

BLOCK 4
URBAN LOCAL GOVERNMENT

BLOCK 4 Urban Local Government

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| Unit 9 | Urban Local Government: Structure, Role and Responsibilities |
| Unit 10 | Implementation of Flagship Central Schemes in Urban India |
| Unit 11 | Role of Urban Local Government in Service Delivery |
| Unit 12 | Interface between State and Urban Local Government |

UNIT 9 URBAN LOCAL GOVERNMENT: STRUCTURE, ROLE AND RESPONSIBILITIES*

Structure

- 9.0 Objectives
- 9.1 Introduction
- 9.2 History of Urban Local Government in India
- 9.3 Urban Local Government in post-independence era
- 9.4 Structure of the Urban Local Government
- 9.5 Role and responsibilities of the Urban Local Government
- 9.6 Urban Local Government: Issues and challenges
- 9.7 Conclusion
- 9.8 Glossary
- 9.9 References
- 9.10 Answers to Check Your Progress Exercises

9.0 OBJECTIVES

After studying this Unit, you should be able to:

- Discuss the significance of Urban Local Government;
- Explain, how the local governments evolved as they exist today;
- Describe the different structures of Local Governance;
- Examine the adequacy of institutional arrangements; and
- Highlight the challenges in making these bodies effective instruments of governance at the local level.

9.1 INTRODUCTION

Before we start analysing the role and responsibilities of the Urban Local Government, it is important to understand as to what is implied by the Urban Local Government and what are its characteristics. The “local” relates to specific areas defined by locality, implying a definite area and population living therein. The word “government” refers to its representative character and the autonomy it possesses in taking decisions on the subject matters as bestowed upon it under the Constitution.

Thus, it can be stated that Urban Local Government refers to an institution of governance in a statutory town, defined by a definite area and the population therein, deliberating, regulating and implementing decisions on subject

* Contributed by Dr. Sachin Chowdhry, Associate Professor, Indian Institute of Public Administration, New Delhi

matters entrusted to it under the Constitution. These elected bodies in urban areas are also called as Urban Local Bodies (ULBs).

Significance of Urban Local Governments

The rationale for having three-tier of government is to deal with regional variations in the political values, economic development, and societal values and citizens participation. For example, the context of Assam is different from Maharashtra or Gujarat. The needs of people living in Kerala may be different from those living in Uttar Pradesh and similarly, willingness of people to pay taxes or user charges may be different in Delhi to those living in Amritsar. Even within the state, the ULBs in a bigger town may be having greater sources of income as compared to the smaller towns and will be in a better position to offer or provide many more services. Thus, the local governments respond to the needs and aspirations of the inhabitants at the local level on matters, which concern them in their daily lives. It also implies that level of services differs from one town to the other within a state as well as within the country. Good urban governance demands that these institutions of self-governance be vibrant, especially in view of the increasing urbanisation and the role of cities in the economy. As Indian cities grow in number and size, the pressure for better urban governance will also increase. The estimates indicate that by early 2030s, majority of the population would be living in urban areas.

Its importance can also be understood from the observation of UN Habitat, which expressed, *“India is at a critical moment where it can preserve and build on the reforms and economic gains, however, it requires substantial capacity and handholding support to strengthen institutional structures at the local level. Need to equip local governments/ utilities with necessary tools to successfully translate governance principles to a local level so as to leapfrog towards a sustainable and inclusive urbanisation as well as positioning India at regional and global level”* (<https://unhabitat.org/fr/node/91195>).

The current institutional arrangement has its roots in the British rule. So, it is important to see how this system has evolved.

9.2 HISTORY OF URBAN LOCAL GOVERNMENT IN INDIA

Issues at local level, both in rural and urban areas have been taken care of since ancient times in India. Improving the quality of life of citizens by providing them civic amenities like water supply and sanitation, local public works, horticulture, etc. have been the basic function of local governments ever since their inception. Talking about urban areas, Megasthenes mentioned that large cities used to have six bodies of five members each and each of these bodies had been entrusted with important subjects of human activities, which included the registration of births and deaths, care and entertainment of foreigners etc. During the Moghul Empire, in medieval times, *Kotwals* took care of many municipal functions besides their responsibilities of magisterial, police and fiscal matters. It can be said that the local self-

government in those times was not vested in a representative body of the people of the area/towns, but in the officials appointed by the rulers.

Municipalities that exist today in India evolved from the Municipal Government of British pattern. Madras experienced the first intervention of this kind. Josiah Child, Governor of Madras, sought such structure to solve the problem of the conservancy of Madras. In 1687, James II, King of England, conferred on the East India Company, the power of establishing a Corporation and Mayor's Court in Madras, by Charter. This Civil Government consisted of Mayor, aldermen and burgesses with the power of levying taxes for the building of guildhall, jail and a school, and for other works of public utility and ornament. The system was largely based on the London pattern. Subsequently, in 1726 Mayor's courts were established in three presidency towns of Calcutta, Madras and Bombay. However, the first statutory enactment of Municipal Administration was made in the Charter Act of 1793. Under this Act, the Governor-General of India was vested with the power to appoint Justices of the Peace for the Presidency towns. These Justices of the Peace had been given the power to raise funds by assessing the lands and houses in the towns for scavenging, watching and maintaining the streets. Since 1793, lotteries were used to raise money for municipal improvements. The money thus raised was used on works of utility and improvement, till public opinion in England condemned this method of providing funds for municipal purposes. This arrangement ceased to exist in 1836. It may be mentioned here that the famous Town Hall of Calcutta was built with money raised through lotteries.

The Councils Act in 1861 changed the system. Subsequently, Bombay in 1876, Calcutta in 1876 and Madras in 1878, through local legislation got the system of election of representatives by the ratepayers. However, the Government had stiff control over these Municipalities through official Chairmen and many conditions were imposed to deprive them of real popular control. Mallik (1929) analysed that they had some practical autonomy though to a somewhat lesser extent.

However, no attempt was made to establish Municipalities outside the Presidency Towns till 1842, when Bengal promulgated an Act to provide for municipalities, if the towns so wished supported by two-thirds of the households and willing to pay taxes for the such Municipalities. This experiment did not prove successful. In 1850, an Act was promulgated for the whole of British India, which provided for taxation by indirect methods. It was largely applied in the North West Provinces and Bombay, but not much in Bengal and Madras. This led to creation of large number of Municipalities. Mallik (1929) opined, "...from the point of view of local self-government, these Acts did not go very far, yet they were certainly helpful in improving the sanitary conditions of many country towns".

Lord Mayo, thereafter, has initiated the development of self-government paving the way for the principle of election. But it was during the tenure of Lord Ripon that the development of local self-government took shape significantly. He believed, "...local self-government was a means of popular and political education". He is also called as the father of local self-

government in India. In this regard Acts were passed in 1883-84, which greatly altered the constitution of the municipal bodies and also added to their power and functions. Some towns could also have elected Chairmen in the place of Executive officials. The Municipalities were entrusted the responsibilities of education, medical aid and local public works. They were provided some funds from provincial revenues for discharging their responsibilities. Thus, the Municipal Government became a body corporate consisting of members elected from the ratepayers and some nominated by the Government. The Chairman of the Municipality was often an elected member of the body. Even the Municipal funds and properties were vested in these bodies.

Generally, the tenure of elected members was for three years; and the rules for elections were framed by the provincial governments. Voters were required to have either property or some status qualification. The elections, in general, were held on wards or community basis or both. The functions of the Municipalities increased gradually and fell into the category of either obligatory or discretionary. In 1881, there were 722 Municipalities, which rose to 739 in 1891, 742 in 1901 and 749 in 1921. It is pertinent to mention here that these urban areas had only 15 percent of the population of India. Lord Ripon's resolution mainly aimed at greater uniformity and greater association of the people in the task of administration. But many powers of the Municipalities especially that of Calcutta Corporation were curtailed by Lord Curzon, to which R.C. Dutt remarked, "...real popular government was at an end".

Lord Chelmsford accepted, "...local bodies must be as representative as possible" and that their control should be real and not nominal, but he kept the franchise sufficiently low to include only ratepayers. He agreed to increase the powers for local bodies. However, the control of the Municipalities over the funds including those rose through own efforts was reduced. His idea, "...there can be no better school for training the political science than that of municipal administration" attracted many political leaders to enter different municipalities to obtain training for eventual self-government.

The Government of India Act, 1935 expanded the functions of the local bodies, but their budgetary sources were reduced. The United Province Government appointed a committee to review the working of the Municipal bodies, which submitted its report in 1939. It found that the existing management of the local bodies had given rise to very large dissatisfaction in the public mind because of the nature of their constitution under which they were forced to work due to which they could not attain the required standard of efficiency. They became synonymous with intrigue, incompetence and bankruptcy.[†]

Between 1939 and 1945 the progress of local self-government reform was retarded due to war and it had piecemeal reconstruction. The democratisation of these bodies by abolition of nominations or by extension of franchise, or

by granting more powers in some provinces to elected presidents had a marked significance for these institutions. India gained independence in 1947 and had the opportunity to introduce the reforms felt by national leaders during the British rule.

9.3 URBAN LOCAL GOVERNMENT IN POST-INDEPENDENCE ERA

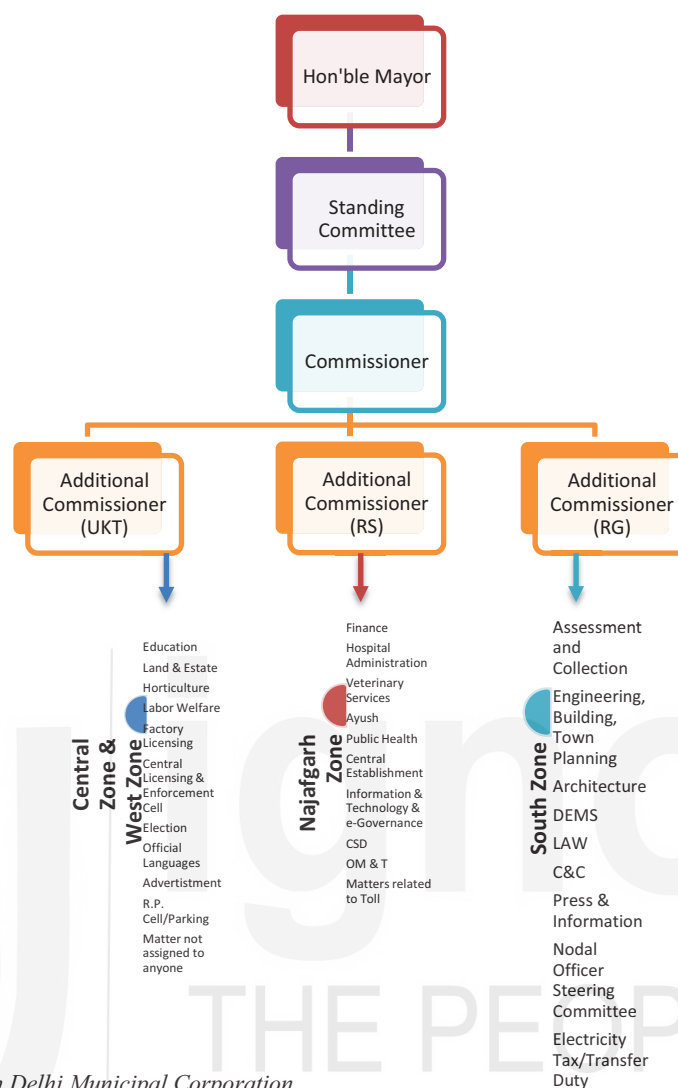
The Constitution of India had made detailed provisions for ensuring protection of democracy in Parliament and State Legislatures. However, the Constitution did not mention about Local Self-Government in urban areas as a clear-cut Constitutional obligation. While Village Panchayats had been included in the Directive Principles of State Policy, there was no specific reference to ULBs, except implicitly in Entry-5 of the State List[‡], which placed the subject of Local Self-Government as a responsibility of the State. So, the country continued to have the municipalities in the form that were inherited from the Britishers. Various states, which came into existence as a result of reorganisations enacted their laws for constituting municipalities. While structurally they were somewhat similar, there was vast difference in the scope of activities. First, we see the structures as they obtain even today.

9.4 STRUCTURE OF THE URBAN LOCAL GOVERNMENT IN INDIA

The statutes of respective States / UTs determine the constitution of the municipalities as earlier. There are two types of Acts namely Municipal Corporation Act and Municipal Act, which prescribe the ULB structure in respective State. In general, there is a deliberative wing and an executive wing. The deliberative wing consists of the elected body and is headed by the Mayor or a Chairman as the case may be. They have the power to extort, advise, warn and criticise, while the executive power is in the hands of Commissioners. The executive wing is headed by the Commissioner, normally an officer of the State Government. In bigger towns they are officers of the Indian Administrative Service or Senior Provincial Service Officers depending on the importance of the town. In cities like Mumbai, they are one of the senior most civil servants of the State. A general framework can be seen in the following figure 9.1 depicting the organisational chart of South Delhi Municipal Corporation (SDMC).

The SDMC is serving the population of almost 56 Lakhs citizens in 104 wards with a responsibility of monitoring, upgrading and developing civic amenities efficiently. It has more than 40 departments to carry out its responsibilities.

[‡] Entry-5 reads as under:- “Local Government, that is to say, the Constitution and powers of municipal corporations, improvement trusts, district boards, mining settlement authorities and other local authorities for the purpose of local self-Government or village administration”.



Source: South Delhi Municipal Corporation

Fig. 9.1: Organisational Chart of South Delhi Municipal Corporation

On the other hand, a smaller municipality like Nagar Palika Parishad, Gonda (Uttar Pradesh) to cater to about 125 thousand has limited number of departments and limited roles and functions as well, which are as follows:

- To ensure running and maintenance of civic services and facilities such as water supply and sewage system.
- To issue license/permits for shops and business establishments.
- To regulate opening/closing shops and markets.
- To run public health services.
- To maintain record of land and properties owned by it.

To discharge these functions, it has only seven departments: Public Works, Public Health, Water Supply, License, Town Planning, Street Light and Tax.

Given the size of the cities across the country, there are bound to be variations. In fact, two prominent patterns have been observed.

Commissioner system

In such a system the Mayor in the Municipal Corporation is usually chosen through indirect election by the Councilors from among themselves for a term of one year, which is renewable. The Mayor generally lacks executive authority. The Councilors act by Committee, usually the Standing Committee with its role of the Steering Committee exercising executive, supervisory, financial and personnel powers. It is composed of elected members.

The Municipal Commissioner, a state-appointed officer, is the head of the executive arm of the Municipality. All executive powers are vested in him/her. Although the Municipality is the legislative body that lays down policies for the governance of the city, it is the Commissioner who is responsible for the execution of the policies. The tenure of the Commissioner is dependent on the State Government. The powers of the Commissioner are those provided by Statute and those delegated by the Corporation or the Standing Committee.

Mayor-in-Council system

This model was introduced in West Bengal in 1984. This system is composed of a Mayor and a Council of elected members with individual portfolios. The Municipal Commissioner serves as the Principal Executive Officer, subject to the control and supervision of the Mayor as the Chief Executive Officer in this model.

The city is grouped into wards to form a Ward Committee, consisting of the Councillors elected from the respective Wards. The Ward Committees are subject to general supervision of the Mayor-in-Council, and look after Ward level functions such as water supply, drainage, collection and removal of solid waste, disinfection and health services, housing services, lighting, repairs of certain categories of roads, maintenance of parks, and drains.

There is normally a Directorate of the Municipal Administration, which looks after the matters concerning them, whereas the Corporations may deal with the State Government directly. Normally the Municipal Commissioner is a senior officer than Director Local Bodies, causing the placement of Commissioner directly under control of respective State Department.

Maheshwari, (1971) evaluating the relationship between the ULBs and the state governments commented that the control of the State Government over Local Bodies degenerated into spasmodic, intermittent bouts and was often negative.

The Constitution (Seventy-fourth Amendment) Act, 1992

The Government stated that the objects and reasons behind the introduction of Seventy-third Amendment Bill, 1991 which was enacted as the Constitution (Seventy-fourth Amendment) Act, 1992 was that in many States Local Bodies had become weak and ineffective on account of a variety of reasons, including the failure to hold regular elections, prolonged supersession and inadequate devolution of powers and functions. As a result,

Urban Local Bodies were not able to perform effectively as vibrant democratic units of self-government.

The Act introduced political, functional and fiscal empowerment with reservation of seats to women and other weaker sections (243T), continuity in elected body city government (243U), creation of wards committees (243S), listing municipal functions with the Schedule XII in the constitution and creation of State Finance Commission (243Y). Among these Schedule XII and 243Y are discretionary whereas other are mentioned as “shall”. Accordingly, states have not devolved the functions as per Schedule XII (Figure 9.1) in many cases, whereas others are implemented as expected.



Figure 9.1: Transfer of 12th Schedule Functions

The 2nd Administrative Reforms Commission stated that no major changes in the structure and functioning of the ULBs have been observed till the 74th CAA, despite rapid urbanisation and consequential increase in the complexities of problems in urban areas. The powers and functions of these bodies varied from state to state as the subject “Local Government” fell into the state List. States had the power to define the role of the ULBs.

The 74th Amendment to the Constitution, bestowed upon these municipal bodies the Constitutional status. In terms of the Amendment, the responsibility for taking decisions regarding activities at the grassroots level, which affect people’s lives directly would rest upon the elected members of the people themselves. The Amendment conforms to the principal of subsidiarity, which has been the determining factor for distribution of subjects between the Centre, States and the Local governments. The 2nd ARC recommended that the reform package for the ULBs must be informed by this principle. The constitutional status of the municipalities has ensured permanency to the entities of self-government with a specific role in planning for development and social justice for the local area.

Ward Committees

Article 243S provides for the constitution and composition of Wards Committees, etc.

