

ANNEXURE A

FORMAT FOR THE ANNUAL ACTION PLAN (AAP)

- Introduction/ Background
- Major achievements in the last financial year (2010-11)
- Objectives of 2011-12
- The priorities and thrust areas for 2011-12 will include the following:
 1. Component 1
 - a. Chapter 1: Component 1
 - i. Component 1.1
- Overview of the present status
- Strategies
- Gap Analysis and Physical and Financial targets

Achievement in Previous Years and Targets proposed for New Year (Table 1)

Sl. No	Component	Activity	Achieved in current year up to Dec	Target for Next year
1				
2				
3				
4				

Implementation Plan of Component 1 and so on in (Table 2)

Component	Activity	Process	Agency	Time frame (Quarter/Sem ester/Year)	Budget (in lacs)

Budget utilization status (Rs. In Lakhs) up to 31st December in Current Financial Year

(Table 3)

Sl No	Component	Allocation	Expenditure	Percentage

Budget for Previous Activities to be continued in the Next Year

(Table 4)

YEAR -		
Component	Activity	Total
YEAR -		
Component	Activity	Total
Grand Total		

Budget Summary for Activities in the Next Year

(Table 5)

Component	Activity	Total
Grand Total		

Detailed Budget for each of the Component for the year:
(Table 6)

No.	Component	Activity	Number	Unit cost in Rs.	Total cost in lakhs
1					
2					
3					
4					
5					
6					
7					
8					
				Total	

PROCUREMENT PLAN

Summary Plan under each Component and Activity:
(Table 7)

Sl no.	Name of item	Force level availability (col 4+5)	Deficiency (col 3-6)	Quantity to be procured for 20__-__	Last purchase price/ unit price	Total financial implications	Source of budget	Status of procurement	Method of procurement	Delivery period	Priority (i/ii/iii)	Remarks
	1	2	3	4	5	6	7	8	9	10	11	12
1												
2												
3												
4												
5												
6												

Status of procurement - procurement already started & if so the stage or yet to start

Method of procurement - could be either DGS&D, single tender enquiry, open tender (local suppliers/ global supplier)

Priority - immediate & vital necessity is i, urgent is ii and need to be procured thro' regular procurement process within the year

Detailed Procurement Plan:

Chapter 2: Programme Management

- Current status
- Performance of Governing Structures'
- Programme Monitoring Activities Description

Chapter 3: Procurement

Proposed Procurement (including tendering for works) Plan: (Table 8)

No.	Component	Activity	Items Description	Number	Agency	Est. Cost (Rs. In Lakhs)	Remarks (Proposed Mode/ Methods of procurement)	Timeline (Quarter/Semester/Year)
1.								
2.								
3.								
4.								
5.								
6.								
7.								
8.								

Total Budget for Procurement =

Chapter 4: Budget

During the current year, a budget provision of Rs. _____ lakhs was provided to the State with ____% enhancement. However, considering various activities, infrastructural developments, transport etc, the overall budget for _____ has been escalated to Rs. _____ lakhs.

BUDGET FOR YEAR 20__ - 20__ (Table 9)

No.	Component	Activity	Nos	Unit Cost	Cost	Timeline (Quarter/Semester/Year)
1						
2						
3						
		Total				

PROGRAMME COMPONENTS		TOTAL (RUPEES IN LAKHS)
Component 1: (Activity-wise)		
	PREVIOUS YEAR (S) ACTIVITIES:	
Sub total		
Component 2:		
	PREVIOUS YEAR (S) ACTIVITIES:	
Sub total		
Component 3:		
	PREVIOUS YEAR (S) ACTIVITIES:	
Sub total		
Component 4:		
	PREVIOUS YEAR (S) ACTIVITIES:	
Sub total		
Grand total		
(Rupees Only)		

