15	140	90	00	90	
	2015-16	140	90	00	90	
UBGL	2010-11	0	0	0	0	No ammunition provided
	2011-12	0	0	0	0	
	2012-13	0	0	0	0	
	2013-14	09	0	0	0	
	2014-15	09	90	00	90	
	2015-16	09	90	00	90	

(Source: ATS Headquarter, Lucknow)

Appendix 8.4

Sanctioned Strength and Person in Position in PAC

(Reference: Paragraph 8.2.1)

Cadre	Sanctioned Strength	PIP in 11-12	Shortage (%)	PIP in 15-16	Shortage (%)
Gr. A Officers	47	35	12 (26)	42	5 (11)
Gr. B Officers (Gazetted)	147	76	71 (48)	57	90 (61)
Inspector	315	270	45 (14)	299	16 (05)
Sub Inspector	1,688	1,128	560 (33)	480	1,208 (72)
Head Constables	7,809	6,708	1,101 (14)	5,743	2,066 (26)
Constables	26,217	23,355	2,862 (11)	22,904	3,313 (13)
Ministerial Staff	606	617	-11 (00)	606	0 (0)
Others	263	217	46 (17)	184	79 (30)
Total	37,092	32,406	4,686 (13)	30,315	6,777 (18)

(Source: Directorate, PAC, Lucknow)

Appendix 8.5

Sanctioned no. and availability of vehicles in PAC Force

(Reference: Paragraph 8.2.3)

Vehicle	Sanctioned No.	Availability	Shortage
Tata Truck	819	689	130
Tata 407	40	37	3
Tata 207	274	265	9
Swaraj Majda	24	22	2
Gipsy Ambulance	32	31	1
Total	1,189	1,044	145

(Source: Directorate, PAC, Lucknow)

Appendix 8.6

Shortage of Arms in PAC Force

(Reference: Paragraph 8.2.5)

Sl. No.	Arms & Ammunition	Sanctioned no.	Availability	Shortage	Percentage of Shortage
1	5.56 mm Insas rifle	20,488	19,606	882	4
2	9 mm Carbine	2,118	1,599	519	25
3	MP5 Sub Machine Gun	251	143	108	43
4	5.56 Insas LMG	474	152	322	68
5	PMF	1,421	1,140	281	20
6	303 GF Rifle	1,124	798	326	29
7	Discharger Cup	1,088	820	268	25
8	Anti-Riot Gun	1,487	783	704	47
9	Tear Gas Gun	1,482	671	811	55
10	51 mm Mortar	198	87	111	56
11	2 mm Mortar	136	110	26	19
12	7.62 mm SLR DP	31	19	12	39
13	AK 47 Rifle	1,887	1,273	614	33
14	7.62 mm LMG	70	46	24	34
15	SPG SLR	659	587	72	11
16	Bannet 5.56 mm Insas	19,485	16,346	3,139	16
17	Bannet 7.62 mm SLR	11,287	2,573	8,714	77
18	Bannet AK 47	1,865	1,274	591	32
19	Filler SLR	8,770	2,981	5,789	66
20	Black Cartridge Nozzle	574	372	202	35
21	Monopart 5.56 mm Insas Brain Gun	243	52	191	79
22	Magazine Carbine	6,356	5,415	941	15
23	Magazine SLR	39,900	37,622	2,278	6
24	Magazine Insas	100,931	97,211	3,720	4
25	Magazine AK 47	7,056	5,098	1,958	28
26	Magazine 5.56 mm LMG	10,275	3,450	6,825	66
27	Magazine 7.62 mm LMG	1,900	919	981	52
28	Magazine mp 5 Gun LMG 9mm	430	190	240	56
29	Reflex Sight MP	138	111	27	20
30	Night vision	136	91	45	33
31	Passive Night vision	141	90	51	36

(Source: Directorate, PAC, Lucknow)

Appendix 8.7

Manpower position in STF

(Reference: Paragraph 8.3.1)

Year	Sanctioned Posts	Availability	Shortage	Percentage of Shortage
2011-12	471	244	227	48
2012-13	472	254	218	46
2013-14	472	224	248	53
2014-15	472	247	225	48
2015-16	472	234	238	50