- 1) There shall be constituted Wards Committees, consisting of one or more Wards, within the territorial area of a Municipality having a population of three lakhs or more.
- 2) The Legislature of a State may, by law, make provision with respect to-
 - a) the composition and the territorial area of a Wards Committee;
 - b) the manner in which the seats in a Wards Committee shall be filled.
- 3) A member of a Municipality representing a ward within the territorial area of the Wards Committee shall be a member of that Committee.
- 4) Where a Wards Committee consists of-
 - a) one ward, the member representing that ward in the Municipality; or
 - b) two or more wards, one of the members representing such wards in the Municipality elected by the members of the Wards Committee, shall be the Chairperson of that Committee.
- 5) Nothing in this article shall be deemed to prevent the Legislature of a State from making any provision for the Constitution of Committees in addition to the Wards Committees. The Ward committees have not been found to be very effective. Many political parties have now been talking about area sabhas, but there also not much has happened.

Check Your Progress 1

Note: i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

- 1) Discuss the history of Urban Local Government in India.

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- 2) Explain the structure of Urban Local Government in India.

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9.5 ROLE AND RESPONSIBILITIES OF THE URBAN LOCAL GOVERNMENT

Due to inadequate constitutional provisions for the Local Self-Government for urban areas, municipal governance across the country in general was not stable (Vaidya, 2009). Prior to enactment of 74thCAA, quite often the ULBs were found suspended or superseded for indefinite periods of time. Even where they were functioning, their financial position was not satisfactory. The National Commission on Urbanisation, which was appointed in 1985 by the Central Government, gave its report in 1988 and advised for strengthening of the financial position of Urban Local Bodies, for which it suggested the measures as well: (i) Develop a mechanism for devolution of funds to Local Bodies from State budgets, (ii) Allocate more finance in the Five-Year Plans, and (iii) Strengthen the taxation base.

Article 243W of the Constitution states the powers, authority and responsibilities of Municipalities, etc.

“Subject to the provisions of this Constitution, the Legislature of a State may, by law, endow:

- a) the Municipalities with such powers and authority as may be necessary to enable them to function as institutions of self-government and such law may contain provisions for the devolution of powers and responsibilities upon Municipalities, subject to such conditions as may be specified therein, with respect to-*
 - the preparation of plans for economic development and social justice;*
 - the performance of functions and the implementation of schemes as may be entrusted to them including those in relation to the matters listed in the Twelfth Schedule;*
- b) the Committees with such powers and authority as may be necessary to enable them to carry out the responsibilities conferred upon them including those in relation to the matters listed in the Twelfth Schedule”.*

Over the years, there was a steady encroachment on the assigned functions and revenues of the Urban Local Bodies by specialised agencies of the State Government. Several states established Infrastructure Boards, which took several of the responsibilities of these municipalities. Many development authorities were established, which took control of the land related issues. Functions like water supply and sewerage, which are responsibilities of the municipalities were handed over to the state level agencies. The 2nd ARC notes, “the growth of these specialised agencies has weakened the authority of municipal bodies and contributed to their atrophy”. Often these agencies work in isolation. Consequently, ULBs remain ill-equipped in terms of technical manpower and organisational ability to respond to emerging problems/issues.

The impact was most severe on the smaller municipalities and they could not perform effectively. These bodies were also viewed as a threat or as power centres by the state level and centre level politicians. It is equally important to remember that urban areas attracted less attention from politicians and policy-makers due to predominantly rural character of the society.

Responsibilities: Multiplicity of Agencies

Multiple agencies are operating at city level, which quite often operate in the similar areas. These include a range of parastatal and para-municipal agencies. State Housing and/or Slum Clearance Board, State level agencies for water and sanitation, State Urban Development Authority (SUDA) for poverty related actions with the support of District Urban Development Authority, Public works Department (for water and roads) and State infrastructure Finance Corporations are operating as parastatal, whereas local level institutions for planning such as Development Authority or Improvement Trust, Local level Water and Sanitation Agency, etc. are operating as para-municipal agencies.

Functions listed in the schedule XII are not transferred to ULBs in toto in most of the cases. At times, these agencies have overlapping of functions and do similar work such as housing and infrastructure development done by Housing Boards, Development Authorities and Slum Clearance Board (Tamil Nadu). These agencies accordingly are not accountable to local population. There is a need, therefore, to devise suitable mechanism for better coordination at the local level. The ULB should be treated as mother institution at local level for vertical and horizontal coordination as they represent local population and popular support. In this regard, Schedule XII needs to be reviewed at the national level to determine local accountability and transfer of functions to the ULBs.

9.6 URBAN LOCAL GOVERNMENT: ISSUES AND CHALLENGES

Today the Local Government is expected to play many roles including (GoI, 2014):

- a) A Regulator, namely the administration of various acts and regulations;
- b) A Provider, that involves providing urban services efficiently and equitably by managing its accounts effectively and efficiently;
- c) An Agent that takes the schemes of higher-level Government to the people. This includes promotion of popular participation;
- d) A Welfare Agency, which provides active assistance to higher level governments in the equitable distribution and delivery;
- e) An Agent of Development, who strives for improvement in the quality of life through the augmentation of infrastructure.

Additionally, there is a greater awareness and recognition of the need and importance of vibrant Local Self-Government to provide various services to

the inhabitants and as a mechanism for deepening democracy. There is also demand for rationalising the structure of these Local Bodies also. Bigger cities have fewer Councilors, per hundred thousand people.

Table 9.2: Councilors (per hundred thousand people)

Thiruvananthapuram	13.4
Dehradun	10.7
Bhubaneswar	7.9
Raipur	6.9
Ranchi	5.1
Pune	4.9
Ludhiana	4.6
Chennai	4.3
Patna	4.3
Kanpur	4
Lucknow	3.9
Bhopal	3.9
Ahmedabad	3.9
Kolkata	3.1
Jaipur	3
Chandigarh	2.7
Surat	2.6
Delhi (Total)	2.5
Bangalore	2.3
Hyderabad	2.2
Mumbai	1.8

Source: *Annual Survey of India's City-Systems 2016, Janaagraha*

Area sabhas, which has been one of the much talked about reform may help in overcoming this challenge.

Mayoral reforms

The 74th CAA did not specify the manner of election, tenure or powers of the Mayors of ULBs. At present, some states such as Uttarakhand, Chhattisgarh, Jharkhand, Haryana, Uttar Pradesh and Tamil Nadu – have directly elected mayors. However, they remain ceremonial heads with limited financial and political independence. Their tenure is also not uniform. In different states they have different tenures, even as low as just one year.

Kumar (2019) argues that the directly elected Mayor is expected to tap the support of bureaucrats by presenting himself as a people's representative of the city. The direct election provides the required legitimacy to the Mayor to interact, demand, and get work executed in the best interest of the city.

There is also a view that an empowered executive at the city can be achieved through an indirectly elected "Mayor-in-Council" (MIC) system in which, the Mayor remains accountable to the council. In Madhya Pradesh, the state

adopted a system of directly electing Mayor in 1998. However, the Mayor had to form an MIC out of the elected Councilors. This MIC was to aid and advise. The Mayor presided over the MIC meetings and deliberations. In Himachal Pradesh, the State Government had amended the Municipal Corporation Act in 2010 to introduce direct elections for the office of Mayor and Deputy-Mayor.

Strengthening the Urban Local Bodies

The 2nd ARC noted, “the Chairperson/Mayor in the Urban Local Government in most states enjoys primarily a ceremonial status. In most cases, the Commissioner, appointed by the State Government, has all the powers”. Often it has been noticed that the elected representatives end up performing the role of the opposition, and where Municipal Commissioners are headstrong, situations of gridlock are not infrequent (Jha, 2018).

It recommended that the functions of chairing the Municipal Council and exercising executive authority should be combined in the same functionary, i.e., Chairman or Mayor, while the Commissioner should perform the functions delegated to him/her. It even recommended powers to the Local Bodies to select the Commissioner/Chief Officer on the ground that the elected Mayor or Chairperson is accountable to the electorate.

At this stage, tenure is an important issue. The tenure of Mayor or Chairperson, unlike the current practice of one year in many states, should be uniformly five years across the country so that a continuity and accountability is established. Similarly, the tenure of Commissioner or Chief Executive Officers should also be fixed for a reasonably good period. A survey by Janagraha (2016) has found that average age of the Commissioner in the country is 11 months. These points need due consideration.

Role of the Urban Local Bodies in Flagship Programmes

Jawaharlal Nehru National Urban Renewal Mission and now the Smart Cities Mission and Atal Mission for Rejuvenation and Urban Transformation are important programmes of the government of India, which emphasised central role of the ULBs in planning for the vision of the cities with particular emphasis on citizens participation. However, Sama Khan et al (2018) feel that the proposals reveal an excessive reliance on consultants, lack of effective participation, and a common set of interventions that are accepted as “smart solutions” and a shift towards greater control of the ULBs by the State governments.

Check Your Progress 2

Note: i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

1) What are the roles and responsibilities of Urban Local Government?

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- 2) Discuss the issues and challenges of Urban Local Government.

9.7 CONCLUSION

Good Urban governance demands that the institution of Local Self-Government be a vibrant entity with sufficient autonomy to be able to respond to the needs and aspirations of the residents. This has been accepted too by the concerned authorities at the higher levels. However, reluctance to share power, both during the British rule and in the post-independence era resulted into stifling of their growth. The 74th CAA attempted to correct the situation. However, despite it having been passed more than two and half decades back, the real transfer of power has not taken place. As the urbanisation is increasing and cities are experiencing widening gaps in infrastructure and services, the government, especially the Central Government has creating conditions for the State governments to undertake reforms to strengthen the ULBs. It is high time that necessary steps are taken at the earliest, as cities are the engines of economic growth.

9.8 GLOSSARY

Principle of Subsidiary: The Principle stipulates that the functions shall be carried out closest to citizens at the smallest unit of governance possible, and delegated upwards only when the Local Unit cannot perform the task.

Ratepayer: It refers to a person who owned or rented property and therefore, paid local taxes called rates.

Urban Local Government: It refers to an institution of governance in a statutory town, defined by a definite area and the population therein, deliberating, regulating and implementing decisions on subject matters entrusted to it under the Constitution.

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9.10 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress Exercise 1

- 1) Your answer should include the following points:
 - Refer to the Section 9.2
- 2) Your answer should include the following points:
 - There are two types of Acts namely Municipal Corporation Act and Municipal Act. In general, there is a deliberative wing and an executive wing. The deliberative wing consists of the elected body and is headed by the Mayor or a Chairman as the case may be.
 - Commissioner system.
 - Mayor-in-Council system.

Check Your Progress Exercise 2

- 1) Your answer should include the following points:
 - Refer to the Section 9.5
- 2) Your answer should include the following points:
 - Mayoral reforms.
 - The 2nd ARC noted, “the Chairperson/ Mayor in urban local government in most states enjoys primarily a ceremonial status. In most cases, the Commissioner, appointed by the state government, has all the powers”.
 - Distribution of functions.
 - Tenure.



UNIT 10 IMPLEMENTATION OF FLAGSHIP CENTRAL SCHEMES IN URBAN INDIA*

Structure

10.0 Objectives

10.1 Introduction

10.2 Pradhan Mantri Awas Yojana (Urban)

10.3 Atal Mission for Rejuvenation and Urban Transformation

10.4 Smart Cities Mission

10.5 Role of State and Local Government in implementation of Flagship Central Schemes

10.6 Conclusion

10.7 Glossary

10.8 References

10.9 Answers to Check Your Progress Exercises

10.0 OBJECTIVES

After studying this Unit, you should be able to:

- Discuss the on-going flagship central schemes and programmes in India;
- Explain the implementation and significance of the Pradhan Mantri Awas Yojana (Urban), Atal Mission for Rejuvenation and Urban Transformation and Smart Cities Mission in States and Union Territories; and
- Examine the achievements through these schemes and programmes in sustainable development.

10.1 INTRODUCTION

As we have already discussed in Unit 1 that India is urbanising at a fast pace that is 35 percent of the population is urban and it is expected that by 2050, about 50 percent population would be residing in urban areas. They will require sustainable infrastructure and services for a better quality of life, which can only be ensured through modern urban governance. It is to be noted that cities are in the process of modernising their governance structures; and the government has implemented flagship schemes and programmes for development. In this regard, the government has undertaken

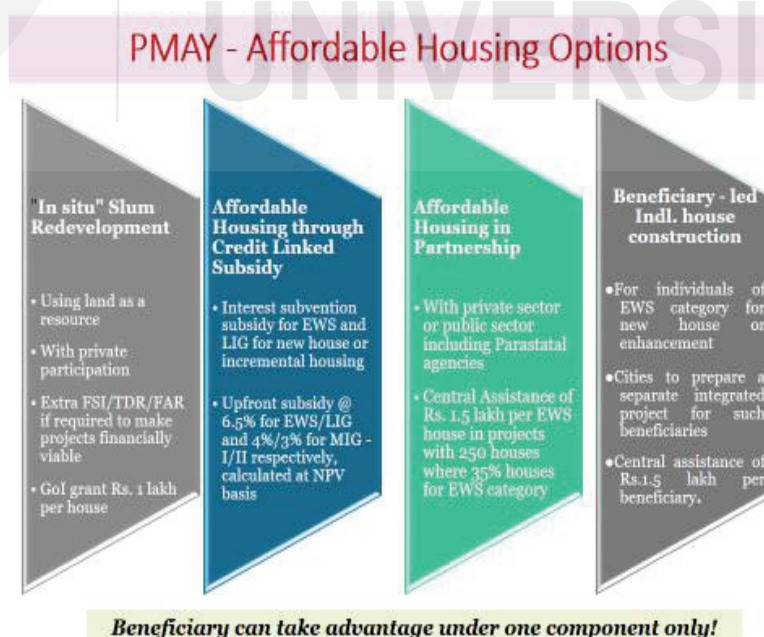
* Contributed by Prof. Durgesh Nandini, Faculty of Public Administration, SoSS, IGNOU, New Delhi

various initiatives such as focusing on income and employment creation for poor through Deen Dayal Antyodaya Yojana - National Urban Livelihood Mission (DAY - NULM), improvement in tourism through Heritage City Development and Augmentation Yojana (HRIDAY), affordable housing through Pradhan Mantri Awas Yojana (PMAY), and infrastructure and governance through Smart Cities Mission (SCM), reducing the poverty and vulnerability of urban poor households through Atal Mission for Rejuvenation and Urban Transformation (AMRUT), and sanitation through Swachh Bharat Mission (SBM). In this regard, second phase of SBM (U) and AMRUT have been launched on 2nd October 2021.

In this context, data reflects that in 2020, 96 percent wards achieved 100 percent door-to-door waste collection; and 65 percent waste processed, which was 17.97 percent in 2016 (NITI Aayog, 2021). In view of above, in this Unit, we will discuss the need, significance and achievements through specifically three missions namely the Pradhan Mantri Awas Yojana (Urban), Atal Mission for Rejuvenation and Urban Transformation and Smart Cities Mission in States and Union Territories.

10.2 PRADHAN MANTRI AWAS YOJANA (URBAN) MISSION

It is a flagship Mission of the Government of India, which was launched on June 25, 2015 and being implemented by the Ministry of Housing and Urban Affairs (MoHUA). It supports the construction of houses up to 30 square meter carpet area with basic civic infrastructure. The States/UTs have flexibility to determine the size of house and other facilities at the state level in consultation with the Ministry, but without any enhanced financial assistance from the Centre. It has four verticals as per following figure 10.1



Source: <https://pmay-urban.gov.in/>

Fig. 10.1: PMAY-Affordable Housing Options

It is evident from the above figure that In situ Slum redevelopment projects and Affordable Housing through Credit Linked Subsidy includes subsidy in the rate of interest @ 6.5 percent for Economically Weaker Section and 4 and 3 percent for Middle Income Group I and Middle Income Group II categories respectively. Affordable Housing involve private sector with 35 percent units for weaker sections and beneficiary led individual house construction.

The Slum redevelopment projects and Affordable Housing projects in partnership must have basic civic infrastructure such as water, sanitation, road, electricity etc. The ULBs have to ensure that individual houses under credit linked interest subsidy and beneficiary led construction should have provision for basic civic services. The Mission focuses to cover the urban areas in India, consisting of statutory towns and planning areas including the notified Urban Development Authorities (UDAs).

i) **Pradhan Mantri Awas Yojana (Urban): Implementation**

The MoHUA launched Pradhan Mantri Awas Yojana – Urban (PMAY-U) / PMAY(U) Mission with an aim to provide a pucca house in urban area to eligible households by 2022. It addresses the problem of housing shortage among the categories of Economically Weaker Section (EWS)/Low Income Group (LIG) and Middle Income Group (MIG). It includes the slum dwellers also. As it is demand driven, therefore the shortage of houses is assessed on the basis of demand assessment carried out by the States/ UTs. In the implementation and success of the PMAY(U), the State Level Nodal Agencies (SLNAs), Urban Local Bodies (ULBs), Central Nodal Agencies (CNAs) and Primary Lending Institutes (PLIs) contribute as important pillars of this Yojana. A house is deemed completed, when it has the necessary amenities such as water supply, kitchen, toilet and electricity. In this context, a house provided under this Mission ensures dignified living along with sense of security and pride of ownership to the beneficiaries. In addition, it promotes women empowerment by providing the ownership of houses in the name of female member or in joint name. Even preference is also given to persons with disabilities, ST/ SC/OBCs/ Minorities and Transgenders. At this stage, we will review the status of implementation of this Scheme in a State in the following sub-section.

