Technical Support to Government of Maharashtra on Urban Sanitation

Measures to Strengthen Municipal Monitoring Systems in Maharashtra

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Contents

Contents

Background – Need for strengthening Municipal Monitoring Systems

- Over the past decade, multiple initiatives have been undertaken with considerable investment in the urban sector in Maharashtra. Yet, it has been observed that there have been concerns in ensuring sustained service delivery at local level.

- Along with physical infrastructure improvements, it is essential to monitor the functioning of cities and address governance related challenges and issues.

- Functions of Urban Local Bodies (ULBs) are spread across multiple departments, agencies and networks, with varying hierarchy. These departments work in a vertical manner and are each responsible for performance of some functions integral to the working of the ULBs. Given this nature, it is crucial to holistically monitor the operations of State and ULBs with an intention to improve municipal performance on everyday functioning which affect the performance of ULBs and subsequently service delivery.

- It is observed that there are multiple initiatives towards this, that have been undertaken by Government of Maharashtra for different initiatives, for effective governance and monitoring of ULBs. But it is essential to assess what are these exiting systems and mechanisms and capacities/skillsets of the ULBs to keep up/ cope with the same.

- Thus, it is necessary to assess the current State level initiatives, policies and processes/ systems of municipal monitoring, to identify the gaps and suggest possible areas of interventions/ recommendations to strengthen municipal monitoring systems.

Approach and Methodology

A — **Mapping systems/ protocols/ arrangements for Municipal Monitoring in Maharashtra**

1 Developing a Framework for Assessment — Base outline and framework for assessment of existing state level systems and arrangements

2 Exploring existing Information — Through available Websites, Portals, Documents/Reports /Papers/ Articles, Acts, GRs, formats etc.

3 Discussions with relevant stakeholders — Qualitative meetings and discussions with State/ Division/ ULB level officials and experts

4 Information consolidation and evaluation — Consolidation of information from web and literature research, data/ information received from officials and experts

5 Mapping the systems of Municipal Monitoring — Based on assessment of available data and literature and discussions with officials

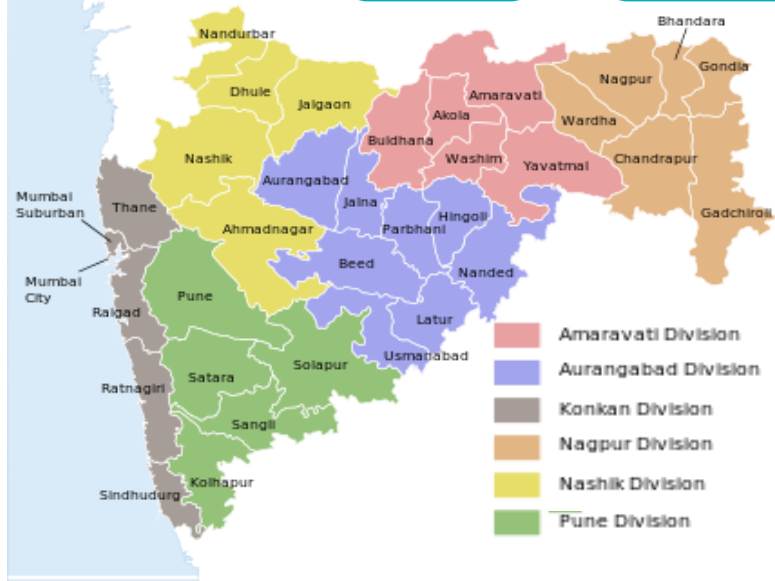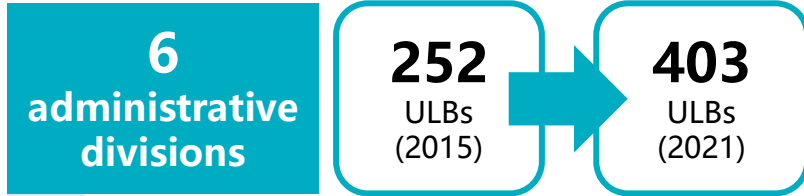**B** — **Suggest measures to strengthen Municipal Monitoring Systems in the State**

6 Potential areas of interventions — Based on detailed assessment and discussions/meetings with relevant officials and stakeholders

7 Suggesting measures for municipal strengthening — Suggesting measures for strengthening from potential areas of interventions

Snapshot of Urban Maharashtra

6 administrative divisions

252 ULBs (2015) → **403** ULBs (2021)

Legend:
- Amaravati Division
- Aurangabad Division
- Konkan Division
- Nagpur Division
- Nashik Division
- Pune Division

- Maharashtra is divided into 36 districts, and 6 administrative divisions i.e **Konkan, Pune, Nashik, Amravati, Aurangabad and Nagpur.**

ULBs (2021)	No. of ULBs
State	403
M. Corporations	27
A Class M. Councils	17
B Class M. Councils	73
C Class M. Councils	141
Nagar Panchayats	145

- The urban population of the state is spread over 403 ULBs divided into 27 municipal corporations, 231 municipal councils and 145 Nagar Panchayats.
- The municipal councils are further divided in A, B and C class councils based on their size and population.

- The number of ULBs in the state were 252 in 2015 and rapidly increased to 403 as of 2021, with **addition of many new Nagar Panchayats**.
- This addition of ULBs has lead to a substantial increase in **administrative/ governance load** in the state in terms of municipal monitoring. Subsequently, the new ULBs also face challenges in terms of daily functioning and service delivery given their limited capacities.
- Municipal Corporations have better systems due to assistance from multiple initiatives undertaken in recent urban missions (SCM, AMRUT etc.)
- **Thus, it is crucial to strengthen municipal monitoring of small and medium ULBs.**