(Source: Headquarter, STF, Lucknow)

Appendix 9.1

Deficiency in procurement of Equipment as per Perspective plan

(Reference: Paragraph 9.2)

Sl. No.	Name of equipment/ implementation	Quantity proposed in Annual plans (2011-16)	Year wise proposal sent to GoUP for purchase of equipment (In quantity) by the Traffic Directorate						Deficiency as per perspective plan
			11-12	12-13	13-14	14-15	15-16	Total	
1.	Speed radar with picture display facility & Video Printer	256	0	12	0	5	00	17	239 (93%)
2.	Hand held breath analyzer	1,159	200	33	0	30	0	263	893 (77%)
3.	Disaster management vehicle system with crane & other implements	72	0	0	0	0	0	0	72 (100%)
4.	Inter Ceptor Vehicle with other implements	94	0	0	0	0	00	0	94 (100%)
5.	Lifter crane	150	0	0	0	58	0	58	92 (61%)
6.	Ambulance with other implements	200	0	0	0	0	0	0	200 (100%)
7.	Challan system with mobile phone & printer	500	0	0	0	0	0	0	500 (100%)
8.	Centrally computerized challan and control system including hand held device computer with mini portable printer/chargeable battery	1,739	0	0	0	0	0	0	1,739 (100%)
9.	Desktop, computer, modem, UPS, printer, CPU/ scanner etc.	64	0	0	0	0	0	0	64 (100%)
10.	Bollard/ Traffic cones,	17,384	3,691	3,103	0	0	0	6,794	
11.	Establishment of solar power computerized traffic signals	For 72 districts	0	0	0	0	0	0	(100%)
12.	Reflective tapes	25,000 roll	0	0	0	0	0	0	(100%)
13.	Mobile barrier (Iron)	6,440	3,000	1,232+500+720	0	3,000+1,000	0	9,452	(+) 3,010
14.	Multipurpose safety bar torch	11,392	3,000	455	0	0	0	3,455	7,937 (70%)
15.	Mobile advertisement vehicle-Big	72	0	0	0	0	0	0	72 (100%)
16.	Traffic intelligence system (Modernized traffic control room & CC TV)	72	0	0	0	0	0	0	72 (100%)
17.	Mini Bus-35 seater	For 30 districts	0	0	0	0	0	0	30 (100%)
18.	Tata -207	For 30 districts	0	0	0	0	0	0	30 (100%)
19.	Multimedia projector	For 72 districts	100	0	0	0	0	100	(+) 28

Appendix

20.	Smoke meter (diesel)	53	100	0	0	0	0	100	(+)47
21.	Gas analyzer (petrol)	46	100	0	0	0	0	100	(+)54
22.	Noise meter	2,000	0	00	0	0	0	100	1900 (95%)
23.	Speed breaker (Plastic)/ Bump	10,000 meter	0	990 No.	0	0	0	990 No.	9010 (90%)
24.	Solar Cat-Eye	10,000	0	0	0	0	0	0	10000 (100%)
25.	Spring post	10,000	0	0	0	0	0	0	10000 (100%)
26.	Convex mirror	10,000	0	0	0	0	0	0	10000 (100%)
27.	Solar powered night blinker	10,000	0	0	0	0	0	0	10000 (100%)
Items not mentioned in perspective plan									
28.	Florescent plastic raincoat/ Tracksuit		3,600	1,509				5,109	
29.	Florescent Safety Jacket		2,500					2,500	
30.	Florescent Safety Belt		2,500					2,500	
31.	Florescent Safety Gloves		2,500					2,500	
32.	Gas Mask		3,600					3,600	
33.	Wheel Clamp		1,000	318				1,318	
34.	Traffic Booth/Eyeland			30				30	
35.	Public Address system			44				44	
36.	Solar delineator			1,025+88				1,113	
37.	Search light			68				68	
38.	Digital vedio camera			135				135	
39.	Loud Heller			153				153	
40.	Drone Camera					5	12	17	
41.	Vehicle for training					2		2	
42.	Body worn camera						100	100	