PMAY(U): Implementation in Rajasthan

The housing scheme under PMAY(U) provides affordable house to the homeless economically weaker section of society with (annual income up to Rs. 3.00 lakh) and lower income group (annual income of Rs. 3.00 to Rs. 6.00 lakh), against the target of 6.14 lakh houses, till December 2020, 68,518 houses under Affordable Housing in Partnership (AHP) vertical and 87,857 houses under Beneficiary Led Individual Construction (BLC) vertical total 1,56,375 houses have been sanctioned by Government of India in Rajasthan. Besides this, 74,645 houses on Private developer land under provision of Chief Minister Jan Awas Yojana 2015 have been sanctioned by the concerned Development Authority/ Urban Improvement Trust/Urban Local Bodies under Credit

Linked Subsidy Scheme (CLSS) vertical of PMAY-Urban. Thus, total 2,31,020 houses have been sanctioned under PMAY-Urban in the State of Rajasthan. At present 57,864 houses are under progress and 8,040 have been completed (Government of Rajasthan, Economic Review 2020-21).

ii) **Achievements under the PMAY(U)**

It is worth mentioning that the Mission has shown exemplary success, since its inception in 2015. The objective of creating effective environment for the growth of affordable housing sector through urban planning, regulatory, fiscal and financial reforms can be testified through the number of households covered under this Mission. During 6 Years under the PMAY-U, the Centre, States and Cities are making sincere efforts to achieve the target. In this regard, 113 lakh houses have been sanctioned under 4 verticals against 112 lakhs assessed demand; out of this works have commenced on more than 83 lakh; and more than 50 lakh were completed and delivered, with water, gas, electricity and toilet facilities. It is world's largest housing programme. The government has released more than Rs.1.05 lakh crore by 27th June 2021. Even, more than 380 lakh MT Cement and over 86 lakh MT steel have been consumed so far; and about 2.5 crore direct/ indirect jobs were created. Here, it is worth mentioning that on 1st January, 2021 the foundation of Light House Projects was laid in Chennai, Rajkot, Indore, Lucknow, Ranchi and Agartala with more than 1,000 flats at each site using 6 different construction technologies, which were identified in Global Housing Technology Challenge. This globally proven resource efficient, climate resilient and rapid construction technologies are being adapted for future real estate development.

Under a sub-mission of Affordable Rental Housing Complexes launched during Covid-19 pandemic, more than 2,700 houses have already been rented out at affordable rates, and more than 6,000 are under Request for Proposal stage. In addition, public/private entities are developing more than 80,000 such dwellings. However, Model Tenancy Act is a game changer in real estate. Now, huge inventory of locked up properties will also be opened for rental market. Besides, more than Rs. 3 lakh crore informal rental market will pave the way for growth and employment. It is to be noted that the Real Estate (Regulation and Development) Act (RERA) and series of fiscal, financial, regulatory and programmatic reforms have strengthened the ecosystem (Ministry of Housing and Urban Affairs - Home | Facebook, June 27, <https://x.facebook.com/mohua.india/>).

Reformatory steps

The steps taken to realise the dream of Housing for All by 2022 have redefined the urban landscape in India and transformed the lives of millions of eligible urban households and the process is still on-going.

a) ***Credit Link Subsidy Scheme***

In PMAY-U, under the Credit Linked Subsidy Scheme, interest subsidy on home loan is provided through the Central Nodal Agencies and Primary Lending Institutions to eligible beneficiaries for house in urban India. In this regard, as on 31st December 2020, a total number of 13,19,816 beneficiaries entailing a total subsidy of Rs. 30,868.11 Crore, have availed benefits under the CLSS (MoHUA, Annual Report 2021-21). The CLSS for MIG under “Aatma Nirbhar Bharat Abhiyan” was launched in January 2017 for a period of one year; and the Scheme got an extension from time to time. The CLSS Awas Portal (CLAP), a web based real time monitoring system, was launched in November 2019 that has brought more transparency in the system.

b) ***Initiative of Affordable Rental Housing Complexes, a sub-scheme under PMAY(U)***

Urban India, during COVID-19 pandemic, faced a lot of challenges and the biggest being reverses migration of urban migrants/poor. In this regard, the migration took place due to the temporary shutting down of industries and other sectors. These urban migrants stayed in slums, informal settlements, unauthorised colonies, peri-urban areas to save cost on housing. It has been realised that they need decent rental housing at affordable rate near their worksites. Thus, to address this need and promote economic activities through Hon’ble Prime Minister’s vision of “Aatma Nirbhar Bharat” post COVID-19, the MoHUA initiated Affordable Rental Housing Complexes (ARHCs), a sub-scheme under the PMAY(U).

c) ***The PMAY(U): Implementation and Monitoring***

For effective implementation and monitoring of the Mission, number of systems is in place to ensure transparency in demand survey, beneficiary selection, fund transfer, monitoring etc. Here, field level verification is done through Third Party Quality and Monitoring Agency and Social Audit, which is commendable. Even, states have dedicated State/City-level technical cells for implementation and monitoring of the mission.

d) ***Robust Management Information System (MIS) System***

It is a comprehensive and robust MIS that helps all stakeholders to seamlessly manage the flow of information pertaining to physical and financial progress. It has also been integrated with PMAY (U) Mobile App, UMANG platform, PMO Dashboard, NITI Aayog Dashboard, CLAP Portal, DBT Bharat Portal, Bhuvan HFA mobile app, Bharat HFA mobile etc.

e) ***Direct Benefit Transfer***

The transfer of the Central and State share to the beneficiaries of BLC vertical is being done by the States/ULBs through Direct

Benefit Transfer (DBT) mode, where the instalments are credited directly into the beneficiary's bank account on the basis of completion of construction stage and geo-tagged.

In the Scheme, 5 percent of allocation is earmarked for Capacity Building, Information Education & Communication (IEC) and Administrative & Other Expenses (A&OE). Allocation under the Capacity Building head is being utilised for carrying out activities for effective implementation of the Mission. These activities have following components:

- Housing for All — Plan of Action
- Establishment of State Level Technical Cells and City Level Technical Cells
- Social Audit
- Trainings and Workshops
- Third Party Quality Monitoring
- Geo-tagging
- Information Education & Communication
- Administrative & Other Expenses.

From the components under the Capacity Building Budget, three components are shared between the Central Government and the concerned State/UT in the ratio of 75:25 and in case of North Eastern and Special Category States in the ratio of 90:10.

f) Technology Sub-Mission

For integrated approach especially for comprehensive technical & financial evaluation of emerging and proven building materials & technologies, their standardisation, developing specifications and code of practices, evolving necessary tendering process, capacity building and creating appropriate delivery mechanism, the MoHUA has set up a Technology Sub-Mission (TSM) under the Mission as Sustainable Technological Solutions for Faster and Cost Effective, affordable and environment friendly Construction of Houses suiting to Geo-Climatic and Hazard Conditions of India.

g) Regional Hubs to Support the States/UTs

The institutions, namely - IITs - Kharagpur, Kanpur, Madras, Roorkee, Hyderabad and NIT Silchar have been selected to support the State/UT Governments in identifying specific solutions in view of local conditions; and to adapt global best practices, preparation of training manuals, training of engineers and architects, testing of new construction materials and taking up research projects in the area of new construction technologies in Urban India.

h) Emerging Building Materials and Technologies: Identification, Evaluation and Certification

To identify, evaluate and promote emerging construction systems suiting to different geo-climatic conditions that are safe, sustainable and environment-friendly; and ensure faster delivery of quality houses Building Materials and Technology Promotion Council (BMTPC) is mandated, that is, an autonomous organisation under the MoHUA. The Central Government has authorised the BMTPC to certify such new systems through Performance Appraisal Certification Scheme.

iii) Impact of the PMAY(U)

a) Social and Economic Impact

The direct and indirect impact of investment in the housing sector can be observed on economy, which has significant bearing on employment generation. In this regard, a study was conducted by the National Institute of Public Finance and Policy for the period from June 2015 to January 2019. It has been observed that as on 31st December 2020, a total of 587 crore person days of employment has been generated under the PMAY(U), which includes 163 crore person days of direct employment and 424 crore person days of indirect nature. On the basis of NSSO estimates, this study used 280 working days in a year as a basis for calculating the number of jobs created. This results in creation of 213 lakh jobs in total that includes 59 lakh as direct and 154 lakh as indirect.

Coverage of various Vulnerable Groups

The PMAY(U) has sanctioned 1.10 crore houses, which covered social groups that comprises of about 6.3 lakh senior citizens, 5.15 lakh construction workers, 3.6 lakh domestic workers, 3.3 lakh artisans, 0.74 lakh differently-abled (Divyang), 700 transgender and 500 leprosy patients. We have already stated that women empowerment is an inbuilt design of the Mission, wherein the ownership of the house is in the name of female head of household or in the joint name of male head of the household.

b) Impact on Industries

It is evident that due to investment being made in the scheme, about 908 Lakh metric tonne of cement would be required for sanctioned houses, out of which 408 lakh metric tonne of cement has already been consumed in completed houses. In addition, 182 lakh tonne of steel is required for the sanctioned houses, of which about 82 Lakh metric tonne of steel has already been consumed in the completed houses. Its impact can also be observed on livelihood, transport sector, horticulture, landscape development sector, etc.

iv) **Role of ANGIKAAR: A Campaign for Change Management**

Aligning with addressing issues, which arise from life transformation after moving into pucca houses, ANGIKAAR, that is a campaign for change management, was launched in 2019. The major focus of campaign is on adopting best practices like water and energy conservation, waste management, sanitation and hygiene, and effective Waste Management for the beneficiaries through community mobilisation and IEC activities in the affected areas.

It is to be noted that ANGIKAAR adopts a 3Cs-Strategy, that is, Convergence, Community Engagement and Communication. It is being implemented through four components i) Need Assessment; ii) Promoting Door-to-Door Awareness; iii) City and Ward level activities; and iv) Outreach for financial literacy. The Mission had brought into its fold welfare-oriented Schemes of the Central and State Governments such as Ayushman Bharat, Eat Right India, Ujjwala, Jal Shakti Abhiyan, Fit India Movement, Poshan Abhiyan, Solar Mission and Financial Awareness Messages (FAME).

It is worth mentioning that 18,500 ANGIKAAR resource persons have conducted the need assessment and propagated the messages on best practices. However, about 5-6 ward/city-level IEC activities/campaigns were conducted in each city, which includes swachhata pledge, ban on single use plastic, sand art, essay competition, ANGIKAAR pledge on change management, street plays, folk songs, wall paintings, health camps, tree plantations and cleanliness drives and campaigns like swachh pathshaala, swachh makaan, swachh colony, distribution of LED and solar lights, building rain water harvesting structures etc. The data reflects that about 20 lakh beneficiaries were outreached for need assessment and door-to-door awareness, of which 5 lakh EWS/LIG beneficiaries under the CLSS vertical were covered for financial literacy through PLIs. As part of the Jan Andolan Campaign, the beneficiaries have also been sensitised and made aware of COVID-19 safety measures. Thus, it can be stated that the Campaign is well placed to evolve; and cater to the emerging social and public health, and overall life transformation challenges that the beneficiaries may face in urban India.

v) **Pradhan Mantri Awas Yojana (Urban) Awards**

In 2019, to recognise the outstanding performance of States/UTs, ULBs and beneficiaries; and to identify and felicitate the “Achievers” and encourage others to compete and attain the goal of “Housing for All”, the PMAY(U) Awards for “Implementation and Innovation” were instituted under the Mission.

To conclude, the "Pradhan Mantri Awas Yojana – Housing for All (Urban)" Mission has been taken up for 2015-2022, which will provide central assistance to implementing agencies through States and UTs for providing houses to all eligible households by 2022. It is being

implemented as Centrally Sponsored Scheme (CSS) except for the component of credit linked subsidy that will be implemented as a Central Sector Scheme. Under this Mission, all statutory towns as per Census 2011 and towns notified subsequently would be eligible for coverage. In this regard, the States/UTs will have the flexibility to include in the Mission the Planning area as notified with respect to the statutory town and that surrounds the concerned municipal area. In this section, we have noted that Mission has undertaken various reform-oriented developments. As the urbanisation has become an important and irreversible process, therefore there is an urgent need to have a comprehensive strategy to fulfil the rising demand of urban housing in India. In this regard, the PMAY(U) is contributing in bringing a paradigm shift in the housing policies and promotes the ethos of cooperative federalism. However, the implementation of the ARHCs for the welfare of poor migrants is also an important focus of the Mission so that s/he can get a decent place of shelter near her/his workplace at affordable cost. Thus, it is evident that it reflects the development model of Sabka Saath, Sabka Vikas, Sabka Vishwas and Sabka Prayas, which is on-going process.

10.3 ATAL MISSION FOR REJUVATION AND URBAN TRANSFORMATION

The Mission was launched on 25th June, 2015 in selected 500 cities in India. In the Atal Mission for Rejuvenation and Urban Transformation (AMRUT), focus of the scheme is on infrastructure creation that has a direct link to provision of better services to the citizens in Urban India. It is connected to the Swachh Bharat Mission. All Urban Local Bodies (ULBs) with a population of one lakh or more, other capital cities of States/ Union Territories, HRIDAY cities, identified cities on the stem of the main rivers, from hill states, islands and tourist destinations were included as Mission cities. Thus, about 60 percent of the urban population in India is covered under this Scheme. It is a Centrally Sponsored Scheme with a total Central outlay of rupees fifty thousand crore spread over 5 years, that is, from financial year 2015-2016 to financial year 2019- 2020, and that has been extended to complete the grounded projects.

Now, AMRUT 2.0 aims to make about 4,700 towns/cities Aatmanirbhar and water secure. It extends coverage from 500 cities to 4700 cities/towns, and promotes PPP. The AMRUT has a reform agenda, which focuses on strengthening of the Urban Local Bodies and water security of the cities.

i) AMRUT: Implementation

The AMRUT has been launched to ensure that every household has access to a tap with assured supply of water and a sewerage connection; increase in the amenity value of cities by developing greenery and well-maintained open spaces, for example Parks; and reduction in pollution level by switching to public transport or constructing facilities for non-

motorised transport that is possible by walking or cycling. In this regard, it focuses on the following areas:

- Adequate water supply,
- Proper sewerage facilities and septage management,
- Proper storm water drains to reduce flooding,
- Necessary pedestrian, non-motorised and public transport facilities, parking spaces, and
- Enriching amenity value of cities by creating and upgrading green spaces, parks and recreation centers.

The major components of AMRUT are:

- Water Supply:** It provides for rehabilitation of old water supply systems, which includes treatment plants and rejuvenation of water bodies – especially for drinking water supply and recharging of ground water. In managing water supply, some of the important features are recycling/reuse of wastewater, reduction in use of non-revenue water and efforts for exploring the possibilities for septage management.
- Sewerage and Septage Management:** The Mission provides for decentralised, networked underground sewerage systems in urban areas, including augmentation of existing sewerage systems and sewage treatment plants; recycling and reuse of wastewater; Faecal Sludge Management - cleaning, transportation and treatment in a cost-effective manner; and mechanical and biological cleaning of sewers and septic tanks under Sewerage and Septage management.
- Storm Water Drainage:** To reduce and eliminate flooding, there is provision for construction and improvement of drains and storm water drains.
- Urban Transport:** It includes construction of footpaths/walkways, sidewalks, foot over-bridges and facilities for non-motorised transport and multi-level parking in cities.
- Green Space and Parks:** It refers to development of green space and parks with special provision for child-friendly components.
- Capacity Building:** It provides for enhancing the capacity of an individual and institutional building.
- Reforms Management and Support:** For improvement in the urban governance, especially in the area of service delivery, resource mobilisation, promoting transparency in municipal functioning and for making municipal functionaries more accountable this Scheme provides for support structures, activities and funding support for reform implementation.

It is worth mentioning that the Universal coverage of water supply and sewerage network are the priority sectors, under the AMRUT. At the inception stage of Mission, water supply coverage was 64 percent and the sewerage network was 31 percent, which aims to cover 100 percent households; and envisages enhancing the sewerage network coverage to 62 percent in the 500 selected cities.

The State Annual Action Plans (SAAPs) of all the States/ Union Territories for the entire Mission period, amounting to Rs. 77,640 crore that includes Central Assistance of Rs. 36,990 crore. Under this Scheme, Rs. 24,306 crore has been released for projects, of which Rs. 5,889 crore has been released during 2020 to achieve the targets.