Contents

Departments in the State

Governor

Chief Minister

Council of Ministers

Chief Secretary

ACS/ Principal Secretary

Secretary

38 state departments

1. Information technology
2. General Administration Department
3. Home Department
4. Revenue Department
5. Forest Department
6. Department of Agriculture
7. Agriculture, Animal Husbandry, Dairy and Fisheries
8. Department of School Education and Sports
9. **Urban Development Department**
10. Department of Public Works
11. Finance Department
12. Department of Industry
13. Department of Medical Education and Medicine
14. Department of Water Resources
15. Department of Law and Justice
16. Department of Rural Development and Panchayat Raj
17. Department of Food, Civil Supplies and Consumer Protection
18. Planning Department
19. Department of Social Justice and Special Assistance
20. Department of Soil and Water Conservation
21. Employment Guarantee Scheme Department
22. Department of Housing
23. **Department of Water Supply and Sanitation**
24. Department of Public Health
25. Department of Tribal Development
26. **Department of Environment**
27. Department of Co-operation, Marketing and Textiles
28. Department of Textiles
29. Department of Higher and Technical Education
30. Department of Energy
31. Marathi Language Department
32. Department of Tourism and Cultural Affairs
33. Department of Minority Development
34. Department of Skill Development and Entrepreneurship
35. Department of Transportation
36. Department of Women and Child Development
37. Department of Parliamentary Affairs
38. Department of Labor

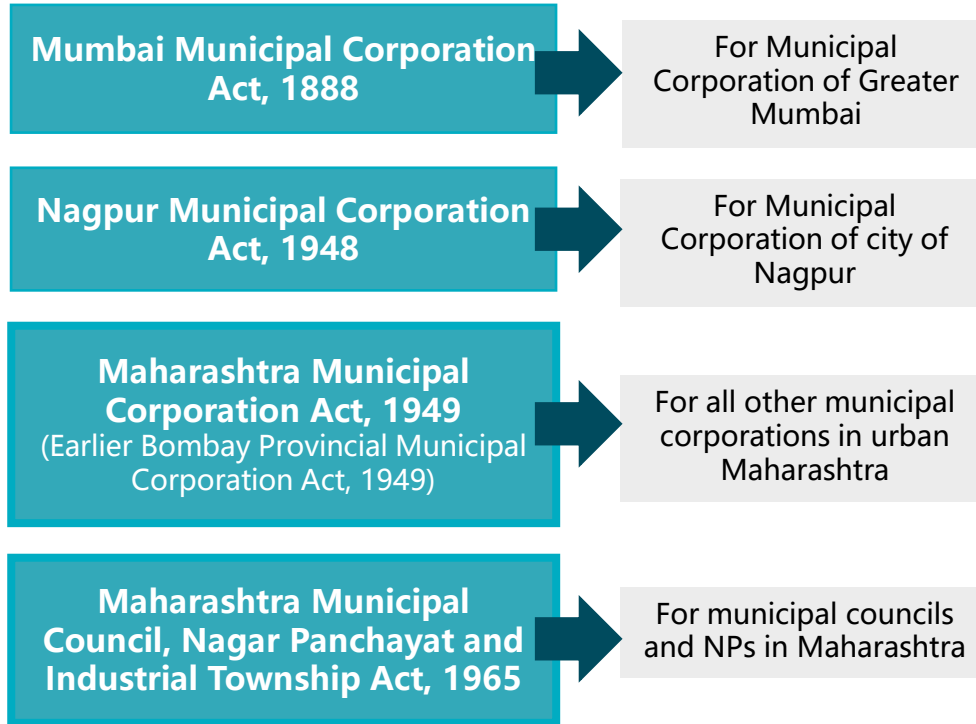- There are 38 main departments in the state with sub departments/parastatal bodies under each. The MIDC, MMRDA and town planning depts. fall under UDD, MJP and Groundwater survey and development system fall under Dept. of Water supply and sanitation, and MPCB falls under Dept. of Environment.
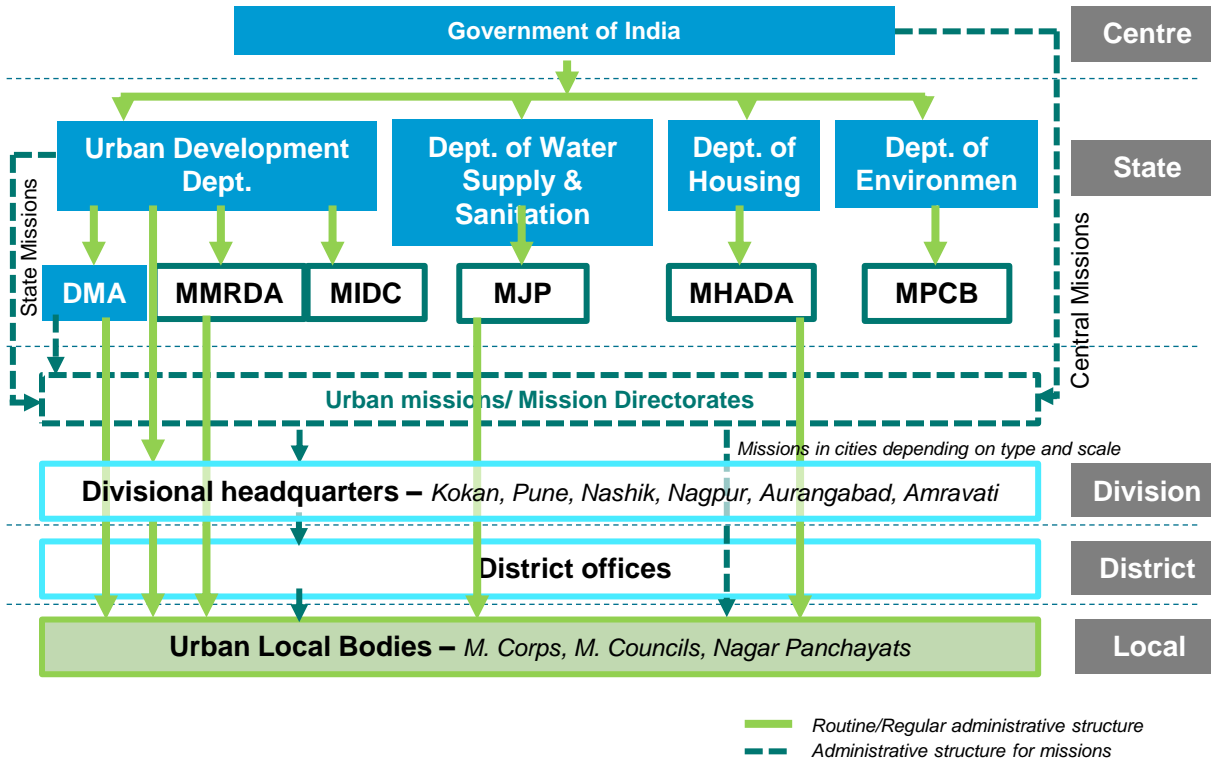- Reference link: https://www.maharashtra.gov.in/1126/Government-Departments?SiteMaster=grid