(Source: Traffic Directorate, Lucknow)

Appendix 10.1**Details showing total number of works sanctioned, completed and incomplete up to the end of the year 2015-16***(Reference: Paragraph 10.2)***(₹ in lakh)**

Year	Completed				Incomplete				Total			
	No. of works	Sanctioned cost	Released	Expenditure	No. of works	Sanctioned cost	Released	Expenditure	No. of works	Sanctioned cost	Released	Expenditure
1995-96	1	154.21	154.21	154.00	1	17.96	17.96	17.39	2	172.17	172.17	171.39
1998-99	1	22.32	22.32	22.32	5	111.88	111.88	107.32	6	134.20	134.20	129.64
2002-03	1	306.27	306.27	301.58	2	427.74	427.74	424.14	3	734.01	734.01	725.72
2003-04	2	236.11	236.11	236.01	1	5.36	5.36	4.25	3	241.47	241.47	240.26
2004-05	10	280.03	280.03	256.90	21	1,165.85	1,165.85	1,033.14	31	1,445.88	1,445.88	1290.04
2005-06	3	59.65	59.65	53.54	6	723.06	723.06	659.9	9	782.71	782.71	713.44
2006-07	4	426.41	426.41	414.21	8	497.75	497.75	423.61	12	924.16	924.16	837.82
2007-08	2	21.75	21.75	21.23	1	31.95	31.95	0	3	53.70	53.70	21.23
2008-09	7	775.45	775.45	727.04	1	74.01	74.01	48.27	8	849.46	849.46	775.31
2009-10	55	5,628.03	5,628.03	5,554.97	39	8,037.91	8,034.13	7,041.49	94	13,665.94	13,662.16	12,596.46
2010-11	34	5,383.03	5,383.03	5,332.81	21	5,342.22	5,342.22	4,134.02	55	10,725.25	10,725.25	9,466.83
2011-12	183	20242	20242	19,905.57	59	25,845.64	25,734.72	19,238.19	242	46,087.64	45,976.72	39,143.76
2012-13	60	10,387.32	10,387.32	10,232.54	27	6,989.67	6,314.55	4,166.90	87	17,376.99	16,701.87	14,399.44
2013-14	30	5,241.90	5,241.90	5,001.83	31	6,437.31	5,407.56	1,773.89	61	11,679.21	10,649.46	6,775.72
Total	393	49,164.48	49,164.48	48,214.55	223	55,708.31	53,888.74	39,072.51	616	1,04,872.79	1,03,053.22	87,287.06
2014-15	331	6,484.53	6,476.51	3,765.25	731	1,23,484.03	45,141.93	29,198.87	1,062	1,29,968.56	51,618.45	32,964.12
2015-16	0	0.00	0.00	0.00	390.00	57,220.45	30,910.38	27,667.38	390	57,220.45	30,910.38	27,667.38
G Total	724	55,649.01	55,641.00	51,979.80	1,344	2,36,412.80	1,29,941.10	95,938.76	2,068	2,92,061.80	1,85,582.05	147,918.56

(Source: Police Headquarter, Allahabad)

Appendix 10.2

Details showing date of signing MoU by the competent authority

(Reference: Paragraph 10.2.5)

(₹ in lakh)