AMRUT: Implementation in Rajasthan

In Rajasthan, under AMRUT 29 cities have been selected, that is, Alwar, Beawar, Sikar, Nagaur, Bhiwadi, Pali, Sawai Madhopur, Tonk, Hanumangarh, Bundi, Sujargarh, Dholpur, Gangapur City, Chittorgarh, Bhilwara, Sri Ganganagar, Churu, Jhunjhunu, Baran, Kishangarh, Hindaun City, Jaipur, Jodhpur, Ajmer, Kota, Bikaner, Udaipur, Bharatpur and Jhalawar. In this regard, following sectors have been identified: water supply, sewerage and septage, drainage, urban transport and Green Spaces. It is worth mentioning that Rs. 1,395.07 crore has been received, which has been released to the concerned ULB/Parastatal agencies (upto second instalment). In the third instalment, the total amount of Rs. 586.54 crore has been released under the scheme by the Central Government, out of which Rs. 268.75 crore has been released by the Rajasthan Government to RUDSICO that has been transferred to the respective executive agencies. The State Government has released Rs. 134.37 crore as matching share against the Government of India's share, which was released for the third instalment (Government of Rajasthan, Economic Review 2020-21).

ii) Achievements under AMRUT

- a) **Water tap and Sewer connections:** It is to be noted that against the target of providing 139 lakh water tap connections to achieve universal coverage and 145 lakh sewer connections to enhance substantial sewerage network coverage, 105 water and 78 lakh sewer connections have been added.
- b) **Capacity Building:** In this area, functionaries have been trained. It is worth mentioning that more than 55 thousand personnel (political/ executive) have been trained in different modules.
- c) **Reform Implementation:** In addition to creating infrastructure for basic amenities as stated above, it has a reform agenda that is a set of 11 reforms comprising 54 milestones to be achieved by the States/ UTs, that is offering online services to citizens, establishing single window for all approvals, establishing municipal cadre, achieving at

least 90 percent of billing and collection of taxes/user charges, developing park for children, establishing maintenance system for parks and play grounds, Sewerage Projects - Sewerage Treatment Plant, Bhiwadi, Rajasthan Sewerage Treatment Plant, Siddipet, Komati Cheruvu Park at Siddipet, Telangana Park at Rajpur-Sonarpur, West Bengal Storm Water Drainage Project, Kochi, Kerala Stepped walkway in hilly terrain of Gangtok, Sikkim credit rating, implementing model building bye-laws etc. In this context, progress and achievements under reform implementation are as follows:

- **Reform incentive under AMRUT:** The incentive of Rs.1,865.36 crore was awarded to 26 States/ UTs for reform implementation. Of which Rs. 207.34 crore has been released as incentive to 9 ULBs that is, Ahmedabad, Amaravati, Bhopal, Hyderabad, Indore, Pune, Surat, Vishakhapatnam and Lucknow for raising fund through issuance of Municipal Bonds.
- **Credit rating under AMRUT:** In this Scheme, credit rating works have been awarded for 485 cities and were completed in 469. In this context, 163 cities have received Investment Grade Rating (IGR) and others have to make efforts for enhancement of credit worthiness. It is to be noted that there are 36 cities in 12 States with rating of A - & above and they have higher potential to issue municipal bonds.
- **Online Building Permission System under AMRUT:** This system has been implemented in 2,205 cities, which includes 444 AMRUT Mission cities. It is worth mentioning that the Online Building Permission System (OBPS) in 14 States/ UTs has been completed for all the ULBs - A&N Islands, Andhra Pradesh, Dadra & Nagar Haveli, Delhi, Gujarat, Haryana, Himachal Pradesh, Jharkhand, Karnataka, Madhya Pradesh, Maharashtra, Punjab, Telangana and Tripura. In addition, 21 States/UTs have integrated OBPS in single web portal. It is to be appreciated that in the World Bank Doing Business Report (DBR) 2020, India has jumped to 27 rank from 181 rank, which was reflected in DBR 2018 in dealing with construction permits.
- **Replacement of streetlights with LED lights Under AMRUT:** In this regard, MoU has been signed in 457 cities (34 States/UTs) with Energy Efficiency Services Limited (EESL) or other organisations. The estimated target for replacing the streetlights is 102 lakh; and 88 lakh conventional streetlights have been replaced in urban areas with energy efficient LED.
- **Sub-scheme of preparation of GIS Based Master Plan:** The physical progress under the sub-scheme is as follows:
 - For creation of Base Map, draft geo-database for 393 towns and final geo-database for 104 towns has been prepared.

- To formulate the GIS based Master Plan, the draft Master Plan has been prepared in 71 towns and final Master Plans in 43 towns.

d) Financial Progress

It is evident from the data that as on 21st September 2021, 3778 projects have been completed with outlay of 21209 crores and 2012 projects are in progress with an outlay of Rs 60896 crores.

e) Local Area Planning and Town Planning Scheme under AMRUT

This sub-scheme has been taken up through capacity building and is being implemented in 25 cities in India.

It is evident from data that till 27th June 2021, the AMRUT has focused on providing water to all households, increasing sewage coverage from 30 to more than 60 percent and at least one green park in (each 100K+ population) 500 cities. Even, more than 105 lakh water and 78 lakh sewer connections have been added; and 1,240 MLD wastewater treatment STP built. Of which, 907 MLD is being reused/ recycled consequently saving that much freshwater; 4,800 MLD STPs are under construction; more than 1,800 parks covering around Rs. 3,700 acres have been completed and that are being used; and 800 parks, which are being developed are coming up. In addition, 88 lakh street lights have been converted to LED, that is, saving about 193 crore units, and avoiding 15.4 lakh tons Carbon emission. It is to be noted that 10 cities have raised ₹3,840 crore through Municipal Bonds and many cities are underway to become Aatma Nirbhar City. It is worth mentioning that in the last 6 years, India's rank in the World Bank's Ease of Doing Business in Construction Permits has risen from 186th to 27th rank that is 159 places. For bringing ease to public/ stakeholders, 2,465 cities and all cities of 16 States/UTs have implemented Online Building Permission System. More than 55K personnel (political/ executive) have been trained in different modules to ensure efficiency and effective implementation. With storm water drainage systems built under AMRUT, more than 1,400 flooding points in urban areas have been eliminated and about 800 non-motorised projects have been taken up. As per assessment, overall against around Rs. 79,000 crore projects grounded for construction, more than Rs. 52,000 crore have been completed. Overall, Team India (Centre, State, Cities, parastatals and other stakeholders) has worked in focused manner to realise the goals of AMRUT (Ministry of Housing and Urban Affairs - Home | Facebook, June 27, <https://x.facebook.com/mohua.india/>)

Thus, it can be concluded that under the AMRUT, it is ensured that every household has the facility of access to a tap with assured supply of water and a sewerage connection; increase in the amenity value of cities; and reduction in pollution level. All these outcomes of the Scheme are necessary for citizens, especially women. The important components of the Scheme consist of water supply, sewerage and septage management, storm water drainage, urban transport, development of green spaces and parks, capacity building,

and reform implementation. In this endeavour, joint efforts of political leaders, administrators and citizens are necessary for proper implementation of the Scheme and sustainable development in urban India.

Check Your Progress 1

Note: i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

- 1) Discuss the significance of ANGIKAAR in the Pradhan Mantri Awas Yojana (Urban).

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- 2) What are the major components of AMRUT?

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10.4 SMART CITIES MISSION

The Smart City Mission (SCM) was launched on 25th June 2015. Over last 5 years, following the launch of Smart Cities' Mission guidelines, 100 cities have been selected through Challenge process. The basic objective of this Mission is to promote cities that provide core infrastructure and give a decent quality of life to its citizens, a clean and sustainable environment and application of "Smart" Solutions. The major focus remains on sustainable and inclusive development. In this regard, the aim is to work in compact areas, create a replicable model that will act like a light house to other aspiring cities in India. It is to be noted that the purpose of the SCM is to drive economic growth and improve the quality of life of people by enabling local area development and harnessing technology, which leads to Smart outcomes. In this context, area-based development will transform existing areas (retrofit and redevelop), including slums, into better planned ones, resulting in development and improvement of the whole City. In addition, new areas (greenfield) will be developed around cities to accommodate the

rapid increase in population in urban areas. However, application of Smart Solutions will enable cities for effective use of technology, information and data to improve infrastructure and services in urban areas. It is worth mentioning that a comprehensive exercise of citizen engagement laid foundation in SCM for preparing the Smart City Proposals for participating in national level challenge.

Smart City Mission: Strategy

In this Mission, the strategic components of area-based development comprise of city improvement, city renewal and city extension plus a Pan-city initiative, in which Smart Solutions are applied covering larger parts of the city in Urban India. The State Government and the ULBs determine the paid-up capital requirements of the Special Purpose Vehicle (SPV) commensurate with the size of the project, commercial financing required and the necessary financing modalities. The SCM is operated as a Centrally Sponsored Scheme and the Central Government has proposed to give financial support to the Mission to the extent of Rs. 48,000 crore over five years, i.e., on an average of Rs. 100 crore per city per year. An equal amount on a matching basis is to be contributed by the concerned State/ULB. In case the Government of India funds and matching contribution by the States/ULB meet a part of the project cost, then the balance funds are expected to be mobilised from sources, which we have discussed in unit 8 of this Course.

After selection of the cities, the process of implementation starts, which is described in the forthcoming sub-section.

i) Smart City Mission: Implementation

The Mission and projects under the SCM have a strong qualitative element. The progress of implementation of projects depends on the date of the selection of the Smart City. It is to be noted that after selection, it takes around 18 months to start implementing projects on the ground in the city.

a) Implementation Status

The implementation of the SCM is done by a SPV, which contributes in planning, implementation, monitoring and evaluation of the development projects. It is set up at the city level in a smart city in the form of a limited company, under the Companies' Act, 2013; and promoted by the State/UT and the ULB jointly, with 50:50 equity shareholdings. In this regard, the Project Management Consultants (PMCs) support the Smart City SPVs to design and develop projects for implementation in multiple sectors covering water supply, smart roads, heritage and place- making, smart IT and communication, App based citizen service delivery system, etc.

Each smart city has a SPV, which is headed by a full time Chief Executive Officer (CEO) and have nominees of the Central Government, State Government and ULB on its Board. The States/ULBs need to ensure that a dedicated and substantial revenue

stream is made available to the SPV so as to make itself sustainable and could evolve its own credit worthiness for raising additional resources from the market; and the Government's contribution for smart city is used for creating infrastructure that has public benefit outcomes. Next sub-section depicts the progress of implementation in a state on the basis of data from Rajasthan.

b) **Smart Cities Mission in *Rajasthan***

In Rajasthan, 4 cities namely Jaipur, Udaipur, Kota and Ajmer were shortlisted to be developed as Smart Cities. Under this Mission, the State Government is making efforts to promote cities that provide core infrastructure, give a decent quality of life to their citizens, a clean and sustainable environment and apply “Smart” solutions for the development of cities. The funding mechanism provides Rs. 100 crore per city for 5 years to be given as a grant by the Central Government and an equal amount has to be contributed by the concerned State/ULB. It is to be noted that on 31st December, 2020 an expenditure of Rs. 1,237 crore has been incurred under this Mission, against total received amount of Rs. 1,744 crore. It is to be noted that under smart city project, following works like provision of open-air gyms, fire rescue jeeps and bikes, preparation of solar master plan and creation of solar city cell, smart roads, smart classrooms, smart toilets, street lighting, public transport system, construction of high-level bridges, multi-level flyover, Wi-Fi, air pollution monitoring, mosquito monitoring, transportation support and allocation for parking spaces, installation of water ATM machines are being carried out (Government of Rajasthan, Economic Review 2020-21).

ii) **Smart Cities Mission: Achievements**

It is worth mentioning that there are more than 6,000 small and big projects, which will be completed with the cost of more than Rs. 2 Lakh crore under various phases. (Ministry of Housing and Urban Affairs - Home | Facebook, June 27, <https://x.facebook.com/mohua.india/>).

- a) The cities under Mission have incorporated SPVs, Smart City Advisory Forums (SCAFs) and appointed Project Management Consultants (PMCs). Since the launch, 5,151 projects worth more than Rs. 2 lakh crores are implemented, which are at various stages of implementation in the 100 cities. It is to be noted that as on 31st December 2020, the value of tendered smart city projects was Rs. 1,76,357 crore, the value of work orders issued was Rs. 1,40,374 crore and the value of all completed projects was Rs. 35,058 crore. It is evident from the data that significant progress has been made in implementation of the projects pertaining to Integrated Command and Control Centres, Smart Roads, Smart Water, Solar Rooftops, and Vibrant Public Spaces in Urban India. However, the SCM is a long duration Project; and its results will be visible in post-2022 period.

b) ***New Initiatives***

Under the Mission, several initiatives have been launched that ensure integrated development across various aspects of the urban development and catapult the SCM to the next stage of development. In this regard, some of the important are:

- India Smart Cities Fellowship Programme
- Ease of Living Index and Municipal Performance Index
- Climate Smart Cities
- Data Smart Cities Strategy, Assessment Framework and Open Data, India Urban Data Exchange Portals
- India Urban Data Exchange
- National Urban Innovation Stack
- India Urban Observatory
- Capacity Building Frameworks on the National Urban Learning Platform
 - Nurturing Neighbourhoods Challenge
 - India Cycles for Change Challenge
 - ICT Standards for Smart Cities Preliminary Draft ICT Standards
 - The Urban Learning Internship Programme
 - COVID-19 Response in Smart Cities.

c) **Smart City Mission and Rapid Response in COVID-19 Management**

It is to be mentioned that the SCM has supported for rapid response in COVID- 19 management. Under this Mission, the Integrated Command and Control Centers (ICCC) were set up in various Smart Cities such as Bengaluru, Pune, Agra and Vadodara. During pandemic, they have been transformed into the war rooms for real time monitoring and effective management of the pandemic using technology. It needs to be mentioned that the SCM collated best practices across Smart Cities in fighting COVID-19. These practices include gathering information, rapid communication, active management of COVID infected areas and people; and take proactive steps in avoiding spread of the pandemic. They have been documented and shared with all the Smart City CEOs and Municipal Commissioners and were replicated in other cities in Urban India. The SCM has collated information on food and shelter provision with location and contact details of food distribution, shelter homes and kitchens that exist or newly started across the Smart Cities,

which is necessary during disaster or any other emergency. It is to be noted that this significant information has been shared across the city stakeholders and is also accessible via Google maps. The SCM is meant to set examples that can be replicated within and outside the Smart City, catalysing the creation of similar Cities in urban India.

The challenges cities face in India can be overcome in such ways that allow them to grow, while improving resource utilisation and reducing pollution level and poverty. The joint and sincere efforts of political leaders, administrators and citizens will contribute to shape the desired future of urban areas. Consequently, citizens' participation in policy formulation and implementation is necessary for enhancing trust between citizens and government, sustainability, better service delivery and accountability. This type of enabling environment reflects opportunities for all, with easy access to basic services, energy, housing, transportation etc. Besides, it will pave the way for inclusive, safe, resilient and sustainable human settlements in urban areas. In this regard, integrated policies are required to improve the lives of urban and rural dwellers, while strengthening the linkages between urban and rural areas, building on their existing economic, social and environmental ties for sustainable development. The Sustainable Development Goal (SDG) 11 on Sustainable Cities and Communities also states that the sustainable development of cities plays a vital role in development as they offer opportunities for people to prosper economically and socially. The Government of India is implementing the SDGs; and is strongly committed to achieve the Goals to ensure Sabka Saath, Sabka Vikas, Sabka Vishwas and Sabka Prayas in the spirit of the Sustainable Development Goals' motto of "Leaving No One Behind". Hence, urbanisation is intrinsically connected and irrevocably enlaced with the development process in the Urban Local Governance.

10.5 ROLE OF STATE AND LOCAL GOVERNMENT IN IMPLEMENTATION OF FLAGSHIP CENTRAL SCHEMES

We have already discussed that the Ministry of Housing and Urban Affairs has launched several schemes to improve urban services in the ULBs. In this context, the Central government directly cannot direct the ULGs to implement its schemes on the ground, as the ULGs are under the subjection of the State Government. Therefore, the Central Government guide the ULGs with asking State Government to implement its schemes through the LG. Consequently, the role of State Government is crucial in implementation of the Central Government Schemes by the ULGs. In case of AMRUT, the ULBs are responsible for its implementation. In this regard, the Municipal Commissioner ensures timely preparation of SLIP. The ULBs develop DPRs and bid documents for projects in the approved SAAP. The ULBs, ensure city level of approvals of DPRs and bid documents and forward these to the SLTC/SHPC for approvals. They procure implementation agencies as provided in the financial rules and regulations and after award of work,

ensure its timely completion. For this purpose, the ULBs take support from PDMCs to perform these activities. The Local Bodies also develop a road map for implementation of reforms and capacity building. They are also responsible for building coordination and collaboration among stakeholders for timely completion of projects without escalation of project cost. For successful implementation of the Scheme/Programme, higher degree of cooperation and coordination between the State Government and Local Bodies is required. In this regard, the ULGs at the grassroots level are close to the people in addressing the issues and in providing facilities, etc., which contributes in effective implementation of the Scheme. The Special Purpose Vehicle is formed at the municipal level to oversee project implementation. We have already discussed the role of Local Government in earlier units. Therefore, in this section, we will focus on the role of State and Local Government in monitoring of the Scheme on the basis of SCM.

i) Monitoring: At the State Level

A State Level High Powered Steering Committee (HPSC) chaired by the Chief Secretary, has been recommended, which would steer the Mission Programme in its entirety. The HPSC comprises of the representatives of State Government departments. The Mayor and Municipal Commissioner of the concerned ULB represent in the HPSC. In addition, a State Mission Director is supposed to be an officer not below the rank of Secretary to the State Government, who is nominated by the State Government. The State Mission Director functions as the Member Secretary of the State HPSC.

The major responsibilities of the HPSC are to:

- a) Provide guidance to the Mission, and State level platform for exchange of ideas regarding development of smart cities;
- b) Oversee the process of first stage intra-State competition; and
- c) Review the Sustainable Cities Programmes (SCPs), and send it to the MoUD.

ii) Monitoring: At the City Level

A Smart City Advisory Forum (SCAF) has been recommended to be established at the city level for 100 Smart Cities. The purpose is to advise and enable collaboration among various stakeholders, which includes the District Collector, MP, MLA, Mayor, CEO of SPV, local youths, and technical experts. It is worth mentioning that the CEO of the SPV is the convener of the SCAF.

It is evident from the study that for effective and efficient service delivery, good governance system and effective coordination and co-operative mechanism between the Center, State, and Local Governments is required. In this regard, devolution of powers and functions with appropriate finance by the State Government to the Local Bodies should be done at the earliest for strengthening the Urban Local Governance for effective implementation of the Scheme and sustainable development.

Check Your Progress 2

Note: i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

1) What are the major issues and challenges in urban areas?

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2) Write a note on urbanisation and development.