Source: GoM website

Acts for Municipal Functioning of ULBs in the State

Urban Local bodies function under the following four acts:

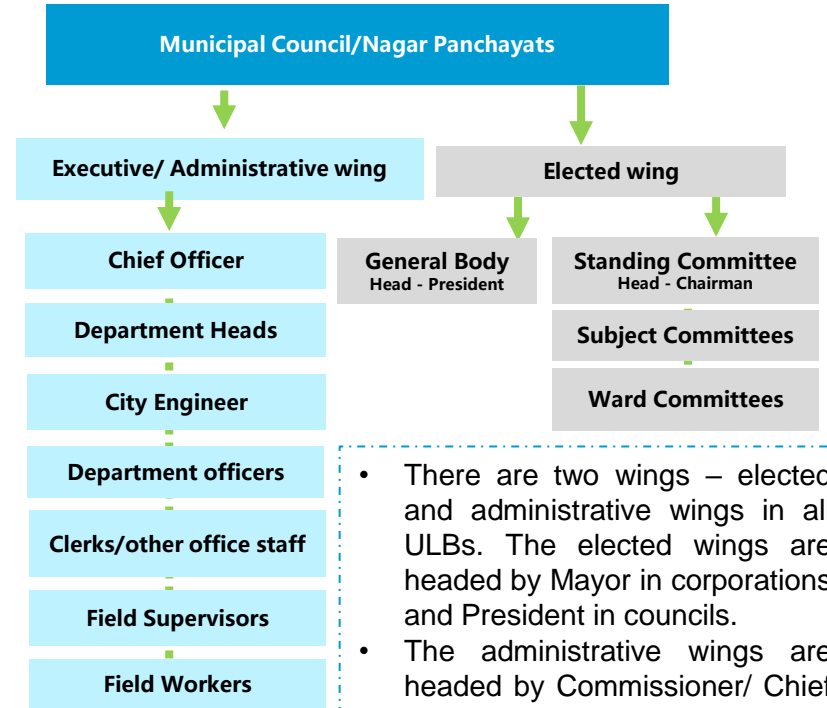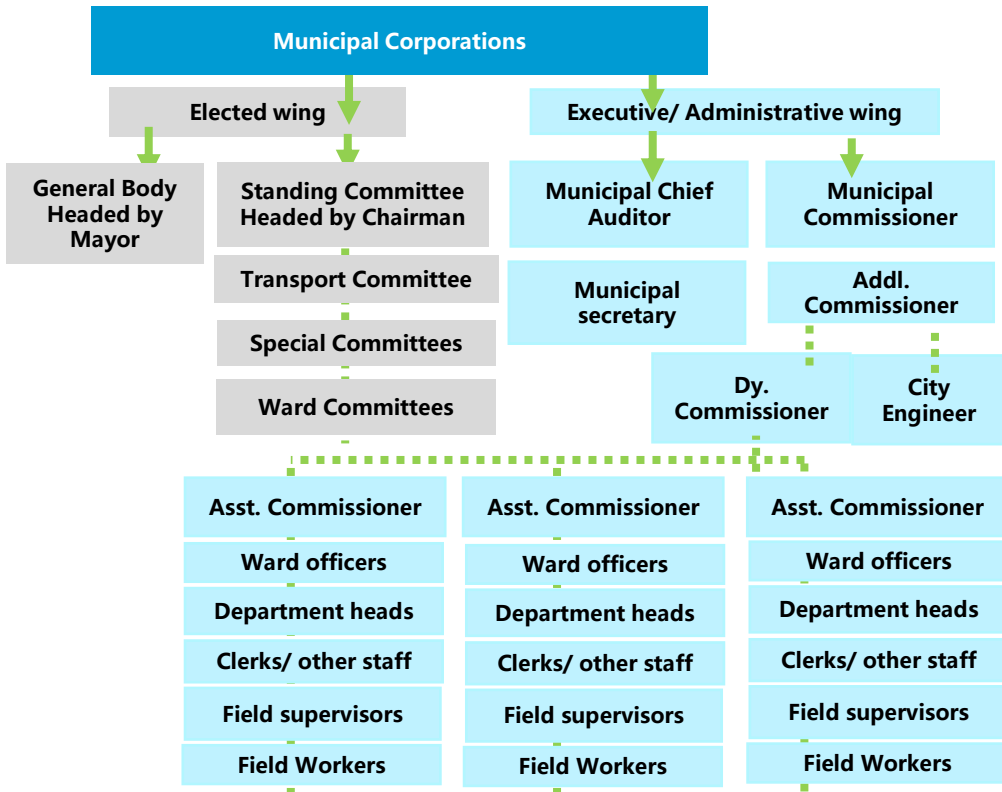|	
Mumbai Municipal Corporation Act, 1888	→ For Municipal Corporation of Greater Mumbai
Nagpur Municipal Corporation Act, 1948	→ For Municipal Corporation of city of Nagpur
Maharashtra Municipal Corporation Act, 1949 (Earlier Bombay Provincial Municipal Corporation Act, 1949)	→ For all other municipal corporations in urban Maharashtra
Maharashtra Municipal Council, Nagar Panchayat and Industrial Township Act, 1965	→ For municipal councils and NPs in Maharashtra

- The **Mumbai Municipal Corporation Act, 1888** and the **Nagpur Municipal Corporation Act, 1948** are followed by the Municipal Corporation of Greater Mumbai and Municipal Corporation of city of Nagpur respectively.
- Apart from these, all the municipal corporations function as per the **Maharashtra Municipal Corporation Act, 1949.**
- The other ULBs – Municipal Councils and Nagar Panchayats function under the **Maharashtra Municipal Council, Nagar Panchayat and Industrial Township Act, 1965**.
- These Acts have laid down the provisions for constitution, composition, election of members, functions, municipal authorities and staff, municipal funds, sources of revenue, audit of ULBs i.e. the framework within which all municipal bodies are expected to function.
- This framework has been then expanded, detailed out, modified through creation of institution, practices pertaining to financial and human resources and introduction of reporting formats.