Sl. No.	Name of Work	Sanction Date/ Date of award of work	Sanctioned Cost	Construction Agency	Amount Released		MoU date	Amount released before MoU (%)
					Date	Amount		
1.	Construction of building for strengthening of RTC Chunar, Mirzapur	22.09.2014	1225.14	PAN	22.09.2014	480.00	10.11.2015	960.00 (78)
					05.06.2013	480.00		
					15.01.2016	265.14		
					Total	1,225.14		
2.	Construction of various buildings at PTS Sultanpur	28.11.2014	1099.28	PAN	11.12.2014	400.00	Not signed	800.00 (73)
					04.01.2016	400.00		
					Total	800.00		
3.	Construction of various buildings at PTS Jalaun	21.10.2014	1082.95	PAN	30.10.2014	400.00	25.01.2016	1082.95 (100)
					07.07.2015	342.00		
					04.12.2015	340.95		
					Total	1,082.95		
4.	Construction of various buildings at PTS Sultanpur	25.03.2012	1029.47	UPPCL	01.05.2012	10.00	05.06.2012	10.00 (01)
					11.07.2012	205.88		
					26.03.2013	200.00		
					20.11.2013	250.00		
					04.06.2014	363.59		
					Total	1029.47		
5.	Construction of various buildings at PTS Sultanpur	31.03.2013	915.72	PAN	31.03.2013	200.00	05.08.2015	915.72 (100)
					01.01.2014	200.00		
					10.06.2014	281.80		
					10.02.2015	233.92		
					Total	915.72		
6.	Construction of official buildings at police academy Moradabad	11.11.2014	895.13	PAN	19.11.2014	400.00	Not signed	895.13 (100)
					04.01.2016	495.13		
					Total	895.13		
7.	Construction of residential buildings at police lines, Sant Kabir Nagar	07.03.2013	856.97	C&DS JLN	07.03.2013	170.00	Not signed	470.00 (55)
					08.07.2015	300.00		
					Total	470.00		
8.	Construction of various buildings at PTS Jalaun	23.08.2013	673.18	PAN	18.08.2013	224.39	30.07.2015	673.18 (100)
					09.07.2014	200.00		
					31.10.2014	248.79		
					Total	673.18		
9.	Construction of residential/other than residential buildings at Fire Station, Eidgah, Agra	25.10.2011	620.99	UPPCL	28.11.2011	150.42	28.01.2012	150.42 (24)
					11.03.2013	150.42		
					26.11.2013	185.42		
					04.02.2015	134.73		
					Total	620.99		

10.	Completion of residential building at 20 th PAC, Azamgarh	31.03.2005	1666.76	RNN	31.03.2005	1666.76	Not signed	1666.76 (100)
11.	Construction of barrack at Allahabad for Kumbh Mela	20.11.2012	510.96	PAN	20.11.2012	510.96	Not signed	510.96 (100)
12.	Construction of residential/other than residential buildings at Fire Station, Sadar, Hardoi	01.12.2010	490.41	UPPCL	05.01.2011	111.06	31.01.2011	111.06 (23)
					21.08.2011	222.13		
					13.02.2015	157.22		
					Total	490.41		
13.	Construction of residential buildings at police lines, Shrawasti	22.06.2009	483.36	C&DS JLN	22.06.2009	161.00	31.05.2010	161.00 (33)
					19.10.2010	160.00		
					18.08.2011	162.36		
					Total	483.36		
14.	Construction of other than residential buildings at police lines, Shrawasti	17.07.2009	481.09	UPPCL	17.07.2009	160.00	26.12.2009	160.00 (33)
					25.11.2010	100.00		
					02.11.2011	150.00		
					31.12.2013	71.09		
					Total	481.09		
15.	Construction of residential buildings at police lines, Kasganj	03.02.2015	474.16	A&VP	03.02.2015	186.00	Not signed	475.16 (100)
					06.10.2015	186.20		
					17.02.2016	102.96		
					Total	475.16		
16.	Construction of Administrative Building of PS Chakarghatta, Chandauli	05.11.2011	457.10	RNN	11.05.2011	100.00	17.08.2011	100.00 (22)
					05.06.2013	142.87		
					15.01.2016	214.23		
					Total	457.10		
17.	Construction of residential/ other than residential buildings at Fire Station, Saifae, Itawah	31.03.2013	447.99	UPPCL	20.04.2013	120.67	18.05.2013	120.67 (27)
					28.12.2013	100.00		
					07.07.2014	141.34		
					11.06.2015	85.98		
					Total	447.99		
18.	Construction of residential/ other than residential buildings at PS Mahewaghat, Kaushambi	09.01.2014	443.96	A&VP	09.01.2014	175.00	Not signed	443.96 (100)
					05.11.2014	135.00		
					22.07.2015	133.96		
					Total	443.96		
19.	Completion of other than residential building at 20 th PAC, Azamgarh	31.03.2005	1231.61	RNN	31.03.2005	1231.61	Not signed	1231.61 (100)
20.	Construction of residential/ other than residential buildings at Fire	23.12.2011	429.51	UPPCL	24.01.2012	52.55	02.03.2012	52.55 (12)
					13.04.2012	52.55		
					25.01.2013	105.10		
					20.12.2013	106.61		