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10.6 CONCLUSION

We have witnessed the urbanisation in the world. The data highlights that 35 percent of the population, live in urban areas. As India continues to urbanise, therefore efforts for sustainable development depend on the successful management of urban growth, especially in selected cities where the pace of urbanisation is projected to be the fastest. At this stage, many state governments are facing challenges in meeting the basic needs of their growing urban population. Here, problems of unemployment, health care, education, housing, transportation, energy system and infrastructure are posing big challenge, which can only be addressed through modern urban governance. The Sustainable Development Goal (SDG) 11 on Sustainable Cities and Communities also states that the sustainable development of cities plays a vital role in development, as they offer opportunities for people to prosper economically and socially. The Government of India is implementing the SDGs; and is strongly committed to achieve the Goals to ensure “Sabka Saath, Sabka Vikas, Sabka Vishwas” in the spirit of the Sustainable Development Goals’ motto of “Leaving No One Behind”. In this Unit, we have discussed the need, significance and achievements through the Pradhan Mantri Awas Yojana - (Urban), Atal Mission for Rejuvenation and Urban Transformation and Smart Cities Mission to attain balanced growth and sustainable development in the urban areas of States and Union Territories. It

is expected that comprehensive development will improve quality of life, create employment opportunities and enhance incomes of citizens, leading to inclusive Cities in India.

We hope that this Unit has given you adequate information and knowledge on flagship programmes and schemes, which contribute in sustainable development. In the next unit, we will explain and analyse the role of urban government in service delivery.

10.7 GLOSSARY

ARHCs Scheme: On realising the need of decent rental housing for migrants/ workers at affordable rate near their worksites and to promote economic activities in post COVID-19, the MoHUA initiated Affordable Rental Housing Complexes (ARHCs), a sub-scheme under PMAY(U) to provide ease of living to urban migrants/poor to get access to dignified affordable rental housing close to their workplace.

CLAP: It refers to the CLSS Awas Portal (CLAP), a web based real time monitoring system was launched in November 2019. This portal helps the beneficiaries to track their application status by using unique ID, starting from the time of submission of application to the release of subsidy. It is a common platform, where all stakeholders, that is, MoHUA, Central Nodal Agencies, Primary Lending Institutions, Beneficiaries, and citizens are seamlessly integrated.

Ease of Living Index: It refers to the assessment framework on “Ease of Living’ (EoL) Index” for cities that was launched with the basic objective of framing an index. It is worth mentioning that the edition of the EoL Index 2019-20, aims to assess the ease of living of citizens across the following pillars: Quality of Life, Economic Ability and Sustainability that are further divided into 14 categories across 50 indicators.

MIS: It refers to Management Information System (MIS) that allows submitting on-line demand survey with tracking facility and helps in housekeeping of various records through digitisation like Survey, Project information, Beneficiary details, fund utilisation etc. It is equipped with Geo-tagging features and integrated with Bhuvan Portal of National Remote Sensing Centre (NRSC) and Geo-Urban Mission Portal of National Informatics Centre (NIC) for monitoring the progress of construction of houses under BLC and projects under ISSR/AHP respectively. The robust MIS is utilising services from UIDAI servers for “on the fly” demographic authentication of Aadhaar of beneficiaries in India.

Municipal Performance Index: The Municipal Performance Index, 2019 seeks to examine the sectoral performance of the Municipalities across a set of 5 verticals namely Service, Finance, Planning, Technology and Governance. These verticals have been further divided into 20 sectors that will be evaluated across 100 indicators. It is to be noted that these indices will help to build a mature data ecosystem with a common baseline data that can

be leveraged by the States and Cities as an instrument for urban planning and management.

Pan-city development: It envisages application of selected Smart Solutions to the existing city-wide infrastructure, which will involve the use of technology, information and data to make infrastructure and services better.

Place-making: It means creating places, which is a process that focuses on transforming public spaces to strengthen the connections between people and places. It is based on the peoples' needs, aspirations, desires, and visions that rely on community participation. It is a multi-faceted approach to the planning, design and management of public spaces that promotes people's health, happiness, and well-being. In this context, everyday heritage plays an important role in unfolding a place's potential, which positively influences the place-making within urban design.

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10.9 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Refer Section 10.2
- 2) Your answer should include the following points:
 - a) Water Supply
 - b) Sewerage and Septage Management
 - c) Storm Water Drainage
 - d) Urban Transport
 - e) Green Space and Parks
 - f) Capacity Building
 - g) Reforms Management and Support.

Check Your Progress 2

- 1) Your answer should include the following points:
 - a) Refer Section 10.4
- 2) Your answer should include the following points:
 - b) Refer Section 10.4

UNIT 11 **ROLE OF URBAN LOCAL GOVERNMENT IN SERVICE DELIVERY***

Structure

- 11.0 Objectives
- 11.1 Introduction
- 11.2 Water Supply in Urban Areas
- 11.3 Sanitation in Urban Area
- 11.4 Public Health Services in Urban Local Bodies
- 11.5 Municipal Solid Waste Management in India
- 11.6 Education in Cities
- 11.7 Communication for Effective Service Delivery
- 11.8 Conclusion
- 11.9 Glossary
- 11.10 References
- 11.11 Answers to Check Your Progress Exercises

11.0 OBJECTIVES

After studying this Unit, you should be able to:

- Discuss the gaps in service delivery of water supply, sanitation, public health and education;
- Explain the Benchmarks for Service Delivery for water supply, sewerage and municipal solid waste management;
- Highlight the guidelines for service delivery regarding the above mentioned subject matters under recent government programmes; and
- Examine the issues affecting efficient Service Delivery.

11.1 INTRODUCTION

Urban areas in India, contribute about 63 percent to the GDP. It is estimated that they will be contributing about three-fourth of the GDP by 2030. It works as a pull factor and people migrate from rural areas to urban areas. That puts pressure on civic infrastructure and services. However, it is the responsibility of the Local Government to ensure that the citizens have the

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access to the basic services. Basic Services for Urban Poor (BSUP) programme had identified seven basic services to be covered under the programme, which include water, sanitation, education and health – the services, which are being discussed in this Unit. It may be remembered that cities provide many more services to its residents, also. These services are also listed under the Twelfth Schedule of the Constitution. The United Nations General Assembly through Resolution 64/292 on 28th July 2010, explicitly recognised the human right to water and sanitation. The Urban Local Bodies (ULBs) have enormous responsibilities in providing them efficiently.

The initiatives of earlier governments have been consolidated by the Government of India to further improve the access to services. The Government of India's missions on urban sector launched in 2014 have covered a wide spectrum of reforms and development, taking necessary improvement in the scope of JNNURM and BSUP. These include Swachh Bharat Mission, Smart Cities Mission (100 smart cities), PMAY(U) providing 20 million houses to bridge the backlog, AMRUT with focus on infrastructure and governance, National Urban Livelihood Mission (NULM) by subsuming all poverty related programmes and giving focus on productivity of urban poor and street vendors and HRIDAY.

11.2 WATER SUPPLY IN URBAN AREAS

Adequate availability of water of required quality is pre-requisite for survival and quality of human life. India has more than 18 percent of the world's population but, has only 4 percent of the world's renewable water resources. National Water Policy 2012, emphasised management of water resource projects and services by the ULBs through community participation and also through associating with the private sector. It also suggested penalties for failure under regulatory control on prices charged and service standard with full accountability to democratically elected local bodies.

The primary sources of water in India are rivers, ponds/lakes/tanks, rainwater, glacier melts, groundwater/hand pump/bore well, sea water and atmospheric water, whereas the secondary sources include canals, dam reservoirs, bottled water, tanker supplies, tap water from treated/untreated source.

A major problem in ensuring appropriate level of water supply is laying down the pipeline network and repairing the old ones, as in many cities they have completed their product life. This leads to rusting and seepage. The service level status can be seen in the table 11.1 given below:

Table 11.1: Percentage of HHs by Main Source of Drinking Water

year	Tap/piped water		Tube-wells	well	spring	River/dam/lake/stream	Tanker	Bottled water	Tube-well/bore-well	Hand-pump	others
	Within premises	Outside premises									
2015-16	33.43	35.55	17.45	4.70	0.30	0.37	2.13	5.10	—	—	0.97
2011	54.07	16.56	—	6.15	0.16	0.56	—	—	8.90	11.86	1.74

Source: *National Family Health Survey 2015-16*
Census of India, 2011

World Health Organization (WHO) tracks services on a continuous basis, which is evident in subsequent table 11.2

Table 11.2: WHO data on Drinking Water for Urban Areas in 2017

Service level	Population coverage	Percentage
At least basic	431934542	96
Unimproved	15082660	3.4
Surface water	1555394	0.3
Limited service	1391917	0.3

The next table 11.3 highlights the Service Level Benchmarks for water supply.

Table 11.3: Service Level Benchmarks for Water Supply

S. No.	Indicators	Benchmark
1.	Coverage of water supply connections	100%
2.	Per capita supply of water	135 lpcd
3.	Extent of metering of water connections	100%
4.	Extent of Non-Revenue Water (NRW)	20%
5.	Continuity of water supply	24 hours
6.	Quality of water supplied	100%
7.	Efficiency in redressal of customer complaints	80%
8.	Cost recovery in water supply services	100%
9.	Efficiency in collection of water supply-related charges	90%

Source: Handbook on service level benchmarks, Ministry of Urban Development.

However, now the benchmarks seem to have been slightly relaxed, which is reflected from the fact that under the new programmes of Government of India cost recovery charges have been pegged at “Atleast 90% billing” and “Atleast 90% collection”.

Quantity and Quality of Water

WHO produces International norms on water quality and human health in the form of guidelines. As per the Eleventh Five-Year plan document, there were about 2.17 lakh quality affected habitations in the country that included rural areas. Benchmarks for per capita availability of water (at household level) is 135 lpcd. However, only few cities in India get this much or more. In cities, where the sewerage network is not there, CPHEEO guidelines say that, the benchmark is 90 lpcd. Under its flagship Programme Jal Jeevan Mission, the Centre aims to provide safe piped water to all households by 2024. However, Bureau of Indian Standards (BIS) that tested the quality of water in 15 cities in November 2019 found that in 13 cities, including Delhi, Kolkata, Chennai, Bengaluru, Jaipur and Lucknow, all tested samples failed to meet the BIS norms for piped drinking water.

Augmenting Water Supply in the Cities

The ULBs have now access to new storm drainage systems and have made rainwater harvesting as mandatory for the new buildings and depending on the size, for the old buildings too. The measures are meant to get the water injected into recharge wells to put water back into underground aquifers. The ULBs also have the responsibility of ensuring reuse of wastewater for activities like horticulture and construction. These measures also result in less water reaching the stream and thus avoiding the urban flooding. The 12th Five Year Plan document had proposed all Urban Water Supply projects to necessarily integrate sewage systems within them. National Ground water Management Programme sought the ULBs to make the groundwater management as part of their local plans.

11.3 SANITATION IN URBAN AREA

Sanitation, generally refers to the factors that create environmental pollution. In the ULB's context in India, besides other factors, the focus is on sewerage and solid waste management. The present status of the facilities can be noticed in the following table 11.4

Table 11.4: Sanitation Facilities in Urban India

S.No.	Facility	Percentage
1	Flush/pour toilet latrine, of which connected to:	72.6
	a) Piped sewer system	32.7
	b) Septic system	38.2
	c) Other system	1.7
2	Pit latrine, of which:	8.3
	a) with slab/ventilated improved pit	6.4
	b) without slab/open pit	0.7
	c) night soil disposed into open drain	1.2
3	Service latrine, of which:	0.5
	a) night soil removed by human	0.3

	b) night soil serviced by animals	0.2
4	No latrine within premises, of which	18.6
	a) Public latrine	6.0
	b) Open	12.6
	Total	100.0

Source: *Census of India 2011, Houses, Household Amenities and Assets: Latrine Facility*, Office of the Registrar General and Census Commissioner, India.

Table11.5:WHO data on Sanitation (service levels) for Urban Areas in 2017

Service level	Covered Population	Percentage
At least basic service	324029493	72
Limited service	97418586	21.7
Open defecation	21393790	4.8
Unimproved	7122643	1.6

Table11.6: WHO data on Sanitation (facility type) for Urban Areas in 2017

Facility type	Population	Percentage
Septic tank	226471200	50.3
Sewer	132951165	29.5
Improved latrines and others	62025714	13.8

For more details and better understanding, data on sanitation (service levels) has been depicted in table 11.5, and data on sanitation (facility type) has been presented in table 11.6 for Urban Areas in 2017.

Sewage treatment in the country is estimated to be only about 30 percent. Rest of the wastewater goes into streams, ponds, lakes and rivers of the town, polluting the water, leading to health implications. Alternatively, it goes into the ground contaminating the groundwater. Treatment capacity combined is very low. It can be seen in the following table 11.7

Table11.7: Wastewater Treatment Capacity in Indian Cities

Wastewater	Class I city (0.1–1 million)	Class II city (50,000– 99,999)	Total
Wastewater generated (mld)	35,558	2,697	38,255
Waste treatment capacity (mld)	11,554	234	11,788
Missing capacity (mld)	24,004	2,463	26,467
Untreated Waste (%)	68	92	70

Source: 12th Five Year Plan document citing CPCB

The 12th Plan document mentioned, “large parts of the modern cities remain unconnected to the sewage system as they live in unauthorised or illegal areas or slums, where the state services do not reach. In this situation, it is critical, we invest in sewage systems, but it is equally and even more critical that we invest in building affordable and scalable sewage networks, which requires a fresh look at the current technology for sewage and its treatment”.

Table 11.8: Service Level Benchmarks

Sewage Management (Sewerage and Sanitation)		
S. No.	Proposed Indicator	Benchmark
1.	Coverage of toilets	100%
2.	Coverage of sewage network services	100%
3.	Collection efficiency of the sewage network	100%
4.	Adequacy of sewage treatment capacity	100%
5.	Quality of sewage treatment	100%
6.	Extent of reuse and recycling of sewage	20%
7.	Efficiency in redressal of customer complaints	80%
8.	Extent of cost recovery in sewage management	100%
9.	Efficiency in collection of sewage charges	90%

Source: *Handbook on Service Level Benchmarks*, Ministry of Urban Development.

Open Defecation Free (ODF) movement has created a countrywide necessary infrastructure so that households have access to latrines. However, reports and verifications indicate that behaviour change is required as people in some places are still not using them. The second phase of ODF movement is focusing on that.

ODF+ protocol focuses on Operation & Maintenance of community/public toilets by ensuring functionality and proper maintenance of CT/PTs for their continued usage, and ODF++ focuses on addressing safe management of faecal sludge from toilets, and ensuring that no untreated sludge is discharged into open drains, water bodies or in the open. In this regard, 308 cities have been certified ODF+, and 130 cities have been certified ODF++. The ULBs have to get them verified as per the guidelines.

Institutional Arrangements for Water Supply and Sewerage Management

Traditionally, the water supply to the homes, industries and commercial enterprises in the urban areas has been the responsibility of the Urban Local Bodies (ULBs). However, infrastructure development like constructing water treatment plants and laying down city-wide network of pipelines has been entrusted to the state departments or parastatal agencies. For example, Public Health Engineering Department (PHED) was created in 1927 to provide

drinking water supply and sewerage facilities in Uttar Pradesh. In many states, like Odisha, it is still the PHD/PHED, which handles this responsibility, but in many states separate specialist entities have been created. For example, it is now Uttar Pradesh Jal Nigam, created through Uttar Pradesh Water Supply and Sewerage Act, 1975 (Act No. 43, 1975), which looks after infrastructure creation and supply of the water and sewage connection, whosoever demands it.

Jawaharlal Nehru National Urban Renewal Mission can be said to have started a comprehensive and holistic urban planning through City Development Plans (CDPs) that were to mainstream sustainable habitat standards as a key component of implementation strategy. The CDPs of the selected cities prepared by the ULBs and parastatal agencies for specific sectors assessed the infrastructure gaps including that of water supply and sanitation and plan the cities for future. In remaining cities, too the ULBs prepared the CDPs to be funded under different programme.

Smart Cities Mission and AMRUT, the flagship programmes of the government, which we have discussed in Unit 10, in the urban areas too have entrusted the major responsibilities for the water supply and sanitation to the ULBs. Reforms have been made part of the Missions. For example, AMRUT has incentivised reforms. Ten percent of the annual budget is given to the state/UTs every year for achievement of reforms. This incentive can be used by the ULBs for their project funding. The ULBs are expected to prepare their Service Level Improvement Plan (SLIP) and also a roadmap for reforms, which will be consolidated by the State Mission Director and included as a part of State Annual Action Plan (SAAP). The ULBs will fund the O&M through an appropriate cost recovery mechanism, in order to make them self-reliant and cost effective. Execution of projects is the responsibility of the ULBs.

If they do not have the capacity to handle projects, the State government may recommend in SAAP, upon a resolution passed by the ULB, for the execution of the projects by specialised parastatal agencies of the State or Central Governments. The maintenance and upkeep of the created assets will be the responsibility of the ULB and the State government.

11.4 PUBLIC HEALTH SERVICES IN URBAN LOCAL BODIES

ULBs, in general, have one Health/Public Health department, which takes care of:

- i) Sanitation, i.e., seepage and solid waste management
- ii) Cleaning of public streets and drains,
- iii) Measures to control spreading of contagions/infectious diseases
- iv) Issuing license under respective Food Adulteration Acts
- v) Restraining the places allotted for the disposal of dead bodies.

This is not an exhaustive or mandatory list. In case of bigger cities, some of the subjects may be handled by other specialised agencies. For example, Public Health Department of South Delhi Municipal Corporation is concerned with prevention and control of Vector Borne Diseases, Water Borne Diseases and other diseases of public health importance, health trade regulation, development and maintenance of cremation grounds. There is a different Department of Environmental Management Services, which handles solid waste management and public toilets.