Administrative structure of the State

Government of India — **Centre**

State level departments:
- Urban Development Dept.
- Dept. of Water Supply & Sanitation
- Dept. of Housing
- Dept. of Environmen

State

DMA | MMRDA | MIDC | MJP | MHADA | MPCB

State Missions / *Central Missions*

Urban missions/ Mission Directorates

Missions in cities depending on type and scale

Divisional headquarters – *Kokan, Pune, Nashik, Nagpur, Aurangabad, Amravati* — **Division**

District offices — **District**

Urban Local Bodies – *M. Corps, M. Councils, Nagar Panchayats* — **Local**

— Routine/Regular administrative structure
--- Administrative structure for missions

Source: GoM website and discussions with state officials

- The administrative set up of the state can be summarized in two categories:
  i. **routine** administrative structure,
  ii. **missions** administrative setup overlapping the routine structure.
- The mission directorates of central and state urban missions are located in UDD or DMA with dedicated resources or consultants for each mission.
- The routine administrative and financial monitoring of municipal corporations falls under UDD whereas municipal councils and NPs fall under DMA.
- The SBM/AMRUT missions monitoring of all ULBs falls under mission directorates at UDD where as for missions, initiatives like NULM, SLB fall under DMA.
- The divisional offices are involved in routine and missions administrative functions and monitoring but financial disbursal and monitoring happens either directly through state or through district offices.
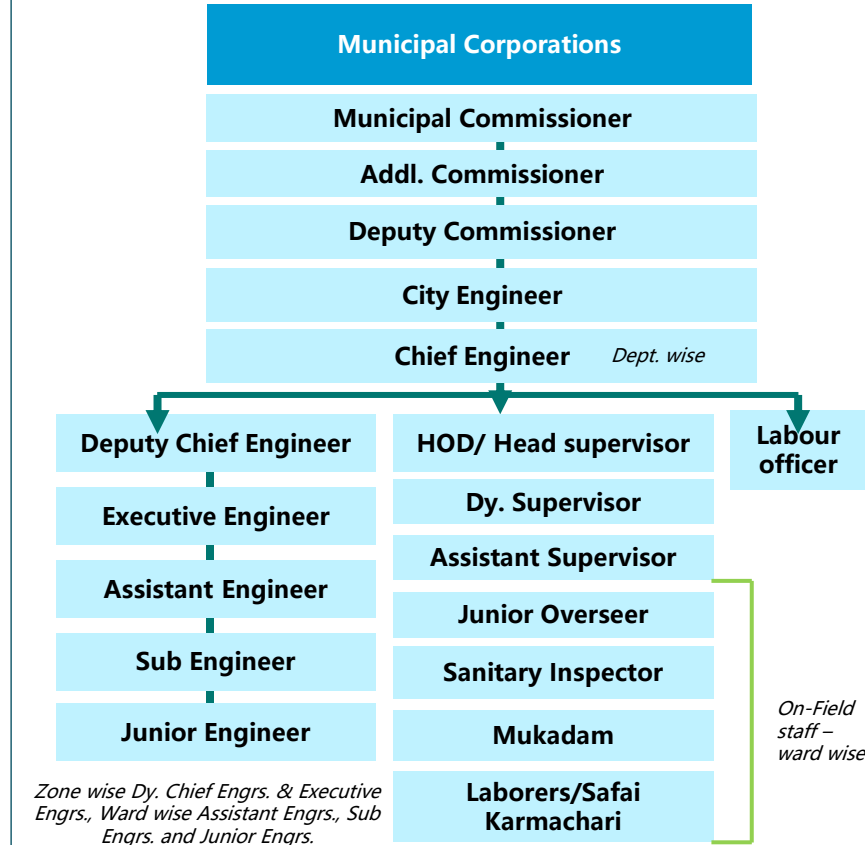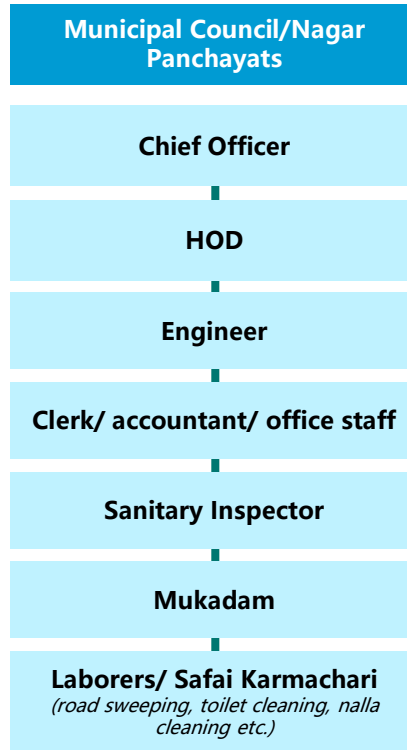
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Administrative structure of the ULBs

Municipal Corporations

Elected wing

- **General Body Headed by Mayor**
- **Standing Committee Headed by Chairman**
  - Transport Committee
  - Special Committees
  - Ward Committees

Executive/ Administrative wing

- **Municipal Chief Auditor**
  - Municipal secretary
- **Municipal Commissioner**
  - Addl. Commissioner
    - Dy. Commissioner
    - City Engineer

Asst. Commissioner	Asst. Commissioner	Asst. Commissioner
Ward officers	Ward officers	Ward officers
Department heads	Department heads	Department heads
Clerks/ other staff	Clerks/ other staff	Clerks/ other staff
Field supervisors	Field supervisors	Field supervisors
Field Workers	Field Workers	Field Workers

Municipal Council/Nagar Panchayats

Executive/ Administrative wing

- Chief Officer
- Department Heads
- City Engineer
- Department officers
- Clerks/other office staff
- Field Supervisors
- Field Workers

Elected wing

- **General Body** Head - President
- **Standing Committee** Head - Chairman
  - Subject Committees
  - Ward Committees

- There are two wings – elected and administrative wings in all ULBs. The elected wings are headed by Mayor in corporations and President in councils.
- The administrative wings are headed by Commissioner/ Chief officer, followed by hierarchy of officials and on field staff for different type of roles and responsibilities.
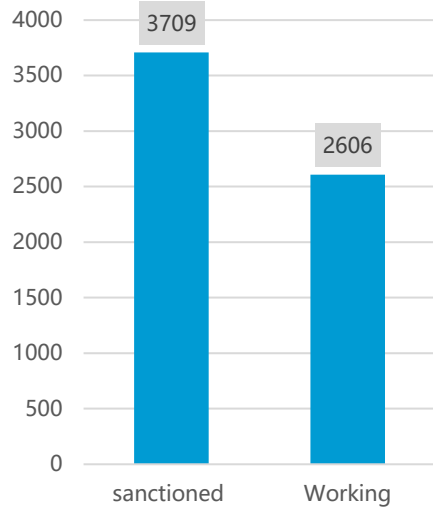
Water Sanitation Departments structure in ULBs

- The in-house HR structure in Water/ Sanitation in Water/Sanitation Depts. In ULBs is shown in the charts, which are predominantly involved in routine functions and works in ULBs.
- Apart from the core staff, capacities of ULBs have been strengthened for specific tasks/activities under various missions through appointment of dedicated resources.
- However there is inadequate consideration of strengthening routine systems which has consequently led to imbalance in amount of work and number of resources available in the ULBs.
- Lack of motivation is also a challenge in routine works, as there is no recognition/ acknowledgement awards for superior/ improved performance.