**ACTIVITIES UNDER EACH COMPONENT FOR MODERNIZATION OF STATE
POLICE FORCES**

Sl.No.	Components	Items
1.	Construction of Non-residential buildings	Police Stations, Outposts, District Police Office, Barracks, Police lines, Kennels, Firing range, Administrative blocks, Other police buildings
2.	Construction of residential buildings	Quarters for Lower (Constables & Head Constables) and Upper subordinates (Inspectors, Sub-Inspectors and Asst. Sub-Inspectors)
3.	Mobility	Heavy vehicles, medium vehicles, light vehicles, two wheelers, mine proof vehicles, riot control vehicles, ambulances, water cannons, water tankers, mobile forensic vehicles, vans, Bullet proof vehicles, Mini bus
4.	Weaponry / Arms	9 mm pistols, 9 mm carbines, 7.62 SLRs, INSAS rifles, AK-47 rifles, MP-5 pistols, Tear gas guns, Under Barrel Grenade Launchers, 7.62 Assault rifles, AK-47, sniper rifles, 51 mm mortars, automatic grenade launchers, Glock Pistols – 19, 5.56 mm Insas LMGs, Anti-riot guns, Night Vision Sight for Rifles
5.	Police Equipment	<p>Security Equipment: Bomb disposal kits, Door Frame Metal Detectors (DFMDs), Hand Held Metal Detectors (HHMDs), Deep Search Metal / Mine Detectors, Closed Circuit Television & Motion Sensor, X Ray Baggage Scanners, Video Cameras, Digital Cameras, Night Vision Devices, Explosive Detectors, Mine Sweepers, Portable Jammers / Jammer vehicle based, Blasting machines, Jamming devices, Dragon lights, GPS, Prodders, Explosive detector, NLJDs, Bomb suit, bomb basket, bomb blanket, GPS, inflatable tower light, Sat phones, cell jammers, vehicle mounted jammers, video recorders, video cameras, button camera, Under vehicle search mirror, baggage x-ray scanner, wire and cable detector, Save me quick GSM audio cell, sun glass DVR, Pen DVR, Snake camera recorder, digital voice recorder</p> <p>Traffic Control Equipment: Movable barricades, Flashing lights, Traffic cones, Florescent jackets, Reflective Hand Gloves, Speed</p>

Sl.No.	Components	Items
		Radar Guns, Alco-sensors, breath analysers General Policing Equipment: Vajra, Water Cannons, Poly carbonate shields, Modern lathis, Body protection and shin guards, Helmets, Mega Phones, Search (Dragon) Lights, BP Jackets CID Equipment: Finger Print Matching Machines, Finger print development kits Office Equipment & Automation: Fax, photocopiers, telephones.
6.	Communication Equipment	Static set (HF/UHF), Static sets (VHF) and Mobile sets (Hand held) UHF repeaters, Tetra hand held sets, PA system
7.	Training Infrastructure	Construction of buildings for training schools, firing range. Training gadgets like firing simulators, forensic training labs, gymnasiums, computer labs, swimming pools, auditoriums, amphitheatres, assault, obstacle courses, modern training class rooms with audio visual facilities
8.	Equipment for Special Branches / Intelligence gathering	Bugging and debugging devices, Portable X-ray scanner, Voice loggers, minute sound hearing transmitter, GSM interceptors
9.	Upgradation of Anti-Corruption Bureau	Equipment as required.
10.	Home Guards	Equipments under mobility, training, security equipments are generally included under this component.
11.	FSL facilities	Buildings for State Forensic Science Laboratories, Regional Forensic Science Laboratories, District Forensic Science Laboratories, Specialized laboratories like DNA, Cyber cells etc. Forensic Science equipments for DNA labs, brain mapping facilities, Polygraph machine, Automatic Fingerprint Identification System, cyber labs
12.	Mega City Policing	Items under mobility, security, surveillance, communication equipments etc. are included under the Mega City Policing component.