Appendix

	Station, Dibai, Bulandshahr				13.02.2015	112.70		
					Total	429.51		
21.	Construction of other than residential buildings at new police lines, Kalli, Mohanlalganj, Lucknow	03.06.2011	412.60	C&DS JLN	03.06.2011	150.00	04.01.2013	412.60 (100)
					04.01.2012	100.00		
					03.05.2012	162.60		
					Total	412.60		
22.	Construction of other than residential buildings at RTC Meerut	14.11.2011	411.29	UPPCL	14.11.2011	376.88	Not signed	411.29 (100)
					15.01.2016	34.41		
					Total	411.29		
23.	Construction of residential/ other than residential buildings at Fire Station, Padrauna, Kushinagar	22.03.2010	411.09	A&VP	20.04.2010	84.37	Not signed	411.09 (100)
					11.01.2012	84.37		
					09.01.2014	84.38		
					16.05.2015	157.97		
					Total	411.09		
24.	Construction of residential/ other than residential buildings at Fire Station, Bilgram, Hardoi	01.12.2010	410.63	UPPCL	18.01.2011	97.53	18.01.2011	00 (00)
					21.08.2011	195.07		
					04.02.2015	118.03		
					Total	410.63		
25.	Construction of residential/ other than residential buildings at Fire Station, Golghar, Gorakhpur	31.03.2013	499.78	C&DS JLN	13.05.2013	151.48	10.07.2013	151.48 (30)
					04.06.2014	258.61		
					15.09.2014	89.69		
					Total	499.78		
26.	Construction of ATS commando training centre at Lucknow	28.06.2011	9649.11	RNN	27.08.2011	1,242.15	Not signed	9649.11 (100)
					19.03.2012	1,242.15		
					30.03.2013	2,000.00		
					22.01.2014	2,300.00		
					31.03.2015	2,864.81		
					Total	9,649.11		
27.	Construction of STF HQ building at Lucknow	28.06.2011	5663.08	RNN	14.09.2011	298.97	Not signed	4986.69 (88)
					19.03.2012	298.97		
					01.03.2013	800.00		
					01.02.2014	300.00		
					21.08.2014	300.00		
					17.01.2015	989.35		
					03.12.2015	2,000.00		
					Total	4,986.69		
Grand Total			32,973.32			31,612.28		27,013.99 (82)

(Source: MoU found attached in concerned work's file maintained in PHQ)

Appendix 10.3**Details showing number of works completed with cost overrun***(Reference: Paragraph 10.3)***(₹ in lakh)**

Year	No. of works	Sanctioned cost	Revised sanctioned cost	Cost overrun	Expenditure
2004-05	10	152.24	280.03	127.79	280.03
2006-07	1	128.90	147.89	18.99	147.89
2008-09	2	80.94	117.99	37.05	117.99
2009-10	35	2,600.04	3,455.94	855.9	3,455.94
2010-11	12	2,172.05	3,114.10	942.05	3,114.10
2011-12	56	6,426.45	7,789.07	1,362.62	7,789.07
2012-13	3	1,234.59	1,554.29	319.70	1,554.29
Total	119	12,795.21	16,459.31	3,664.10	16,459.31

*(Source: Police Headquarters, Allahabad)***Appendix 10.4****Details showing cost overrun sanctioned for incomplete works***(Reference: Paragraph 10.3)***(₹ in lakh)**

Year	No. of works	Sanctioned cost	Revised sanctioned cost	Cost overrun	Expenditure
1998-99	3	50.58	66.96	16.38	66.96
2002-03	1	196.68	228.58	31.90	228.58
2004-05	19	372.01	562.28	190.27	562.28
2005-06	4	161.46	221.61	60.15	221.61
2006-07	3	82.01	107.66	25.65	107.66
2009-10	25	4,022.35	6,005.53	1,983.18	6,005.53
2010-11	15	3,005.03	4,112.59	1,107.56	4,112.59
2011-12	41	14,936.59	22,041.14	7,104.55	22,041.14
2012-13	9	1,877.55	2,480.37	602.82	2,480.37
2013-14	1	270.32	335.30	64.98	335.30
2014-15	1	371.20	474.16	102.96	474.16
Grand Total	122	25,345.78	36,636.18	11,290.40	36,636.18