Municipal Council/Nagar Panchayats

- Chief Officer
- HOD
- Engineer
- Clerk/ accountant/ office staff
- Sanitary Inspector
- Mukadam
- Laborers/ Safai Karmachari *(road sweeping, toilet cleaning, nalla cleaning etc.)*

Municipal Corporations

- Municipal Commissioner
- Addl. Commissioner
- Deputy Commissioner
- City Engineer
- Chief Engineer *Dept. wise*

Deputy Chief Engineer
- Executive Engineer
- Assistant Engineer
- Sub Engineer
- Junior Engineer

Zone wise Dy. Chief Engrs. & Executive Engrs., Ward wise Assistant Engrs., Sub Engrs. and Junior Engrs.

HOD/ Head supervisor
- Dy. Supervisor
- Assistant Supervisor
- Junior Overseer
- Sanitary Inspector
- Mukadam
- Laborers/Safai Karmachari

On-Field staff – ward wise

Labour officer

Institutional Capacities of ULBs – Water supply *Excludes Greater Mumbai*

State Level

Water Supply – **70%**
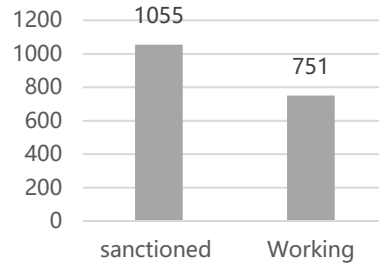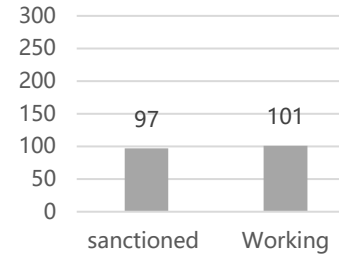
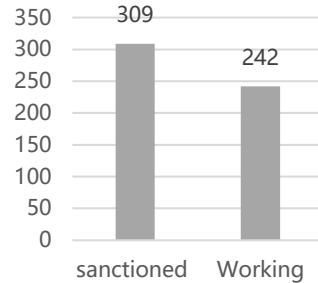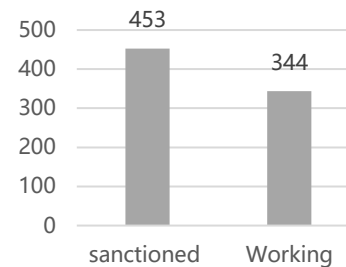|	sanctioned	Working
	3709	2606

M.Corps. - **71%**

sanctioned	Working
1055	751

Class A - **104%**

sanctioned	Working
97	101

Class B - **73%**

sanctioned	Working
246	180

Class C - **78%**

sanctioned	Working
309	242

NPs - **76%**

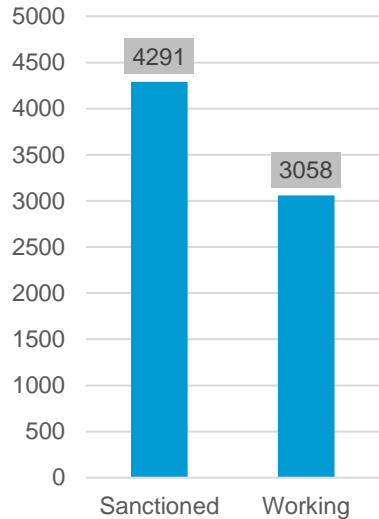| sanctioned	Working
453	344

- The data of human resources include office staff – Senior Management, Engineers, Clerks/ Accountants.
- From the assessment, it is seen that out of the sanctioned posts in water supply, state level average shows that 70% are working while there is 30% deficit. Similar trend is seen at ULB level, apart from Class A municipal councils where in all sanctioned posts are working.

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Institutional Capacities of ULBs – Sewerage/ Drainage

Excludes Greater Mumbai

State Level

Sewerage/Drainage – 71%

	sanctioned	Working
	2970	2106

M.corps - 77%

	sanctioned	Working
	1128	871

Class A - 62%

	sanctioned	Working
	165	103

Class B - 58%

	sanctioned	Working
	382	221

Class C - 73%

	sanctioned	Working
	375	273
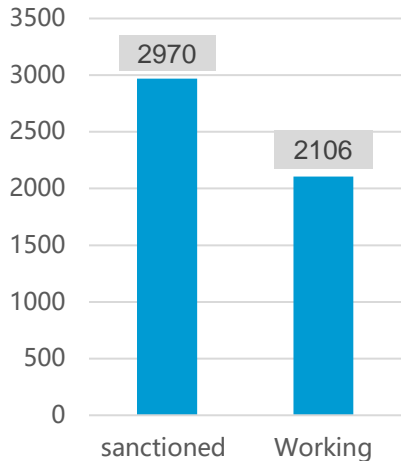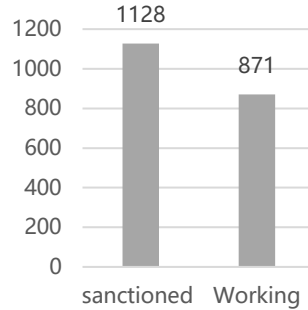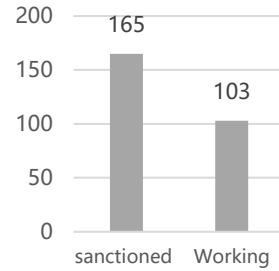
NPs - 75%
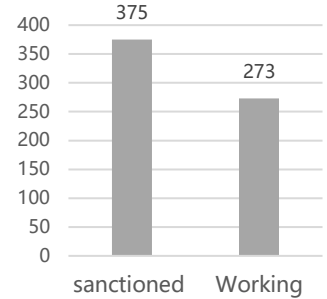
	sanctioned	Working
	352	265

- The data of human resources include office staff – Senior Management, Engineers, Clerks/ Accountants
- From the assessment, it is seen that out of the sanctioned posts in sewerage/drainage, state level average shows that 71% are working while there is 29% deficit. At the ULB level, the deficit is seen to be acute in Class A and B councils.
- The capacities of state and ULBs have been strengthened under missions like SBM/AMRUT through appointment of dedicated resources to work exclusively on missions related tasks in sewerage/ septage management.