ANNEXURE B

STRATEGIC PLANNING FOR STATES ON MODERNISATION OF POLICE FORCE (MPF)

BACKGROUND

Section 40 of the Model Police Act circulated by the MHA directs that a strategic plan would be developed by the States. The Strategic Plan drives all these other plans by articulating basic concepts of vision, mission, goals, objectives and activities. Strategic planning determines where an organization is going over the next several years, how it's going to get there and how it'll know if it got there or not. The plan includes specific products that will direct the State's Police Directorates activities and services can be greatly enhanced by developing clear vision and mission statements, objectives, comprehensive strategies, and detailed action plans.. Even though plans may have previously developed vision and objectives, the planning process provides an opportunity for the officers of the Directorate and other partners to establish a common language and involvement in the policing system. Strategic planning has been defined as a deliberate set of steps that

- assesses needs and resources;
- defines a target audience and a set of goals and objectives;
- plans and designs coordinated strategies with evidence of success;
- logically connects these strategies to needs, assets, and desired outcomes; and
- measures and evaluates the process and outcomes.

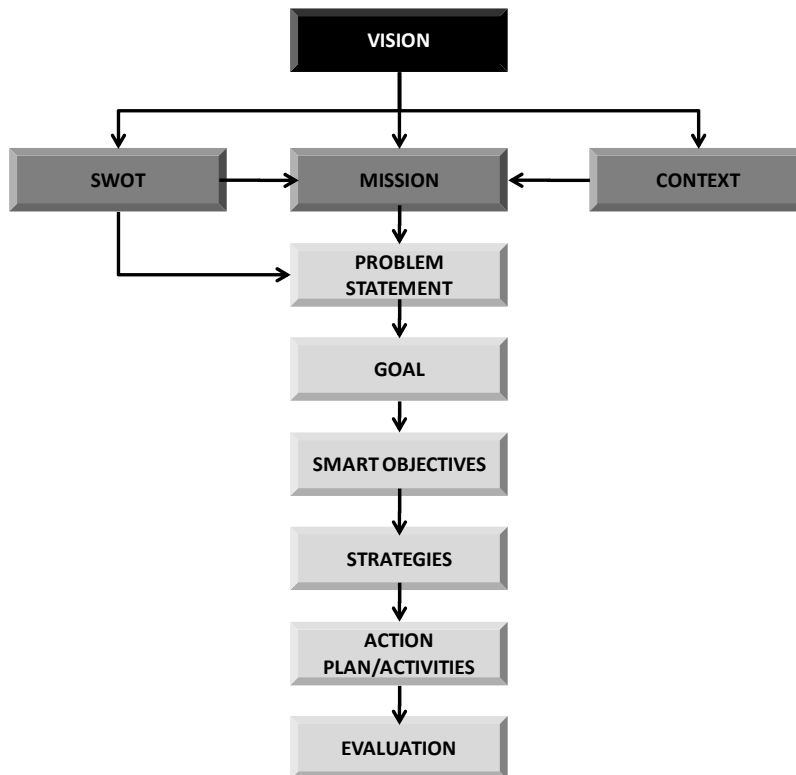
STRATEGIC PLANNING

There are a variety of ways to approach strategic planning. The way that a strategic plan is developed depends on the nature of the leadership, culture, complexity of the organization's

environment, size, expertise of planners, etc. Similarly, the specific process, planning period, and specific stakeholder participation can all vary. Most agree that annual review of action plans is critical, but the shelf life of a Strategic Plan can vary from one to three to five years. The 11 core elements are described below as a template, followed by discussion of each:

- 1) Preparation for planning
- 2) Vision
- 3) SWOT analysis
- 4) Context (Needs Assessment/Demographic Profile)
- 5) Mission
- 6) Problem Statement
- 7) Strategies (Determine Rational for approach)
- 8) Goals
- 9) Objectives
- 10) Action plans/activities
- 11) Evaluation

