

## Chapter 1

# Introduction



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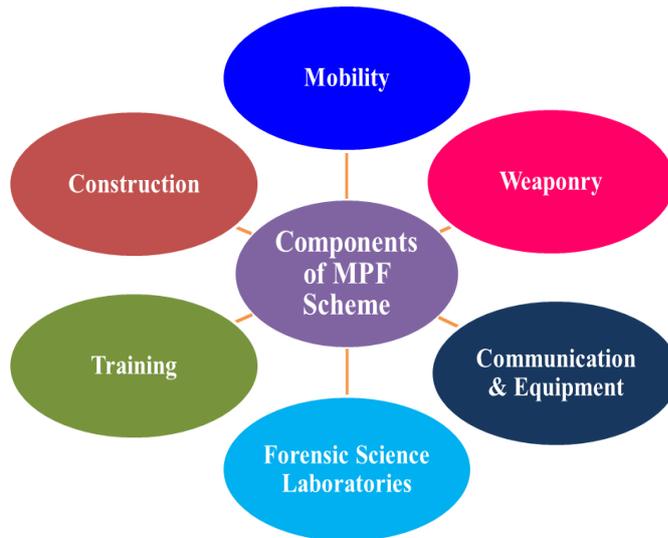
## Introduction

### 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in the State is high and the State Police was still using obsolete weapons such as lathis, 303 bore rifles etc., and outdated technologies even after decades have passed since the introduction of scheme of modernisation of police forces.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 districts<sup>1</sup> and 60 police stations (four in each selected district) were selected for test check at field level using appropriate sampling method<sup>2</sup>.

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.

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

<sup>2</sup> Probability Proportional to Size Without Replacement.