(Source: Police Headquarters, Allahabad)

Appendix 10.5

Details showing the progress of administrative building of police stations and police posts

(Reference: Paragraph 10.5.2)

(₹ in lakh)

Year	Total no. of works			Works completed			Works in progress			Work not started/ zero expenditure		
	No.	Sanctioned cost	Expenditure	No.	Sanctioned cost	Expenditure	No.	Sanctioned cost	Expenditure	No.	Sanctioned cost	Released
2003-04	1	5.36	4.25	0	0	0	1	5.36	4.25	0	0	0
2004-05	8	218.20	177.52	4	108.4	90.09	4	109.80	87.43	0	0	0
2007-08	1	31.95	0.00	0	0	0	0	0	0	1	31.95	0
2009-10	9	521.06	389.55	8	313.7	270.55	1	207.36	119.00	0	0	0
2010-11	9	2,257.57	1,637.92	4	559.21	553.63	5	1,698.36	1,084.29	0	0	0
2011-12	26	3,294.99	2,867.16	16	1,829.25	1,821.72	10	1,465.74	1,045.44	0	0	0
2012-13	16	2,966.46	2,066.22	12	1,925.10	1,874.21	3	784.40	192.01	1	256.96	0.00
2013-14	13	3,027.18	1,222.36	6	1,180.72	1,160.78	3	658.91	61.58	4	1,187.55	0.00
2014-15	16	3,226.86	590.62	0	0	0	6	1,616.55	590.62	10	1,610.31	0.00
Total	99	15,549.63	8,955.60	50	5,916.38	5,770.98	33	6,546.48	3,184.62	16	3,086.77	0.0
2015-16	8	1,275.90	226.95	0	0	0	0	0	0	8	1,275.90	226.95
Total	107	16,825.53	9,182.55	50	5,916.38	5,770.98	33	6,546.48	3,184.62	24	4,362.67	226.95

(Source: Police Headquarters, Allahabad)

Appendix 10.6

Details showing the progress of barracks

(Reference: Paragraph 10.6)

(₹ in lakh)

Year	Total Works				Completed				Incomplete				Works with zero progress			
	No.	Sanctioned	Released	Expenditure	No.	Sanctioned	Released	Expenditure	No.	Sanctioned	Released	Expenditure	No.	Sanctioned	Released	Exp.
2003-04	1	165.36	165.36	165.36	1	165.36	165.36	165.36	0	0	0	0	0	0	0	0
2005-06	2	191.88	191.88	136.67	0	0	0	0	2	191.88	191.88	136.67	0	0	0	0
2009-10	2	1574.62	1574.62	1485.35	1	133.10	133.10	133.10	1	1441.52	1441.52	1352.25	0	0	0	0
2010-11	5	465.25	465.25	455.18	4	322.15	322.15	321.68	1	143.1	143.1	133.5	0	0	0	0
2011-12	132	11105.37	11105.37	10454.11	108	8345.03	8345.03	8313.84	24	2760.34	2760.34	2140.27	0	0	0	0
2012-13	10	2493.02	2493.02	2138.57	8	1965.53	1965.53	1947.18	2	527.49	527.49	191.39	0	0	0	0
2013-14	6	1341.50	1292.59	1172.16	4	799.73	799.73	781.88	1	443.96	443.96	390.28	1	97.81	48.9	0
2014-15	91	3224.95	3224.95	385.50	4	137.54	137.54	136.77	3	570.65	570.65	248.73	84	2516.76	2516.76	0
2015-16	66	2812.49	2115.67	0.00	0	0	0	0	0	0	0	0	66	2812.487	2115.667	0
Grand Total	315	23374.44	22628.71	16392.90	130	11868.44	11868.44	11799.81	34	6078.94	6078.94	4593.09	151	5427.057	4681.327	0