SCHEMATIC DIAGRAM FOR THE PREPARATION OF STRATEGIC PLAN



1. Preparation for Planning

In order to be ready for the planning process:

- Be sure all the participants understand the basics of strategic planning; share a draft agenda prior to the sessions, along with any relevant reading materials.
- Schedule at least two three-hour sessions (this is a minimum estimate) with plenty of notice to your participants. Secure a facility that facilitates open thinking and that is comfortable for all.
- Consider whether you need an independent facilitator, or whether this task can be shared among participants. If you want an independent facilitator, the Community Prevention Institute (<http://www.ca-cpi.org/>) can probably provide one at no cost.
- Carefully consider who should participate. Be sure that key leadership in your department is included in the process. Many prevention departments might also want to include essential community partners.
- Finally, figure out a plan to evaluate your sessions. The most basic outcome is that your plan is completed, but consider ways to evaluate other features, such as communication, productiveness of session, other training or assistance needs and so forth.

Who Should Be Involved in Planning? Strategic planning should be conducted by a planning team. Consider the following guidelines when developing the team.

- Establish clear expectations and clarify roles for participants; there are roles for those directly involved in planning, those who will provide key information to the process, those who will review the plan document, those who will authorize the document, etc. Each participant should understand the overall direction of the process and her/his independent roles.
- Always include at least one person who ultimately has authority to make strategic decisions, for example, to select which goals will be achieved and how.
- Ensure that as many stakeholders as possible are involved in the planning process.
- Involve someone to administrate the process, including arranging meetings, helping to record key information, helping with flipcharts, monitoring status of preparation, etc.

The number of meetings depends on the amount of prior planning and the number of pending strategic issues. In addition, every “culture” has preferences about short or long meetings, and how much time they can commit. Given these parameters, the planning should be completed over no more than one to one and half months, with sessions spaced no more than two to three weeks apart or momentum will be lost.

2. Vision

The Police Directorate may already have a vision statement with which it should align. If there isn't such a vision statement, or if the vision is not specific enough to the Police Directorate one has to start planning with the development of a vision statement. Vision is a long range picture of how the “world will be” if you're successful in your work. There are

many examples available in the internet which can be referred to but the vision should be something very personal and thought out. The Strategic Plans of Punjab, Rajasthan and Karnataka can be referred to for guidance. Assistance can also be sought from the Network for Improved Policing in South Asia (NIPSA) <http://nipsa.in/> or the Commonwealth Human Rights Initiative (CHRI) to develop the strategic plan or any management consultant with previous experience in mentoring strategic planning.

3. SWOT: Strengths, Weaknesses, Opportunities, Threats

SWOT analysis can be done at both internal and external levels. SWOT provides additional context for strategic decision making. An internal analysis helps you plan for the future by articulating how the organization operates right now. It can reveal trends, irregularities, limitations, and opportunities. To perform an internal analysis, gather information about the organization's strengths and weaknesses, services, programs, activities, staffing, and finances. This can be done via self-assessment by planning participants, or by gathering input from stakeholders ahead of the planning session through a survey. An external analysis helps you understand how the organization is perceived externally and what societal factors may affect its future. External factors may include things like the economy, funding trends, demographics, social factors, technology changes, competition, politics, regulatory factors, and public opinion. A SWOT analysis guides you to identify the positives and negatives inside your organization (S-W) and outside of it, in the external environment (O-T). Developing a full awareness of your situation can help with both strategic planning and decision-making.

A SWOT analysis can offer helpful perspectives at any stage of an effort. It might be used to:

- Explore possibilities for new efforts or solutions to problems.
- Make decisions about the best path for your initiative. Identifying your opportunities for success in context of threats to success can clarify directions and choices.
- Determine where change is possible. If you are at a juncture or turning point, an inventory of your strengths and weaknesses can reveal priorities as well as possibilities.
- Adjust and refine plans mid-course. A new opportunity might open wider avenues, while a new threat could close a path that once existed.