Institutional Capacities of ULBs – Solid Waste Management
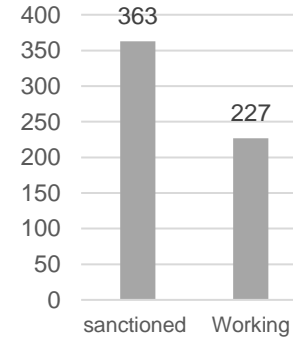
Excludes Greater Mumbai

State Level

SWM – 71%
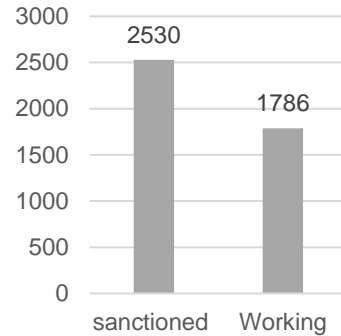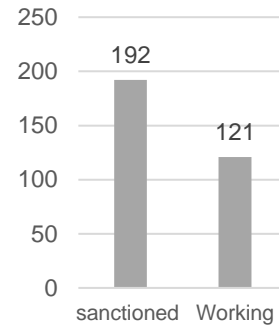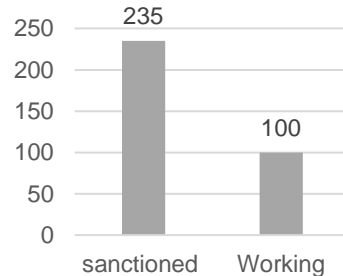
Sanctioned: 4291
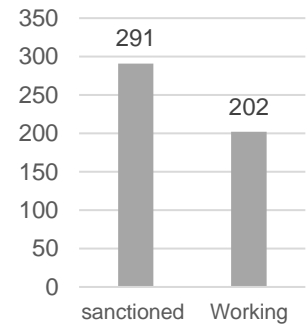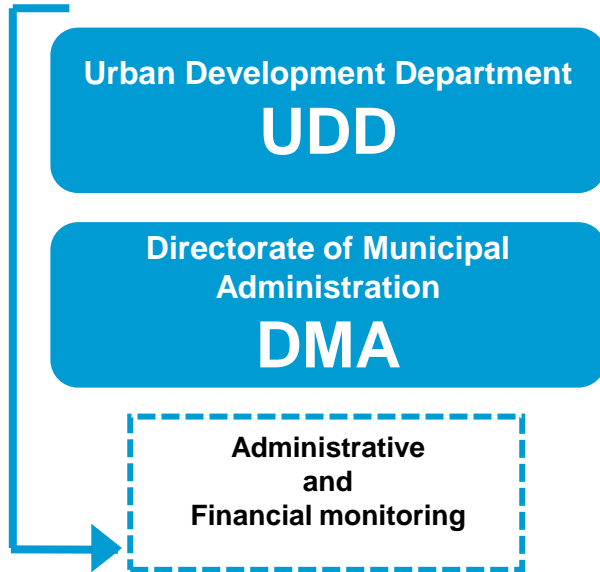Working: 3058

M.corps - 71%

sanctioned: 2530
Working: 1786

Class A - 63%

sanctioned: 192
Working: 121

Class B - 63%

sanctioned: 363
Working: 227

Class C - 69%

sanctioned: 291
Working: 202

NPs - 43%

sanctioned: 235
Working: 100

- The data of human resources include office staff – Senior Management, Engineers, Clerks/ Accountants
- From the assessment, it is seen that out of the sanctioned posts in sewerage/drainage, state level average shows that 71% are working while there is 29% deficit. At the ULB level, the deficit is seen to be acute Nagar Panchayats.
- The capacities of state and ULBs have been strengthened under missions like SBM/AMRUT through appointment of dedicated resources to work exclusively on missions related tasks in solid waste management.

Key Departments involved in Municipal Monitoring of ULBs

Key Departments mainly involved in Municipal Monitoring of ULBs

Urban Development Department
UDD

Directorate of Municipal Administration
DMA

Administrative and Financial monitoring

- The key departments mainly involved in municipal monitoring of ULBs are the **Urban Development Department** – key authority for Missions monitoring like SBM, AMRUT, SCM etc. and the **Directorate of Municipal Administration** - Key department for routine monitoring of municipal works of administrative and financial monitoring as follows:
- Administrative sanctions, routine administrative monitoring
- Schemes implementation
- Periodic physical monitoring and administrative audits
- Appointments of officials, Cadre staff transfers
- Trainings/capacity building for newly appointed municipal staff
- Funds disbursement
- Routine financial monitoring
- Periodic financial audits
- Multiple other departments/ parastatal bodies look into monitoring of ULBs on a situational/need basis while planning and implementation of projects. These departments and their areas in monitoring of municipal works are as follows:
- **Public Works Dept.** (PWD), **Maharashtra Jeevan Pradhikaran** (MJP), **Maharashtra State Electricity Board** (MSEB) – Municipal works related to buildings, construction of infrastructure, water, sanitation, solid waste management, drainage, sewerage, septage management, electricity etc.
- **Environmental Dept., Maharashtra Pollution Control Board** (MPCB) – Monitoring and overview works related to environment, pollution, climate change, disasters etc. as per Hon'ble NGT orders
- **Planning Dept.** – Works of district planning and development committee- preparation of development plan of districts