Except solid waste management, all other services are provided by the ULBs through its own staff. Environmental pollution in the cities has also devolved responsibility on the ULBs in partnership with the State governments.

i) Controlling the spread of Contagious / Infectious diseases

For diseases like Malaria, dengue, Chikungunya, yellow fever, Japanese encephalitis, etc. disease surveillance system is put in place involving the local hospitals also. Anti-larval measures are taken by spraying ecofriendly bio-larvicide. Vital statistics are submitted regularly to ensure effective surveillance. Most of the ULBs also carry out IEC activities through media and hoardings.

ii) Enforcing Food adulteration norms for Commercial Enterprises

Policy guidelines are issued by the ULBs for health trade; and if required, licences are issued. Health officers of the ULBs periodically check the food quality by visiting the places.

iii) Cremation ground and Slaughter houses

The ULBs are responsible for identifying spaces for them, and maintain these places.

iv) Municipal Solid Waste Management (MSWM)

MSWM has assumed serious proportions because of the increasing generation of waste, while there is dearth of space for disposal. Its environmental and health implications are well documented.

Check your Progress 1

Note: i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

1) Describe the institutional arrangements for water supply and sewerage management.

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2) What are the activities of Public Health Department of the ULBs?

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11.5 MUNICIPAL SOLID WASTE MANAGEMENT IN INDIA

Municipal Solid Waste (Management and Handling) rules, 2016 are applicable to every ULB. They are expected to ensure collection, segregation, storage, transportation, processing and disposal of the solid waste. Under the rules, waste generators have been identified — every household, event organisers, street vendors, RWAs and market associations, gated communities, hotels and restaurants etc. Rules stipulate scientific management of MSWM.

As per Handbook of Urban Statistics 2019, currently, 72,503 wards out of 84,229 wards, i.e., 86 percent of wards, are practicing 100 percent door-to-door collection, 51,114 wards out of 84,229 wards, i.e., 60.7 percent of wards, are practicing 100 percent source segregation, and 51.26 percent of waste generated is being processed, which was close to 18 percent in 2014.

Table 11.9: Service Level Benchmarks: Solid Waste Management

S. No.	Indicators	Benchmark
1.	Household level coverage of solid waste management services	100%
2.	Efficiency of collection of municipal solid waste	100%
3.	Extent of segregation of municipal solid waste	100%
4.	Extent of municipal solid waste recovered	80%
5.	Extent of scientific disposal of municipal solid waste	100%
6.	Efficiency in redressal of customer complaints	80%
7.	Extent of cost recovery in SWM services	100%
8.	Efficiency in collection of SWM charges	90%

There are following four models, across the country, for MSWM:

a) **Municipalities on their own**

Traditionally municipalities have been collecting and disposing off wastes, especially in smaller municipalities through their own staff and vehicles. Some cities hire these trucks, if there are not sufficient vehicles

with them. However, collection percentage is very low because of the capacity issues.

b) Industrial townships / complexes managing on their own

Some of the large industrial townships / complexes have set up their own systems, where most of the waste is processed or recycled, sending out little to Municipal landfill sites.

c) Municipalities and Civil Society Partnership

With greater awareness, citizens, especially in bigger towns, have come forward to manage their wastes, popularly called as zero waste community. They have organised the composting facilities and segregation points within the area. The RWAs are given some place by the municipality for carrying out these activities. The RWA engages the workers and works on the concept of user pay model.

d) Public-Private Partnership

The concept of “waste as a resource” has attracted the private companies into the business. Under JNNURM, many cities got into partnership with private parties, which normally worked on the principle of zero cost to the municipality. However, they were given the places to set up the facility. These Enterprises focused on end products like composting the wet waste and processing the dry waste for products like Refused-Derived-Fuel (RDF), fabrics, etc.

Under the SBM - urban, all the ULBs have to prepare Detailed Project Reports for SWM of their city in consultation with the State governments. Smaller cities can form clusters to become viable entities to attract private investment. Waste to Energy projects are being promoted under the mission. The SBM guidelines have been revised upwards to 35 percent of the project cost to the ULBs as Central share (from 20% earlier) for SWM.

To motivate cities to achieve garbage free status, the Ministry has launched “Star Rating protocol for garbage free cities”. It is a single metric rating system, based on 12 parameters of Solid Waste Management covering, Source segregation, Door-to-Door Collection, compliance by bulk waste generators, daily sweeping, scientific processing of waste, scientific land filling, plastic waste management, construction and demolition waste management, citizen grievance redressal system etc., all of which together contribute to a city’s overall cleanliness and garbage free status.

The world-over, there is movement of “zero waste” cities, that is no waste reaches the landfill site. There are countries like Sweden, which are totally zero waste and have to import waste from outside to keep running their plants.

11.6 EDUCATION IN CITIES

Primary Education is one of the obligatory functions of most of the municipalities as per their respective state statutes. Municipal Acts

specifically mention the establishment, maintenance of, and aid to, schools for primary education subject to such grants as may be determined by the State government from time to time. This reference covers “the furtherance of education including cultural and physical education by measures other than the establishment and maintenance of, and aid to, schools for primary education. Some of the ULBs are managing well performing schools. It may be mentioned here that 12th Schedule does not list education as a subject. For example, as per Section 42 of DMC Act, 1957 (with the DMC (Amendment) Act, 1993), it is an obligatory function of the Municipal Corporation of South Delhi to provide free and compulsory primary education to all the children of age group 5-11 years residing in its jurisdiction.

Secondary education is a discretionary function of the municipalities. But a large number of such schools too are run by the ULBs. Permanent teachers in the municipality schools are appointed on the recommendation of the State’s identified Selection Boards. These Boards make selections on the basis of requirements sent to it by the municipalities. The 8th NCERT Survey reported that there were 26,682 schools in urban slum areas in the country, of which 2,422 (9.08%) were being run by the ULBs.

While the municipal authorities inspect the schools, it is up to the extent of administrative matters. The inspecting officers of Education Department of Government (Senior Inspector of Schools, Deputy Educational Officer or District Educational Officer, deal with technical matters like syllabus, students’ performance, examinations etc.

Shailendra Kumar Sharma of NGO Pratham, observed that there is a general impression that the children only from poor background would be sent to the Municipal schools, which results into Councilors focusing more on the populist measures and creating physical targets only. “Thus, the reports of Municipal Corporation will mention about money spend on Mid-Day meals, construction of new rooms in schools, appointment of teachers, etc. as if they are both necessary and sufficient condition for learning. ”Ensuring quality education through academic monitoring or tracking the progress of children is not very high on the agenda of the system. Inducing complicity, the teachers and other academic staff are more focused on fulfilling their obligations just like any other government servants. It may need the amendment in the respective statutes.

In fact, the Brihan Mumbai Municipal Corporation (BMC) has closed 35 municipal schools in 3-4 years because enrollment has halved in the last decade. Praja Foundation’s white paper on the State of Municipal Education in Mumbai – December 2017, mentions that there is widespread unhappiness with municipal education. 46 percent of parents were found to be unhappy with the quality of education, and 41 percent considered that studying in a municipal school does not provide their children the opportunity for improving their academic and occupational prospects in the future. Exam results showed this too: 69 percent of BMC school students passed the Maharashtra State’s Secondary School Certificate (SSC) exam in 2017, whereas 92 percent of private school students passed. According to the

Praja white paper, the BMC spends approximately Rs 50,000 per student per year.

The Directorate of Education (DoE), Delhi said in an affidavit that it is ready to take over the schools run by the Municipal Corporations of Delhi, Delhi Cantonment Board and the New Delhi Municipal Council (NDMC), if legal provisions permit and adequate funds are provided in response to a petition filed by NGO Social Jurist, which had sought implementation of an NCERT-panel recommendation to bring all public-funded schools under the Delhi government for betterment of education.

11.7 COMMUNICATION FOR EFFECTIVE SERVICE DELIVERY

Citizens are recipients of the services and therefore, there is need to develop effective communication linkages with them by the service provider that is the ULB, to know their expectation and level of satisfaction. It is said that it is the citizen engagement that makes a city smart and not the infrastructure. It instils a sense of ownership in them and builds trust between the residents and the ULBs.

In the municipality of Nejapa, El Salvador, the municipal government partnered with local NGDs to get citizens engaged, resulting in increase in access to potable water and latrines to its residents. In the western countries, there is effective participation of the citizens in the affairs of their local governments, which strengthens democracy. It enables holding the local government more transparent, accountable and collaborative.

Popay (2010) proposed a model of participation consisting of four approaches: informing, consultation, co-production, and community control. Traditionally, the ULBs have focused on informing the public or have resorted to taking feedback through instruments like report cards. However, there is now greater emphasis by the governments on robust, meaningful and open citizen participation. Bhagidari scheme was such an initiative. It was launched by the Delhi government. It involved people, RWAs and civil society in the decision-making powers. Monthly meetings were held with them by the Chief Minister where people complained about water shortage, broken pipelines, bill related complaints, etc. The RWAs were given monetary allocations also for getting petty works done. The initiative won award from the United Nations and many other agencies.

Stakeholders consultations that included citizens were made integral part of the process for preparing City Development Plans under JNNURM. Reforms proposed under it like Community Participation Law and Public Disclosure Law sought to establish appropriate accountability relationships between the ULBs and the citizens. One of the major reforms, which did not fructify was constitution of “Area Sabhas”, which could have deepened the democracy.

Under the Smart Cities Mission and AMRUT, the process has been carried forward. Integrating ICT solutions, especially through mobile based tools, is a part of the strategy to enhance citizen participation. Citizen consultation is

an important pillar of the first phase of the Smart Cities Mission. The Ministry sought the ULBs to engage citizens as they worked on their city's Smart City Proposal. The Municipal governments supplemented their online activities with meetings, discussions, and other public interactions in their respective cities.

The scheduling of projects in the Service Level Improvement Plan (SLIP) for AMRUT has to be done in consultation with citizens after informing them about likely costs of all the projects in the zones/ULB. City Planning and SLIP development has to be people-driven to be achieved through citizen consultation meetings involving diverse people and groups of people, such as RWAs, tax payers associations, senior citizens, chamber of commerce and industries, slum dwellers associations groups. During these consultations details of best practices and appropriate smart solutions have been proposed to be shared with the citizens in order to enable them to make informed decisions and generate innovative solutions.

During consultations, citizens have to be informed about the financial plan giving details about the cost and the need for external sources of funds, and innovative financing models and mechanisms. The challenge in providing basic services at benchmark levels, at reduced costs and less resource consumption has also to be shared with the citizens.

Example 1: Guidelines for Community engagement for ensuring usage of IHHL by all members of the household under SBM-U

The aim is to ensure that the programme and this specific component reaches and benefits population. For this, the ULBs need to ensure that the community gets informed, duty-bearers engage with the priorities and needs of the community and implementers are capacitated to deliver in a timely and meaningful manner. The suggested measures are:

- i) Mandate community platforms and structures
- ii) Enable the community platforms to converge with allied programmes and services
- iii) Strengthen the capacity to scale-up
- iv) Set up single window managed by trained and experienced community representatives
- v) Encourage women participation
- vi) Develop learning site
- vii) Facility Committee, to focus on user education and strengthen ownership and collective responsibility
- viii) Care and Support Committee, to reach out to more vulnerable households or those who are inconsistent users of Community Toilet Blocks (CTBs)

- ix) Relationship and Environment Strengthening Committee, to ensure an enabling environment, through the communicator group with youth and other volunteers
- x) Build capacity of community structures by strengthening their skills in facilitation, conducting surveys, maintaining record, documentation and relationship-building.

Example 2: For effective community engagement for SWM, the following steps are advised

- i) Develop and strengthen existing community platforms (SHGs, CBOs and NULM members).
- ii) Identify community facilitators and orient them on the issue.
- iii) Develop IEC tools, keeping in mind the cultural sensibilities of the community and enlist creative people from the community.
- iv) Train and orient Forum members, on the importance of solid waste management and its effective implementation.
- v) Provide, at the household level, the technical knowledge on source segregation, and different composting methods.
- vi) Organise mega Camps and disseminate Information.
- vii) Develop Master Trainers from the ULBs, and CBOs who are trained in waste segregation, and facilitate constant mobilisation and education of community to ensure garbage segregation both at the household level and at the collection site;
- viii) Plan exposure visit of communities to SWM unit to get hands-on training.
- ix) Train and orient Resident Welfare Associations, shopkeepers and market associations on the importance of solid waste management and its effective implementation.

Despite these elaborate guidelines Janaagraha, a not-for profit organisation, found that they are yet to be effective. It brought out a survey of India's city-systems arguing that the city systems are the root causes underlying quality of life in cities. The survey in 2017 was conducted in 23 cities covering 20 states. It highlighted that there is total absence of platforms for systematic citizen participation and lack of transparency in finances and operations of the cities.

Certain Specific Issues

Service Delivery in urban areas is a very complex task, where one may find multiplicity of agencies having overlapping of functions, weak status of the ULBs, capacity issues in smaller ULBs etc. These challenges need to be overcome. Some of these are discussed below:

- i) The 12th Five-year Plan document highlighted that the present system of estimating demand and supply of water in urban areas is rudimentary and leads to poor accounting and poorer planning. While the situation is somewhat better in bigger cities, as far as assessment is concerned, but policy intervention is needed to get required data on usage of water in other urban areas.
- ii) The 12th Plan Five-year also noted that the cost of delivering water is generally not computed or even understood when cities map out the current and future water scenarios. Data reflects that most cities spend anywhere between 30 and 50 percent of their water supply, accounts for electricity to pump water.
- iii) Community Participation Law (CPL) and Public Disclosure Law (PDL) aimed at enhancing participation of citizens by disclosing the information to them. However, the enactment and execution of these laws, provision and policies have been dismal. Often they do not offer much guidance on the actual functioning of the Ward Committees / Area Sabhas.
- iv) User charges for various services have been a suggested reform, which can help the ULBs to recover at least the O&M costs. But the elected representatives have been reluctant to do that for fear of losing votes.
- v) Although the RWAs in many cities have become vibrant, creating space for interaction among the residents. In general, they are not partner in strict sense of the term. They have also been criticised of being centred on and comprising of middle-income households and working for their own locality, and not really taking into consideration larger development issues.
- vi) Mazdoor Kisan Shakti Sangathan, which was instrumental in creating movement for Right to Information Act, argues that without access to information and transparency there can be no genuine participation of all members of society including the poor. As Janaagraha Survey points out there is absence of platforms for systematic citizens' participation, the service delivery is likely to be affected.
- vii) There is multiplicity of agencies in providing educational service in the urban areas. The management of school may belong to the Central government, State government, ULB, private aided schools or private unaided schools. Even, some NGOs also run the schools. It results in difference in focus, and hence the outcomes. Sometimes, the students come from outside the jurisdiction of the municipality. There is duplicity of efforts as well as wasteful expenditure on account of low teacher student ratio, especially in municipality schools. The municipality may save precious resources by handing over this responsibility to most appropriate agency, as it is not its core speciality.
- viii) Urban Local Bodies (ULBs) in India, currently do not have the capacity to deal with the challenges posed by rapid urbanisation. It was one of the reasons that JNNURM had to extend the duration of the Mission for two

years specifically for capacity building. Its impact on the urban planning in the country reflects that they have not been able to provide even basic services in their respective areas. This needs to be addressed urgently and capacities of the ULBs need to be strengthened. It may be mentioned that capacity building is now integral part of all the programmes.

Check Your Progress 2

Note: i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

- 1) What are the parameters for star rating protocol for garbage free cities?

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- 2) Explain the significance of communication for service delivery.

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11.8 CONCLUSION

Experts say that urbanisation is inevitable. The historical data also suggests that sooner or later, majority of the population would be living in the urban areas. A dignified life would necessitate basic minimum standards of services. The ULBs are mandated to provide them, but the only issue is that of the capacity and availability of resources. In fact, as the population prospers, it would expect its city government to provide even other services, which would be aspirational. Their empowerment through various measures is being undertaken under various programmes. However, the performance would depend on the accountability mechanism, where both the elected representatives and the officials may be called to explain the reason for non-performance. In this regard, political will too would be tested in due course of time, if the citizens can mount pressure on the whole apparatus.

11.9 GLOSSARY

GDP (Gross Domestic Product): It refers to the final value of the goods and services produced within the geographic boundaries of a country, during a specified period of time, normally a year.

Rain water Harvesting: It refers to the collection and storage of rain, rather than allowing it to run off. Rainwater is collected from a roof-like surface and redirected to a tank, cistern, deep pit (well, shaft, or borehole), aquifer, or a reservoir with percolation.

The primary sources of water: It includes rivers, ponds/lakes/tanks, rainwater, glacier melts, groundwater/hand pump/bore well, sea water and atmospheric water.

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11.11 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress Exercise 1

- 1) Your answer should include the following points:
 - Refer Section 11.3
- 2) Your answer should include the following points:
 - Sanitation, i.e., seepage and solid waste management
 - Cleaning of public streets and drains

- Measures to control spreading of contagious/infectious diseases
- Issuing license under respective Food Adulteration Acts, Restraining the places allotted for the disposal of dead bodies,

Check Your Progress Exercise 2

- 1) There are 12 parameters of star rating of Solid Waste Management, covering mainly:
 - Source segregation,
 - Door-to-Door Collection,
 - Compliance by bulk waste generators
 - Daily sweeping
 - Scientific processing of waste
 - Scientific land filling
 - Plastic waste management
 - Construction and Demolition waste management,
 - Citizen grievance redressal system.
- 2) Your answer should include the following points:
 - Refer Section 11.7

UNIT 12 INTERFACE BETWEEN STATE AND URBAN LOCAL GOVERNMENT*

Structure

- 12.0 Objectives
- 12.1 Interface between State and Urban Local Government: An Introduction
- 12.2 Interface between State and Urban Local Government: Good Governance
- 12.3 State and Local Government: Interface, Role and Responsibilities
- 12.4 Conclusion
- 12.5 Glossary
- 12.6 References
- 12.7 Answers to Check Your Progress Exercises

12.0 OBJECTIVES

After studying this Unit, you should be able to:

- Discuss the inter-relationship, in terms of legislative, administrative and financial matters between the State Government and the Local Government;
- Explain the opportunities for interface between the two governments, i.e. the Local Government and State Government;
- Describe the practices adopted by the State governments for resource mobilisation and administrative arrangements for urban local bodies; and
- Discuss the efforts of State and Local Governments for good governance.