4. Context

Separate from SWOT, many groups find it helpful to place their prevention work in the context of some very basic facts, including:

- Population demographics
- Economic trends
- Area growth forecast
- Operating considerations, such as time or staff constraints, budget issues, etc.

- Guiding principles or philosophy in the Police Directorate

The participants can identify and discuss these items as a backdrop for planning.

5. Mission

The Police Directorate may already have a mission statement that you want to align with. If there isn't such a vision statement, or if the vision is not specific enough to the Police Directorate one has to start planning with the development of a vision statement.

A mission is at the core of why you're doing the work you do. A mission statement reflects purpose, values and may include some strategy reflection. Crafting a good mission statement can be challenging. Sometime it is helpful to seek consensus on core elements, and then have volunteers later put the core pieces together for the group's later review.

6. Situational Analysis/Problem Statement

Many planners include a problem statement in their strategic plan. A problem statement summarizes key issues facing the county, and provides a helpful backdrop to understand strategic choices. A good problem statement includes information about:

- Needs
- Situational assessment, including data
- Current knowledge
- Contributing factors and root causes
- Assessment of existing leadership and resources

Four criteria identified for functional problem statements:

1. They name one problem at a time;
2. They avoid blame;
3. They do not frame the problem as the absence of the solution; and
4. They frame the problem as too much of a bad condition/behavior or not enough of a good condition/behavior.

Also, problem statements should be framed as either:

- Lack of/too few of a positive condition (e.g. all children should feel safe in their schools)
- Presence of/too much of a negative condition (e.g. Too many middle school students are using inhalants)

7. Strategies or Rationale

This is a narrative section in the Strategic Plan where the Police Directorate can spell out and justify their choices about their targets and strategies. What target population or setting? And why? Why this strategic priority? Why some strategies and not others?

This rationale should rely heavily on the state-wide assessment, and on their view of best practices.

8. Goals & Objectives

Goals are simply a clear statement of the mission, specifying the accomplishments to be achieved if the mission is to become real. The target objectives are even clearer statements of the specific activities required to achieve the goals, starting from the current status.

At this point, strategic planning begins to produce lots of ideas and action steps. Often the scope of this activity can be managed by delegating different topics to different teams.

Objectives basically address the difference between where we are (current status), and where we want to be (vision and goals), by spelling out what we do (target objectives and action plans) to get there. Objectives are specific, measurable results produced while implementing strategies. While identifying objectives, keep asking “Are you sure you can do this?”

For best results within the County internal team, integrate the objectives as performance criteria in each “implementer’s” job description and performance review.

Some Definitions:

Goal: Goal is the end toward which the program is directed. It is the general statement of a long-range purpose. Goals should directly address needs. Goals are outcome and not process oriented. They clearly state, specific, measurable outcome(s) or change(s) that can be reasonably expected at the conclusion of a methodically selected intervention.

Objective: Objective is a statement of the results to be achieved, and includes a time frame, target of change, specific results to be achieved, method of measuring the results, and criteria for successful achievement. Objectives state results, not activities. Objectives, when accomplished, lead to the goal. Objectives should be stated in ways that describe what you will do and how you will do it. A performance indicator is an example of a program objective.

9. Action plans/ Activities

Action plans basically translate the Strategic Plan into implementation steps. Ideally the people who will be responsible for implementing the plan are involved in developing the Strategic Plan. Use a cross-functional team to ensure the plan is realistic and collaborative. A few tips about Action Plans:

- Organize the overall strategic plan into smaller action plans for each objective.
- Specify who is doing what and by when.
- While these may be separate documents, keep them linked in everyone's mind.
- Build in regular reviews of status of the implementation of the plan.
- Translate the strategic plan's actions into job descriptions and personnel performance reviews, especially for key leaders.
- Communicate the role of follow-ups to the plan. If people know the action plans will be regularly reviewed, implementers tend to do their jobs before they're checked on.
- Be sure to document and distribute the plan, including inviting review input from all.
- Be sure that one internal person is identified as the lead in managing implementation.
- Integrate the plan's goals and objectives into the chief executive's performance reviews.