Contents

Existing Municipal Monitoring systems in the State

Two Key Categories of Municipal Monitoring

Urban Development Department
UDD

Overlaps in both types of monitoring systems

Directorate of Municipal Administration
DMA

Administrative and Financial monitoring

Missions Monitoring **– Monitoring of National and State missions/ programmes / schemes**
Mission Monitoring Systems are developed in the State based on need of delivery of specific Missions (SBM, AMRUT, SCM etc.).
The key features of these systems are:
- Well developed strategies for implementation
- Time bound as well as target oriented
- Additional dedicated resources appointed at State/ Division/ District/ ULB Level
- Performance based recognition/appreciation to State/ ULBs
- Dynamic and Competitive nature

Routine/Regular Monitoring - **Monitoring of routine municipal works**
Routine or Regular Monitoring Systems are developed to carry out routine municipal functions/ works in the State.
The key features of these systems are:
- Annual targets/ based on financial year
- Multiple initiatives/tools developed for monitoring
- Absence of macro framework / strategy
- Challenges in resources and capacities at all levels
- Lack of performance based recognition/appreciation

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Existing Municipal Monitoring arrangements in the State

Routine monitoring

Ministry initiatives — FC, SmartNet, EODB etc.

State initiatives — FC, State Nagarotthan + 7 schemes, appointments/transfers etc.

CMO → UDD (and other Dept. + parastatal bodies)

DMA

Divisional offices

District offices

Municipal corps | Municipal councils and NPs

Legend:
- → Admin Structure
- → Routine Monitoring
- → Missions Monitoring
- → Fund flow
- → Data flow

(Own systems, limited state interference)   (systems developed by state followed)

Routine Monitoring arrangements
- Apart from flagship missions, initiatives under 15th FC, SmartNet, Ease of Doing business are being implemented by Centre, likewise State Nagarotthan, 7 schemes etc. are being implemented by the State. Along with these, routine functions like appointments, transfers, Periodic monitoring and administrative audits, administrative sanctions etc. are also undertaken/monitored by the state.

Departments and offices involved
- The UDD and DMA are key Depts. mainly involved in monitoring for urban development, both administrative and financial monitoring.
- The divisional offices are Link between states and ULBs undertaking administrative routine or mission monitoring as required. Divisional offices are not involved in financial matters in terms of monitoring/fund disbursement etc.
- The district offices are involved in routine administrative and financial monitoring. District offices are payment link between state and ULBs, as payments by states are routed through districts to the ULBs.

Existing Municipal Monitoring arrangements in the State

Mission Monitoring

PMO - *Key flagship missions*

SBM, AMRUT, SMART | PMAY, NULM

CMO → UDD (and other Dept. + parastatal bodies)

MUDM / Mission managers

DMA

Divisional offices → DTEs/ Project Managers

(For SBM and NULM)

District offices

Mun. corps — Mun. councils, NPs

City Coordinators/ SPVs+ / City Mission Managers

(Own systems, limited state interference) *(systems developed by state followed)*

(For SBM and NULM)

Legend:
- Admin Structure
- Routine Monitoring
- Missions Monitoring
- Fund flow
- Data flow

Mission monitoring arrangements

- The key flagship missions – SBM, AMRUT, SMART cities mission, PMAY, NULM are implemented by the state through UDD and DMA. Mission Monitoring Systems are developed in the State based on need of delivery of specific missions.

Resources involved

- Apart from officials from UDD and DMA, dedicated Resources through consultants or contractual employees like mission managers at State/ Division/ District/ ULB Level are appointed at multiple levels under specific missions for monitoring and ensuring work undertaken.
- As the missions are driven through ministries, there are well developed strategies in place for mission admin structure, implementation and monitoring.

Summary of existing Municipal Monitoring arrangements

Routine monitoring		Mission Monitoring
Ministry initiatives	FC, SmartNet, EODB etc.	SBM AMRUT SMART / PMAY NULM
State initiatives	FC, State Nagarotthan + 7 schemes, appointments/transfers etc.	

Dedicated Resources appointed for missions

CMO

UDD (and other Dept. + parastatal bodies)

MUDM / Mission managers

Depts. mainly involved in monitoring for urban development (administrative and financial monitoring)

DMA

Link between states and ULBs. Administrative routine or mission monitoring as required. No financial involvement

Divisional offices

DTEs/ Project Managers

(For SBM and NULM)

District offices

District officials are involved in routine administrative and financial monitoring. District offices are payment link between state and ULBs, as payments by states are routed through districts to the ULBs

Admin Structure
Routine Monitoring
Missions Monitoring
Fund flow
Data flow

Municipal corps

Municipal councils and NPs

(Own systems, limited state interference)

City Coordinators/ SPVs+ / City Mission Managers

(For SBM and NULM)

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System of Monitoring arrangements

Types of routine monitoring arrangements – physical monitoring & online/digitized monitoring and tools/systems developed for them are elaborated below:

	Physical monitoring	Online/computerized monitoring
Existing System/ Practice	Monitoring of admin/financial status and progress of ULBs through physical Periodic/ need based visits to ULBs	Monitoring of admin/financial status and progress of ULBs through online modes - Photos / documents /information through portals, google docs, WhatsApp etc.

Key Monitoring Tools/Systems Developed by the State			Depts. Involved
Administrative	**Annual Inspections/ Administrative audits -** *Yearly administrative inspection undertaken by DMA*	• **MAINet 2.0 -** *Transparency & accountability in ULBs by automating access to ~ 100 citizen services* • **Ease of doing business** – *Online paying taxes, Building permits* • **GIS database -**Establishment of digitized database of properties and their attributes in ULBs	**DMA** *With Division and District offices*
Financial	**Annual financial audits -** *Financial audits by CAG. State for all ULBs (March + 2 months)*	**DIGIPay -** *A common portal for financial transactions of all ULBs for transparency and ease of monitoring initiated in April 2019 by DMA*	**DMA** *With District offices*
Performance based		**Service Level Benchmarking -** *Performance improvement and monitoring tool for services delivery*	**DMA**

Routine Administrative Monitoring Systems

Following are the Key Routine Administrative tasks to be undertaken by the state for routine functions:

- *Administrative sanctions*
- *Routine administrative monitoring*
- *Schemes implementation*
- *Periodic physical monitoring and administrative audits*
- *Appointments of officials*
- *Trainings/capacity building for newly appointed municipal staff*
- *Cadre staff transfers*

At the state level, the 7 schemes and State Nagarotthan are the Key Routine programmes being implemented by the state of Maharashtra