(Source: Police Headquarter, Allahabad)

Appendix 10.7**Details showing total requirement of residences and barracks***(Reference: Paragraph 10.7.1)*

Sl. No.	Designation	Sanctioned strength	Eligibility (per cent)	No. of residences			Shortage (per cent)	Required fund to construct (₹ in lakh)
				Requirement	Available	Shortage		
Requirement of residential buildings								
1	Group IV employee	14,187	100	14,187	8,654	5533		1,327.92
2	Constable	1,31,436	50	65,718	40,885	24,833		5,959.92
Total		1,45,623		79,905	49,539	30,366	38	7,287.84
3	Head constable (CP)	15,905	100	15,905	5,393	10,512		2,522.88
4	Head constable (AP)	12,625	75	9,469	2,746	6,723		1,613.52
5	Assistant Sub-Inspector (M)	2,427	100	2,427	704	1,723		413.52
Total		30,957		27,801	8,843	18,958	68	4,549.92
6	Sub-Inspector	14,292	100	14,292	6,443	7,849		2,197.72
7	Sub Inspector (M)	1,732	100	1,732	745	987		276.36
8	Inspector	2,268	100	2,268	975	1,293		362.04
Total		18,292		18,292	8,163	10,129	55	2,836.12
Total residences		1,94,872		125,998	66,545	59,453	48	14,673.88
Requirement of Barracks								
9	Constable AP/CP	1,31,436	50	65,718	48,710	17,008		340.16
10	Head constable AP	12,625	25	3,156	1,905	1,251		25.02
Total		1,44,061		68,874	50,615	18,259	26	365.18
Total residences and barracks		1,94,872		1,94,872	1,17,160	77,712	40	15,039.06

(Source: information provided by police headquarter)

Appendix 10.8**Availability of residences at test-checked districts***(Reference: Paragraph 10.7.2)*

District	Inspector/Sub-Inspector		Head Constable		Constable		Total	
	PIP	No. of houses	PIP	No. of houses	PIP	No. of houses	PIP	No. of houses
Agra	309	118	284	97	3,466	559	4,059	774
Allahabad	302	96	420	38	3,360	272	4,082	406
Deoria	120	27	163	27	727	142	1,010	196
Ghaziabad	256	31	456	135	3,231	114	3,943	280
Jhansi	169	39	202	41	1,269	140	1,640	220
Kanpur	444	89	768	111	3,601	413	4,813	613
Kushinagar	145	38	202	27	636	115	983	180
Lucknow	663	200	1046	193	5,401	776	7,110	1169
Mathura	270	68	405	45	2,013	236	2,688	349
Meerut	228	90	275	85	1,949	213	2,452	388
Moradabad	329	65	287	54	2,176	114	2,792	233
Pratapgarh	178	32	240	37	1,058	174	1,476	243
Shahjahanpur	198	55	311	27	1,217	129	1,726	211
Sitapur	206	57	263	33	1,111	206	1,580	296
Sonebhadra	107	48	312	19	1,234	104	1,653	171
Total	3,924	1,053	5,634	969	32,449	3,707	42,007	5,729

(Source: Police Headquarter and Test-checked districts)

Appendix 10.9**Availability of residences at test-checked Police Stations***(Reference: Paragraph 10.7.2)*