Format of Action Plans

Goal #__						
Objectives	Tasks/ Activities	Timeline	Lead Role	Strategies Used	Measure / Document	Resources needed

10. Evaluation

Evaluation is a subsequent activity but it must be emphasize that thinking about evaluation must begin early. Evaluation plans are required as part of SPF implementation, but more importantly, an evaluation plan helps you see if one is on track and achieving the goals intended. Data collection in this regard should be integrated in the Action Plan with clear timeframes and responsibilities spelled out.

POLICE: A STRATEGIC PLANNING WORKSHEET

ELEMENTS OF SUCCESS	CURRENT SITUATION	GAP ANALYSIS	MOVING FORWARD
	What do we have? What do we know?	What is missing? What do we need to succeed?	What is next?
FROM PROBLEMS TO SOLUTIONS			
▪ How will the problem be defined and measured?			

ELEMENTS OF SUCCESS	CURRENT SITUATION What do we have? What do we know?	GAP ANALYSIS What is missing? What do we need to succeed?	MOVING FORWARD What is next?
<ul style="list-style-type: none"> ▪ What are the contributing risk and protective factors – how will prevention address these factors? ▪ What are the priorities for action in the short and longer terms? ▪ What is the action plan around strategies and program content? ▪ What is the action plan for program implementation? ▪ What type of responsibility centre is required? 			
CONCENTRATE INVESTMENTS ON HIGHEST NEEDS <ul style="list-style-type: none"> ▪ What diagnostic tools will be used? ▪ Where can the required data and information be found? ▪ Where can technical assistance be obtained? 			
EVIDENCE-BASED APPROACHES <ul style="list-style-type: none"> ▪ What is the evidence on proven or promising practices in this area? ▪ What are the gaps in our knowledge (research priorities)? ▪ How will the initiative be monitored and evaluated? ▪ How will resistance to 			

ELEMENTS OF SUCCESS	CURRENT SITUATION What do we have? What do we know?	GAP ANALYSIS What is missing? What do we need to succeed?	MOVING FORWARD What is next?
change be addressed?			
ADEQUATE AND SUSTAINED SUPPORT S AND RESOURC ES <ul style="list-style-type: none"> ▪ Do we have the required knowledge and expertise to carry out all required tasks? ▪ Do we have the skills required to carry out all required tasks? ▪ Do we have the physical, financial and human resources required to carry out all required tasks in a sustainable manner? 			
PUBLIC ENGAGEMENT <ul style="list-style-type: none"> ▪ What public education initiatives are required? ▪ How can we increase public's support for prevention? ▪ How can the public be encouraged to become actively involved in the initiative? 			

(by Ross Hastings, Institute for the Prevention of Crime, 30 Stewart Street, Ottawa, ON K1N 6N5 Canada • Phone: 613-562-5798 Email: IPC@uOttawa.ca • www.ipc.uOttawa.ca)

Annex 5: Financial Requirements ABSTRACT

S.No	Component	Budget (Rs. in lakhs)					
		Year 1	Year 2	Year 3	Year 4	Year 5	Total
1							
2							
3							
4							
5							
7							
8							
9							
10							
11							
12							
13							
14							
15							
Grand Total							

Financial requirements need to be worked out on the basis of the targets specified, while the financial requirements for provision of services have been worked out on the following basis:

- Estimated capital expenditure and one-time cost required;
- Estimated recurring fixed cost keeping in view the minimum scale of operations and mix of services, and

Estimated variable cost of each intervention by linking the requirements with the targets proposed in

DETAILED BUDGET COST OVER THE NEXT FIVE YEARS

[illegible]