12.1 INTERFACE BETWEEN STATE AND URBAN LOCAL GOVERNMENT: AN INTRODUCTION

Interface between the State and the Urban Local Bodies can be seen in legislative, administrative and financial areas. In the subsequent sub-section, we will discuss the challenges, which pose real challenge before the state and urban local bodies.

i) Challenges of the Urban System

India has seen rapid urbanisation over the last decade, and it is likely to continue in the coming decades. The Census of India, 2011 defines the true essence of urbanisation as the rapid growth of population and economic

* Contributed by Mr. Rajiv Sharma, General Manager, HUDCO Ltd, New Delhi

activities in the urban areas, which bring about development of towns. Apart from natural growth, urban-urban and rural-urban migration is important factor for urban growth. Migration is caused both by push and pulls factors such as lack of employment facilities in rural or small urban settlements and improved facilities for health, education, employment, higher standard of living, etc. in higher order cities.

ii) **Constitutional provisions for Strengthening the Local Governance**

To understand the interface between state and urban local bodies, it is necessary to state that the Seventh Schedule in the Constitution of India defines the division of domain areas, under which the Centre or State has exclusive power to legislate. The division of power between Centre and state is notified by the legislative section into three lists: Union List, State List and Concurrent List. Urban Development, land, housing, and provision of civic infrastructure etc. are the State subjects under Article 246-Seventh Schedule of the Constitution of India. The State Government is empowered to enforce and enact necessary laws and frame policies that support urban development and local government has to implement.

As part of the Reform Agenda, the Government of India (GoI) has developed a Model Municipal Law (MML) in 2003, National Municipal Accounting Manual (NMAM) in 2004, Solid Waste Management Rules (SWMR) in 2016 etc. to guide the states to enact municipal legislations, maintenance of accounts and delivery of services. The basic objective of the MML was to implement the provisions of the 74th Constitutional Amendment Act (CAA) in totality for empowerment of the Urban Local Bodies (ULBs) and provide the legislative framework for implementation of the Ministry's Urban Sector Reform Agenda. This initiative was expected not only to enhance the capacities of the ULBs to leverage public funds for development of urban sector but also in creating an environment in which ULBs can play their role more effectively and ensure better service delivery. Similarly NMAM and SWMR tend to facilitate accounting, budgeting and asset and waste management. Later, the Ministry of Housing and Urban Affairs, Government of India enacted Rental Law but the same needs to be adapted by the State governments for implementation. Now, in the next part of this Unit, we will focus on the Institutional arrangements for local governance, which govern the relationship between State and Urban Local Government.

iii) **Institutional Arrangements**

To effectively manage the urban system requires effective governance at local level. The governance at the local level has been strengthened by decentralisation, thereby giving autonomy and responsibility to rural and urban local level institutions. The urban decentralisation by way of devolving powers and responsibilities to the municipal bodies (the city governments) is a pre-requisite to address the needs of the increasing pace of urbanisation, particularly in the larger cities. These cities became the hub of industrial and economic activities and active destinations for the Foreign Direct Investments (FDIs). The lack of revenue is one of the biggest problems being faced with a large number of cities all over the world, which makes them one of the

vulnerable players of the government, with increasing responsibilities and reduction in share in the allocation of public resources.

The 74th Constitutional Amendment Act, 1992 brought uniformity in the constitution of the municipal bodies by classifying them as Municipal Corporations for large urban areas, Municipal Council for smaller urban areas, followed by Nagar Panchayats.

To highlight the interface between State and Urban Local Government, this Unit will deliberate on the division of administrative powers between the states and the urban local bodies in performing their tasks effectively. It will also elaborate functional jurisdiction and options for resource mobilisation in implementation of the policies and schemes; and constitutional and extra-constitutional devices for securing cooperation between the State and Local Government in urban governance. This Unit will also highlight different ways, by which the Centre exercises its control over the States; and the State over the Local Government.

12.2 INTERFACE BETWEEN STATE AND URBAN LOCAL GOVERNMENT: GOOD GOVERNANCE

In this section of Unit, we will explain the significance of interface between State and Local Government for good governance.

i) Beginning of a new Era: Power to the People

Real decentralisation in governance started with the Constitution (Seventy-third Amendment) Act, 1992 and the Constitution (Seventy-fourth Amendment) Act, 1992. They provided, constitutional status to the rural and urban local bodies respectively through devolving powers, functional responsibilities and authorities to them. In the current system of governance, Urban Local Governments are the third tier in the governance structure; and these are closest to address the needs of the citizens directly.

It was realised that without constitutional power, the delivery efficiency of the Local Self-Government cannot be fruitful. The Amendment brought about major reforms in the Local Governance in the country. It contains provision for devolution of powers and responsibilities to the urban local bodies for preparation of plans for economic development and social justice; and implementation in relation to subjects listed in the twelfth schedule of the Constitution.

The financial autonomy has been ascertained by identifying sources for devolution of funds. The Local Bodies, now receive funds from two sources, that is, Local Bodies Grants, as recommended by the Central Finance Commission, and funds released by the State Governments on the recommendations of the State Finance Commission.

The ULBs cannot be superseded/ suspended; and if, the State Government dissolves a Local Body then election to the same must be held within a period of six months. Moreover, the conduct of elections is entrusted to the statutory

State Election Commission, rather than being left to executive authorities. It brought continuity in elected body and development of bottom-up leadership.

As part of decentralisation in respect of urban areas, a new part, Part IX-A, has been enshrined in the Constitution, after Part IX of the Constitution. It deals with matters like definition, constitution of municipalities and ward committees, reservation, disqualification, powers and responsibilities, powers to impose taxes, all relating to urban local bodies. Article 243-Y stipulates that the Finance Commission constituted under Article 243-I shall review the financial position of the Municipalities and make recommendations regarding distribution of resources between the States and the Municipalities, determination of taxes, duties etc.; and grants-in-aid to the municipalities, among other matters.

ii) **Powers, Authority and Responsibilities of Municipalities**

The Constitutional Amendment Act provided a framework to decentralise the governance, power, and financial mechanism to strengthen the local democracy. As a consequence, Urban Local Bodies were constituted by enabling legislation in continuation of the 74th CAA by the State Government to achieve the objective of decentralisation of powers and functions. The Local Bodies were granted the status of third tier in the governance structure as they are closest to address the needs of the citizens directly.

The 74th Amendment to the Constitution ensured that specific measures were adopted to provide three types of empowerment to the ULBs - political, functional, and fiscal. This Act aimed at creating the ULBs as a vibrant democratic unit of self-government and paved way for decentralisation with a particular reference to the functional decentralisation, financial decentralisation, political decentralisation, etc. These amendments ensure representation of people in the house through regular elections without their indefinite supersession, and it is for this reason that this amendment is also known as Power to the People.

The interface between State and Local Government can be observed when the State Government and Urban Local Government interact with each other in administrative functions, resource mobilisation, and implementation of State or Central Government policies or schemes or reforms. In administrative functions, the State Government departments, state line agencies and state-owned PSUs guide, support, and review functions of the Urban Local Government.

In resource mobilisation, the State Government provides two types of resources that are manpower (technical) and financial resources to the ULGs. In implementation of policies, the State Government is empowered to enforce and enact necessary laws and frame policies that support Urban Local Government. Therefore, the Central Government asks the State Government to implement its policies and programmes enacted at the national level along with a package of financial incentives in the form of central schemes/missions. The ULBs are the institutions to transfer national level programmes into ground. Thus, the reform agenda for improving good governance at the

State and at the Local Body level is driven through conditions stipulated to access subsidies/ grants under the national level programmes.

The next sections would elaborate on the functional powers, fiscal resources and political reforms entrusted to the ULBs.

iii) **Functional powers and Responsibilities**

To enable the ULB's to function as effective institutions of self-government, they were entrusted with an illustrative list of 18 functions to be undertaken by them. The ULBs undertake these functions either independently or with the support of specialised agencies. Having adopted the provisions of the 74th Constitutional Amendment Act (74th CAA), the states have also given specific functions in respect of preparation of plans for economic development and social justice, and for implementation of schemes, etc. to the ULBs.

The various functions, which a Municipality, at any chosen level, may have to perform, may be classified in terms of the following categories:

- Essential municipal functions or core functions,
- Environmental management functions,
- Planning functions,
- Other functions, etc.

The 74th Constitutional Amendment entrusted the ULBs with an illustrative list of functions to be undertaken by them. While the core functions of providing urban basic services to its citizens was retained in the Twelfth Schedule, other important functions were also added vide this list. These functions include issues such as environmental management, protection of ecological aspects; urban planning, and planning for economic and social development of the region by combining rural and urban areas; and other important functions like safeguarding the interest of differently abled, mentally retarded and weaker sections, and slum improvement and up gradation. These functions, earlier handled by the State, were assigned to the ULBs perhaps because being local specific; the ULBs are conversant with these issues and can handle them aptly. The States have adopted a go slow approach in the provisions of 74th CAA and also giving specified functions to the ULB's in respect of preparation of plans for economic development and social justice; implementation of schemes, etc.; and water, sewage, poverty, environment etc. are not yet assigned to the ULGs by some states.

iv) **Financial Resources and Autonomy**

To create urban infrastructure and activities, which are assigned to them - both obligatory and discretionary, would require dispensing of large amount of financial resources by the ULBs. Yet, the ULBs face with acute shortage of finance and revenue resources. It was felt that the ULBs need revenue raising powers and increasing transfer of funds from the Central and State Governments in a rational way. However, the mechanism of transfer of funds from the Central Government to the Local Urban Government should be so

devised that it does not compromise on financial autonomy of local institutions, resulting again in centralisation.

The major cause of inefficient way of functioning of the urban institutions is lack of own revenue, whose share is constantly declining. Therefore, Resource Mobilisation is important for the ULB's to meet the aspirations of population by performing their obligation to provide municipal services. The three main resource mobilisation sources for ULB's are namely, own revenue collected by way of taxes or cess or grants, external borrowings, and privatisation initiatives. The own revenue comprises of tax revenues, non-tax revenues, assigned revenues, other receipts, bonds, etc. External funds include grants-in-aid from the state and central governments, loans, etc.; and privatisation includes engagement of private parties for specific purpose through Public-Private Partnership (PPP) model.

To ensure financial stability of the ULBs, the State Finance Commission constituted under article 243 I shall also review the financial position of the Municipalities and make recommendations to the Governor as to:

- a) The principles, which should decide:
 - the distribution between the State and the Municipalities of the net proceeds of the taxes, duties, tolls and fees leviable by the State, which may be divided between them under this Part and the allocation between the Municipalities at all levels of their respective shares of such proceeds;
 - the determination of taxes, duties, tolls and fees, which may be assigned to, or appropriated by, the Municipalities; and
 - the grants in aid to the Municipalities from the Consolidated Fund of the State.
- b) The measures needed to improve the financial position of the Municipalities.
- c) Any other matter referred to the Finance Commission by the Governor in the interests of sound finance of the Municipalities.

The decentralisation mainly covers electoral reforms, and little has been specified in respect of devolution of functional or financial powers to the Local Governments. So, there exists a gap in the responsibility and delivery amongst the urban local bodies, which is due to lack of financial autonomy.

The Constitution makes it discretionary for the State to allocate resources and powers. In this regard, the legislature of a State may, by law:

- Authorise a Municipality to levy, collect and appropriate such taxes, duties, tolls and fees in accordance with such procedure and subject to such limits;
- Assign to a Municipality such taxes, duties, tolls and fees levied and collected by the State Government for such purposes and subject to such conditions and limits;

- Provide for making such grants-in-aid to the Municipalities from the Consolidated Fund of the State; and
- Provide for Constitution of such Funds for crediting all moneys received, respectively, by or on behalf of the Municipalities and also for the withdrawal of such moneys there from.

There has been considerable improvement in the transfer of funds after the constitution of State Finance Commissions and insertion of clause 280 (3)(bb & C) in the Constitution to modify terms of reference of the National Finance Commission (NFC). The XVth Finance Commission has recommended Rs 1,21,000 crores for ULBs as against 87,000 Crore by the XIVth NFC. In addition, the Commission has allocated Rs. 24,000 crore for health services. It will help ability of cities to face pandemic like COVID-19. These two Finance Commissions have improved planning process and setting priorities in the Budget.

But the ULB's are facing acute shortage of finance and revenue and need more financial resources to meet the demand for improving city services. The share of ULBs' own revenues has declined significantly from 63 percent in 2002–03 to 53 percent in 2007–08. Aggregate revenue of all the ULBs in India, is very low at around 0.75 percent of the country's GDP. In contrast, the ratio is 4.5 percent for Poland, 5 percent for Brazil and 6 percent for South Africa (Harun R. Khan, Deputy Governor, RBI).

The ULBs in India, like most of the countries all over the world, have own sources of revenues, in addition to transfer from upper tiers of government. It is true that revenue generating sources assigned to the ULBs are inadequate in comparison to expenditure functions assigned to them but it is also true that all the ULBs do not put their best efforts to mobilise revenue effectively from the sources so assigned and therefore, the ULBs are not in a position to provide services satisfactorily because of inadequate resources. All this have made the ULBs grossly dependent on the transfer of funds from the upper tiers.

It became inevitable for city governments - municipal bodies to provide better infrastructure facilities to the citizenry in general, and foreign investors in particular. It has now become a major challenge for the civic agencies, particularly in larger cities to provide internationally competitive infrastructure facilities to attract FDI flow into India. The XVth NFC has given special attention on water and sanitation in 44 Urban Agglomerations, which include 67 ULBs with million plus population and 1048 other ULBs. The NFC has also put up a reform agenda covering audited accounts and benchmarking of services.

v) Political Reforms and Empowerment

Constitutional recognition to Urban Local Bodies (by insertion of part IX A in the article 243 of the Constitution of India) as the third tier of Government has ensured continuity of elected body. In order to ensure democracy, the 74th CAA introduced the process of conducting elections to the ULB's too, on the lines of Central and State legislature, to make them independent and self-

governing bodies. The State Election Commission is the responsible body of the government for conducting elections to the municipalities. The members of the House are elected for a period of 5 years by direct elections. The manner of election of Chairpersons of municipalities has been left to the respective State Legislature.

Earlier, the ULB's were superseded for many months thus, affecting their functioning as a public agency. However, after the 74th CAA, if the municipality is dissolved before the expiry of 5 years, the elections for new members of the House for constituting a new municipality is required to be completed within a period of 6 months from the date of its dissolution.

The provision under Article 243U states that every Municipality, unless sooner dissolved under any law for the time being in force, shall continue for five years from the date appointed for its first meeting and no longer, provided that a Municipality shall be given a reasonable opportunity of being heard before its dissolution.

Thus, such provisions will ensure that the municipalities are not dissolved arbitrarily; and will contribute in improving the relationship between the State Government and Local Bodies.

Representation of Weaker Sections

The 74th CAA ensures representation of weaker sections of the society and women. The law stipulates that each category should not be less than one-third of the total number of seats. A wider representation to women and other weaker sections of society has been provided in the Act.

The stipulations under Article 243T provides for reservation of not less than one-third of total number of seats for Scheduled Castes and Scheduled Tribes in every Municipality, preferably in the same proportion as their population to be filled by direct elections. It further stipulates that not less than one-third of the total number of seats in every Municipality shall be reserved for women and such seats may be allotted by rotation to different constituencies in a Municipality. However, the offices of Chairpersons in the Municipalities shall be reserved for the Scheduled Castes, the Scheduled Tribes and women in such manner as the Legislature of a State may, by law, provide.

vi) Citizen Engagement

Effective participation by citizens is an integral part of democracy. Large parts of the programmes, projects and services initiated by the Union are executed in the States through Local Bodies. Many of the programmes undertaken by the States also have wider implications for the Union as well as Local Governments. Earlier, there was no forum where citizens can present their views on these matters. No doubt, various issues of national importance were discussed by the Inter-Governmental Council (IGC) but in the absence of a structured feedback, the IGC could not take cognisance of the teething problems. Therefore, need was felt for bottom-up interaction to enhance acceptability of the programmes and solutions suggested and ensure efficiency in their implementation.

The process of bottom-up planning was restored by constitution of the Ward Committees. Provisions for constitution and composition of Ward Committees were ensured vide Article 243S, as per the following:

- a) There shall be constituted Wards Committees, consisting of one or more Wards, within the territorial area of a Municipality having a population of three lakhs or more.
- b) The Legislature of a State may, by law, make provision with respect to –
 - the composition and the territorial area of a Wards Committee;
 - the manner in which the seats in a Wards Committee shall be filled.
- c) A member of a Municipality representing a ward within the territorial area of the Wards Committee shall be a member of that Committee.
- d) Where a Wards Committee consists of -
 - one ward, the member representing that ward in the Municipality; or
 - two or more wards, one of the members representing such wards in the Municipality elected by the members of the Wards Committee, shall be the Chairperson of that Committee.
- e) Nothing in this article shall be deemed to prevent the Legislature of a State from making any provision for the Constitution of Committees in addition to the Wards Committees.

vii) **Decentralised Planning**

The need for decentralisation of the Economic and Social Planning process has been discussed earlier. Due to rapid urbanisation, cities are unable to cope with the continuous and massively growing population and often fail to address the aspiration of citizens for improving the quality of life. The need for decentralised urban planning for cities to organise, manage and facilitate services with the help of action and development plans for addressing the emerging concerns of the cities was realised and addressed by assigning this specific function to the ULBs in Twelfth Schedule. The objectives of decentralised planning cannot be achieved unless the Panchayati Raj and other Local Bodies are allowed to consolidate their needs and play their role in the planning process. Therefore, to give it a holistic shape, urban planning was complimented with economic and social planning in order to achieve a desirable quality of life.