Name of PS	District	Inspector		Sub-Inspector		Head Constable		Constable		Total	
		PIP	No. of houses	PIP	No. of houses	PIP	No. of houses	PIP	No. of houses	PIP	No. of houses
Kotwali	Shahjahanpur	1	1	11	0	8	0	65	0	85	1
Jalalabad	Shahjahanpur	1	1	7	2	4	0	33	6	45	9
Sadar	Shahjahanpur	1	1	14	0	17	1	70	2	102	4
Sarojininagar	Lucknow	0	0	10	0	11	0	63	0	84	0
Saadatganj	Lucknow	0	0	15	0	10	0	72	0	97	0
Gosaiganj	Lucknow	1	0	11	0	11	0	62	4	85	4
Malihabad	Lucknow	1	1	8	2	0	1	47	0	56	4
Raksa	Jhansi	1	1	3	0	2	1	13	7	19	9
Kotwali	Jhansi	1	1	8	3	7	4	67	18	83	26
Badagaon	Jhansi	1	1	4	1	5	0	19	8	29	10
Mahila PS	Jhansi	0	0	1	0	0	0	20	0	21	0
Kotwali	Kanpur	1	1	9	4	11	5	42	19	63	29
Bithur	Kanpur	1	1	11	3	5	1	49	23	66	28
Maharajpur	Kanpur	0	0	9	3	8	0	52	0	69	3
Kubersthan	Kushinagar	0	0	5	1	10	1	33	0	48	2
Kotwali	Kushinagar	1	0	11	0	12	0	72	8	96	8
Nibua Naurangia	Kushinagar	0	0	8	1	6	5	40	5	54	11
Khadda	Kushinagar	0	0	5	1	4	0	33	0	42	1
Bankata	Deoria	0	0	3	2	8	1	28	10	39	13
Kotwali	Deoria	1	1	15	4	11	2	65	22	92	29
Barhaj	Deoria	1	1	6	0	8	1	33	4	48	6
Rampur Karkhana	Deoria	0	0	6	4	6	1	38	5	50	10
Kohraur	Pratapgarh	0	0	5	0	2	0	18	0	25	0
Jethwara	Pratapgarh	1	1	5	1	3	0	20	4	29	6
Baghrai	Pratapgarh	1	0	6	2	5	1	24	7	36	10
Kamlapur	Sitapur	1	1	7	2	4	1	14	7	26	11
Kotwali	Sitapur	1	1	13	4	9	4	43	20	66	29
Machrehta	Sitapur	1	1	3	2	5	1	15	7	24	11
Saidabad	Sitapur	1	1	6	3	11	1	39	9	57	14
Jhansi	Allahabad	1	0	5	0	4	0	38	0	48	0
Mahila Thana	Allahabad	0	0	1	0	8	0	17	0	26	0
Sadar	Meerut	1	1	8	9	10	3	49	20	68	33

Appendix

Rohata	Meerut	0	0	01	0	12	0	20	0	33	0
Nauchandi	Meerut	01	01	07	05	13	06	64	12	85	24
Jani	Meerut	01	01	07	03	16	07	52	0	76	11
Ghorawal	Sonebhadra	01	01	03	01	17	0	26	08	47	10
Pannu Ganj	Sonebhadra	01	01	02	03	11	02	24	06	38	12
Chopan	Sonebhadra	01	01	06	08	17	12	65	21	89	42
Kotawali,	Sonebhadra	01	01	10	01	12	08	63	28	86	38
Khora	Ghaziabad	0	0	06	0	07	0	68	0	81	0
Niwari	Ghaziabad	01	0	05	0	11	0	60	0	77	0
Murad Nagar	Ghaziabad	01	0	16	03	16	02	106	15	139	20
Sahibabad	Ghaziabad	0	0	18	0	19	02	188	15	225	17
Paryatan	Agra	01	0	02	0	04	0	26	0	33	0
Sadar Bazar	Agra	01	01	13	19	16	05	84	62	114	87
Malpura	Agra	01	01	03	0	05	03	42	16	51	20
Fatehpur Sikri	Agra	01	01	04	03	05	0	48	10	58	14
Govind Nagar	Mathura	0	0	09	10	10	10	54	30	73	50
Raya	Mathura	01	01	07	04	10	0	38	14	56	19
Farah	Mathura	0	0	09	01	08	01	40	08	57	10
Yamunapar	Mathura	01	01	07	0	08	06	55	35	71	42
Kotwali	Moradabad	01	01	13	01	09	09	55	04	78	15
Bilari	Moradabad	01	01	15	0	17	04	69	12	102	17
Kunderki	Moradabad	01	0	11	0	08	05	48	40	68	45
Pakwara	Moradabad	01	01	10	01	12	0	65	0	88	2
Total										3,604	817

(Source: Test-checked police stations)