The idea behind assigning the task of urban planning to local bodies was perhaps to enable them prepare a vision for city development and develop control mechanisms to guide the city expansion. The physical growth plan would be supplemented by development plans with short and long-term objectives, to guide the city to grow in a planned way. The development plans will address issues like welfare of people and community, managing land, housing, community services, open spaces, transportation and communication networks, and protection and enhancement of the natural environment of the city. The services and facilities shall be planned to meet the growing demand of cities, as per standards, for the projected population.

This process would require goal setting, data collection and analysis, forecasting, design, strategic thinking, public consultation, followed by its implementation.

Two articles were specifically drafted to address the planning issues at district level and also at the level of Metropolitan towns.

The Article 243ZD on District Planning Committee provides for constitution (in every State at the district level) a District Planning Committee to consolidate the plans prepared by the Panchayats and the Municipalities in the district and to prepare a draft development plan for the district as a whole.

It was further stated that the Legislature of a State may, by law, make provision with respect to the composition of the District Planning Committees, and the manner in which the seats in such Committees shall be filled.

Similarly, Article 243ZE addresses the issue of urban planning for metropolitan areas. As per Article 243ZE of the Constitution, in every Metropolitan area, a Metropolitan Planning Committee may be constituted to prepare a draft development plan for the Metropolitan area as a whole. The article further stipulates its constitution, composition and manner in which seats in such Committees shall be filled.

It has also been stated that every Metropolitan Planning Committee, in preparing the draft development plan, shall duly consider matters of common interest between the Municipalities and the Panchayats, including co-ordinated spatial planning of the area, sharing of water and other physical and natural resources, the integrated development of infrastructure and environmental conservation. It should resonate the overall objectives and priorities set by the Government of India and Government of the State and the extent and nature of investments likely to be made in the Metropolitan area by agencies of the Government of India and of the Government of the State and other available resources whether financial or otherwise.

These articles are important since the issue of physical and socio-economic planning would promote planned development, particularly in the light of rapid urbanisation, which is affecting the growth of urban areas. However the progress on 243 ZD and E has been far from satisfactory. The MPCs are only constituted at at selected places like Kolkata, Mumbai, Pune, Nagpur, Hyderabad, Bengaluru etc. but without a proper functioning, powers and authority as stipulated in the Act. Thus, joint efforts of political leaders and administrators at the state and local levels are required for proper planning and sustainable development.

Check Your Progress 1

Note: i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

- 1) How the National and State Finance Commissions have performed since inception?

- 2) How does the decentralisation ensure participation of weaker sections of the society in decision-making?

12.3 STATE AND LOCAL GOVERNMENT: INTERFACE, ROLE AND RESPONSIBILITIES

The Constitution of India earmarks the role and responsibilities of various layers of government in the federal structure. The States are primarily responsible for major sectors like health, education, employment, etc., which often involve large public expenditures. Since successful implementation of the development programme requires availability of adequate funds, appropriate policy framework, and effective delivery machinery, the Central Government needs to work with the states to undertake their responsibility in effective manner. Recognising the higher resource requirements of the states that are related to their resource raising powers, the Constitution mandates to transfer funds to the State Government through the statutory transfer of tax receipts collected by the Centre through the Finance Commission award. In addition, the states access the central plan funds through Centrally Sponsored Schemes (CSS) and Central assistance to the State Plans.

These Central Schemes were launched in the areas of national priority, wherein the Centre cannot but intervene catalytically to infuse greater dynamism. The Central Government has introduced several schemes in areas that have national priority like health, education, agriculture, skill development, employment, urban development, rural infrastructure etc. Several of these sectors fall in the sphere of activity of states, and normally implemented jointly with the Local Government institutions (For more details, study Unit 10).

i) Schemes for Inter-Governmental Transfer of Funds

Until the Fourth Five-Year Plan, the Central Assistance to states for implementation of plan programmes within the States' jurisdiction was given in the form of scheme-wise allocation of funds resulting in rigidities and inefficiencies in the system and inequitable distribution of Central

Assistance. The quantum of such assistance depended on the financial position and requirements of both Centre and the States. It was only from the Fourth Plan onwards that a separate classification of schemes as the CSS was introduced. These schemes had a national character, and dealt with priority areas/concerns of the Central government.

For retention of existing schemes, it suggested that schemes of national importance viz. anti-poverty programmes, rural water supply, family welfare and programmes intended to promote human resource development and sustain improvement in quality of life like education, which were of national importance may be retained as the CSS. However, Schemes other than those having high national importance could be considered for transfer to the State Plans.

Types of Schemes

In view of the above reference, the Central Schemes can be broadly categorised into the following three types:

- a) Central sector Scheme
- b) Centrally Sponsored Scheme (CSS)
- c) Central Assistance Schemes – with many sub-categories like Normal Central Assistance (NCA), Special Central Assistance (SCA), Additional Central Assistance (ACA) etc.

As we have already discussed the Central Flagship Schemes in Unit 10, therefore in this Unit we will focus on the State Sponsored Schemes.

State Sponsored Schemes

The states in India also have large number of schemes, applicable across various sectors to facilitate or provide services for benefit to the citizens of a particular state. In these schemes, funds are earmarked by the states and contributions are also sought from beneficiaries/ ULBs. However, as mentioned earlier, the schemes are implemented by the Local Government.

ii) Administrative Arrangements

The reason for interface between State Government and ULBs is supposed to create a cohesive environment and bring efficiency in service delivery by way of convergence of various schemes in order to achieve effective utilisation of resources.

The interface between State Government and ULBs was categorised as directly and indirectly. In direct interface, the State Government interacted with ULBs with regard to establishment of Development Authorities/Boards; preparation and approval of development plans; delivery and upkeep of urban service and infrastructure, prepare bye laws and rules, etc. In some cases, the State Ministries, Departments and Line Agencies were used to support the ULBs in discharging the delegated functions. In indirect interface, the State Government was engaged with ULBs for deployment of manpower from the State Government that is Commissioner and Technical Staff; review

performance of the ULBs; assess efficiency in provision of services through the state's Line Agencies, review progress in the implementation of Central/State Schemes, etc.

In the present administrative arrangement, the role of state level agencies/line departments is prevalent, particularly for small and medium sized local bodies. These urban and rural local bodies have no or little control over the state level functionaries. They have to function within the framework of a powerful administrative structure that is loyal to the State Government. In other words, the Local Bodies do not enjoy the administrative autonomy, as envisaged under the 73rd and 74th CAA, in many states due to presence of these agencies. The major objective of the control and supervision by the State Government should be to ensure efficiency in the performance of functions by the units of Local Self-Government and therefore, cordial and cooperative relationship between them is necessary to strengthen the Local Bodies.

a) Personnel Management

While most of the mandates of 74th CAA are being carried out in states at varied degrees, elected and employed functionaries of the ULBs do not operate in a cohesive manner. Executives find elected members politically interfering in administration, resulting in frequent transfers of the local body executives.

A critical problem in municipal administration is due to the co-existence of a variety of personnel systems within a single municipal authority, each segment being accountable to different control points within and outside the organisation. At the lower level, project-specific professionals and at the higher level, officials are hired on deputation on different terms and conditions. As a result, separate system of staff of various gradations work at different levels in the same organisation, threatening the integrated unified personnel system.

The challenge is to bring right person at right place and to motivate them by imparting adequate training, which has not received due emphasis over the years. Some of the issue that hinder in bringing pride in working with the ULBs are pay scale, which are not comparable with those of the state services and fewer promotion opportunities. With the provincialisation of the municipal services, a lot of earlier defects in personnel management have been mitigated. Yet, the system of recruitment fails to bring in the best men. Further, several vacancies are not filled for years and transfers are effected at the free will of the senior bureaucrats and the government. In the sphere of transfers, corruption, favouritism and nepotism, municipal bodies have failed to attract qualified and competent personnel. In most of the Local Bodies, the State Government is empowered to take disciplinary action and the Local Body has very little control over its personnel.

In fact, the basic issue is not the type of personnel system but its quality. For too long, the municipal services have been treated as “inferior” services and, hence, have not attracted “superior” talent. Therefore the need to improve pay

scales, allowances, leave conditions, terminal benefits and career prospects, scope of self-improvement and incentives of these should be provided to the personnel in such a manner that competent and motivated personnel enter and stay in the municipal services. In this regard, Gujarat is one State where systematic efforts were made, with financial assistance from the World Bank, to study the staffing pattern of the municipal bodies; and to assess their training requirements for urban development. Ahmadabad Municipal Corporation in early 90s recruited Indian Institute of Management (IIM) Pass outs, which paved way for innovative reforms in Ahmadabad leading creation of SPVs and issuance of the Municipal Bonds.

b) Municipal Cadre

In the study conducted by the Capacity Building for Urban Development Project (CBUDP), states like Tamil Nadu, Karnataka and Maharashtra that implemented unified system of having exclusive municipal cadre for many years have made a significant progress in urban development. Many urban reforms are far ahead of others in these states, compared to the ones who have not yet implemented them. Many State and Central initiatives like 24x7 water supply, TOD based townships, bitumen roads with plastic waste, advanced e-governance and m-governance (mobile) systems are in vogue in these states. The states that do not have dedicated municipal cadre need to follow the above models for strengthening the urban governance.

Whereas creation of Municipal Cadre, alone cannot address the problems of staffing and effective discharge of municipal functions. In this regard, an enabling institutional arrangement for managing the cadre, and enabling it in enhancing the institutional capacity of the ULBs in effective, inclusive and responsive discharge of mandated functions are also needed. However, cadre management should be looked after by an appropriate institutional framework.

Therefore a separate “Organisation for Municipal Personnel Selection” (OMPS) could be established to assist in large scale recruitment to select municipal cadre staff on a project mode for specific period of time. This Unit may be dissolved or integrated with CDMA once the mass recruitments are done. A Municipal Human Resource Management (MHRM) Unit can be created on an outsource model / PPP model to administer all HR, Administration, Performance Management, Incentives, Training Coordination across the ULBs. However, the HR professionals can work on creating a performance and motivating climate in the ULBs through conducting employee satisfaction surveys and bringing interventions to address employee’s issues. Grievance redressal mechanism at the ULB level can reduce number of court cases by disgruntled employees, and reduce union interventions.

c) Human Resource Management System

Creating and maintaining the Human Resource Management System (HRMS) database with all information of employees is essential, and features such as employee log-in for self-tracking their service matters would be a

force multiplier. Complete revamping of HR system is most essential to derive benefits for Cadre creation in the long run. The MHRM could also establish mechanism to conduct Proficiency Level Certification (PLC) tests for employees, which are mandatory requirements for promotion. Attracting and retaining talent being the core purpose of creating this HR unit, it is essential that HR strategies need to be worked out differently somewhat similar to Ahmadabad, which had due permission from the State for the current establishment management mode. Different image needs to be created in the minds of potential applicants to look forward for joining the urban cadre. Since significant number of staff is required on outsource/contract/consultant mode, a good contract management system, that is, at par with corporate /industry standard is essential to attract, retain and extract talent.

There is a strong need to create a team culture in the ULBs, in which elected members as well as executives need to understand the boundaries and dependencies on each other and respect the same. Initiatives like joint Leadership programmes, joint Visioning and Goal setting processes, behavioural interventions, training for elected representatives in management may be useful to create such climate in the long run.

iii) Financial Issues in Urban Local Bodies

Although the ULBs have been assigned with powers to levy local taxes, but they are constrained to take decisions in the absence of appropriate financial powers to levy taxes and fee. As a result, they become more dependent on the grants provided by the Central and State Governments. The prior information about expected amount of own fund during a particular period is of great importance for decision-making.

Powers to levy taxes vary from state to state. For example, in Kerala the power to levy entertainment tax is given to the Urban Local Government. But in Andhra Pradesh, Local Government receives a fixed share of the revenue from entertainment tax. In some states, Urban Local Bodies also collect some revenue from advertisement tax.

The most important revenue source for the urban local bodies is property tax, but this sector also needs reform in term of efficiency in collection and expansion of the tax base. The Administrative Reforms Commission (2007) noted that only about 60-70 percent of the properties in urban areas are actually assessed. The self-assessment tax collection model, first implemented in Patna and Bengaluru, has been adopted in most of the states and resulted in improvement in tax collection. The Government of India has brought a toolkit on Property taxes in 2020, which envisages a need to double the collections by 2024 and suggests corrective measures on assessment, rates and collection mechanism.

The interface between State Government and ULBs depends on size of the ULB. All the ULBs in general are under tremendous fiscal stress as their own revenues are insufficient to meet the capital and overhead expenses. Therefore, the State government needs to revise grants-in-aid resources,

special package, PPP, loans from bilateral organisations, the State Government policies or the Central Government package, etc.

In addition, some of the ULBs also try the new and innovative methods in urban local finance. These methods are alternative ways to augment municipal resources where the traditional resources are not able to fulfil the requirements of present demand. These are debt financing, public-private partnership, using land as resource, new levies and pooled financing.

One of the important reasons for the present situation is the lack of their capacity to charge rightfully for the services provided. As a result, the ULBs by and large are not in a position to generate enough revenue from their own sources so as to provide and maintain municipal infrastructure at current levels of efficiency.

In spite of this situation, some of the ULB's like Ahmadabad, Bengaluru, Indore, Hyderabad, Pune etc. have been following non-conventional means of resource mobilisation and infrastructure creation programmes to increase use of innovative and market-based mechanisms to access private, commercial funds in financing public services. While others have been unable to adopt financial management practices worth emulating. In this context, recognising the enormous financing requirements and need for putting in place modern management practices, the Government of India has launched action plan schemes at different times to help them mobilise and manage resources for urban services and infrastructure requirements.

Check Your Progress 2

Note: i) Use the space given below for your answers.

ii) Check your answers with those given at the end of the Unit.

- 1) "Effective interaction between the State and Local Self-Government bring efficiency in service delivery and development". Comment.

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- 2) Discuss the impact of 74th Constitutional Amendment on interface between the State and Local Government.

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12.4 CONCLUSION

The Urban Local Governance is based on effective and efficient interface between the State and Local Government. The absence of resources such as human, technical, finance, leads to poor management and bad governance. The positive role of Urban Local Governance is often over-shadowed by the evident deterioration in the physical environment and quality of life in the urban areas caused by the lack of essential infrastructure services. Whereas, urban areas are the engines of productivity and economic growth of the country, 31 percent of urban areas are contributing 60 percent of the GDP to the national total GDP. In the coming 20-30 years, almost half of the Indians will live in urban area.

There are many opportunities for the Urban Local Government to overcome its challenges and to move forward for providing better services of good quality for its citizens. These include e-governance system, identifying possible/appropriate ways for financial sources and introducing various ways to invite people for participation in the preparation of development plans, strengthening the Local Governance system with improving technical and financial support through capacity building, etc.

There is an urgent need for financial strengthening of the Urban Local Bodies. The lack of adequate basic urban services and infrastructure is a major challenge in human settlement development. With rapid urbanisation, governments are increasingly having difficulties to meet the growing demand for housing and urban development, urban services and infrastructure.

Cities unfortunately with some exceptions have not been enabled to look inward and build on their inherent capacities, both financial and technical. To tap technical resources, the states must focus on creation of a Voluntary Technical Corps in each city. A large number of urban professionals today want to contribute their skills for the improvement of their cities. Many cities like Bengaluru, Mumbai, Thiruvananthapuram have gone ahead with citizen initiatives for urban renewal. This process needs to be strengthened to effectively harness the spirit of decentralisation of the ULBs.

Ministry of Housing and Urban Affairs launched several schemes to provide and improve urban services in the ULBs. However, the Central government directly cannot direct the ULGs to implement its schemes on the ground, as the ULGs are under the subjection of the State Government. Therefore, the Central government guide the ULGs with asking State Government to implement its schemes in the ULGs. Consequently, the role of State Government is crucial in implementation of the Central government Schemes by the ULGs. There is an urgent need for higher degree of cooperation and coordination between the State Government and Local Bodies.

Interface between the State and ULGs should be always co-operative and supportive with each other, because the ULGs are also independent governance institutions like the State Government owing to the 74th CAA and; and the ULGs are the close to the people in addressing the issues and in providing facilities, etc.; and these are the lowest level of governance

institutions in the current governance structure of India.. The high involvement of State Government in functions of the ULGs, negatively affects the process of empowerment of the LGs and leads to delay in delivery of service to the people.

The Special Purpose Vehicle (SPV) is formed at the municipal level to oversee project implementation. However, the SPV should have due control of implementing schemes in the environment of complex relationships.

Effective and efficient service delivery requires good quality governance system and effective coordination and co-operative mechanism between the Center and State, and State and Local Governments. In this regard, devolution of powers and functions with appropriate finance by the State Government to the Local Bodies should be done at the earliest for strengthening the Urban Local Governance and developing the positive interface between the State and Urban Local Bodies.

12.5 GLOSSARY

Article 243X:	Article 243-X elaborates the power to impose taxes by, and funds of, the Municipalities.
Article 243ZE:	Article 243ZE of Constitution of India gives details of "Committee for Metropolitan Planning".
National Municipal Accounts Manual (NMAM):	NMAM was released by the Government of India in 2004 with an objective of setting standards for accounting and budgeting in the ULBs across the country.
Seventh Schedule:	The Seventh Schedule to the Constitution of India defines and specifies allocation of powers and functions between the Union and States. It contains three lists; i.e. a) Union List, b) State List, and c) Concurrent List.

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12.7 ANSWERS TO CHECK YOUR PROGRESS EXERCISES

Check Your Progress 1

- 1) Your answer should include the following points:
 - Refer Section 12.2
- 2) Your answer should include the following points:
 - Reservation of seats for women and weaker sections.
 - For more details, refer Section 12.2(v)

Check Your Progress 2

- 1) Your answer should include the following points:
 - Refer Section 12.3 (ii)
- 2) Your answer should include the following points:
 - Refer Unit 12