7 schemes	State Nagarotthan

- Vishesh vaishistapurna yojana
- vaishistapurna Yojana
- Vishesh rasta anudaan
- Navin nagarparishad sthapana
- Navin nagarpanchayat sthapana
- Yatrasthal vikas
- Nagarparishad/panchayat Haddavadh

Key tools/systems developed by State for Administrative Monitoring

Multiple efforts have been undertaken by the State of Maharashtra to establish systems/ mechanisms of routine monitoring, yet there is an absence of macro framework/strategy in place at the State level. Unlike missions that are dynamic and competitive in nature with goals established for the mission period, a lack of holistic strategy/vision is observed for routine municipal works. Following tools/systems have been developed for administrative monitoring:

Physical monitoring

Annual Inspections
Yearly administrative inspection undertaken by DMA in ULBs through 70 fixed formats i.e. parameters of inspection

Online/computerized monitoring

MAINet Transparency and accountability in ULBs by automating access to more than 100 citizen services in Maharashtra

Initiatives under Ease of doing business
- **Paying taxes:** Paying water, property tax online, online tax calculator
- **Building permits: Building plan management system** - Automation of building permissions and all workflow systems in all councils.

GIS database Establishment of database, property tax assessment

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Routine Monitoring Systems

Routine monitoring by DMA

MIS prescribed by DMA - Fixed formats for regular monitoring of ULBs have been developed by DMA since the last 20 years. Over the years, paper based monitoring has shifted towards computerized or online monitoring.

Paper based monitoring	→	Computerized monitoring

Monitoring system and frequency
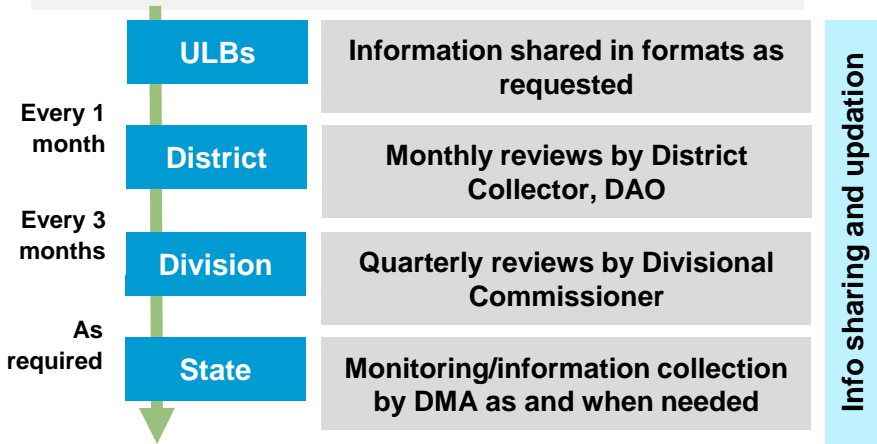
Frequency	Level	Activity	
	ULBs	Information shared in formats as requested	Info sharing and updation
Every 1 month	District	Monthly reviews by District Collector, DAO	
Every 3 months	Division	Quarterly reviews by Divisional Commissioner	
As required	State	Monitoring/information collection by DMA as and when needed	

Annual Inspections

Yearly administrative and financial inspections undertaken by DMA with division and district offices for routine municipal works undertaken by ULBs. This inspection is undertaken through physical visits to selected ULBs by DMA / Division / District officials.

Inspection in selected ULBs as below

State	Inspection of 12 ULBs (bigger cities) by DMA
Division	Inspection of 24 ULBs by each division
District	Inspection of remaining ULBs by district offices

The visits are generally 2-3 days where in records are checked based on 70 fixed formats developed by DMA. 2-3 officials are involved in the visits. After inspection, observations (termed as 'paras') submitted to directorate office - Based on observations, directives given to ULBs for compliance within a month

Source: Discussion with DMA officials

Routine Monitoring Systems

Following categories are listed in the DMA Annual Inspection Formats

1. **Pending Inspection paras from previous years**
2. **Committee meetings** *(Standing/special/subject committee meetings, president orders issued)*
3. **Municipal Finance** *(Municipal funds, grants, assets and liabilities, debt repayment, income, tax recovery, expenditures)*
4. **Water Supply** *(Testing, connections and rates, water supply schemes)*
5. **Audit** *(Audits of previous years, annual accounts)*
6. **Staff Details** *(sanctioned, working, vacant positions, daily wages workers, retirement, promotions, misconduct, capacities in use of technology)*
7. **Implementation of Development Plan** *(encroachments, unauthorized construction, building permissions, medical facilities, education, slums, fire safety, other civic amenities, expenditure on capital works, trees preservation)*
8. **Social Schemes** *(skill training and job creation, small businesses, homeless, street vendors)*
9. **Citizen services** *(RTI, court cases, Computerization (Birth & Death, Marriage, Inward- Outward etc.)*
10. **Septage and Solid Waste Management** *(Facility for septage management, septic tank emptying details, solid waste collection, transport, disposal, treatment plants etc.)*
11. **Other Municipal Details** *(measures to increase income, tenders, bank details, meetings with HoDs, funds under 14th FC)*

Source: Inspection report format 2018-19 received from GoM

Routine Monitoring Systems

List of categories and details under each category in DMA Annual Inspection Formats are as below

1	**Pending Inspection Para (From previous years)**
	Committee Meetings
2	Municipal Council Meeting in the year of Inspection (General, Special Metting)
3	Standing Committee Meeting in the year of Inspection
4	Subject Committees Meeting in the year of Inspection
5	The President orders issued under Section 58 (2) of Maharashtra Municipal Councils, Nagar Panchayat and Industrial Towns Act
	Municipal Finance
6	Municipal Funds- As per double entry accounting system
7	Information about the Assets and Liabilities of Municipal Councils at the end of the inspection year
8	Grants for the year of Inspection
9	Pending (un adjusted) advance (amount) in the year of Inspection
10	Information of Debt repayment
11	Municipal Council Income for the last five years
12	Income received from fees and License in the last Five year (Under section 280,281)
13	Income received from Sanitation and Clearing in the last five year
14	Tax recovery during Inspection years
15	Expenditures of the last five year
16	Expenditures of the as per plans wise for last Five year
17	Expenditures on Municipal Establishment of the last Five years
18	Disposal of property
19	Income and Expenditures for the last five years

	Water Supply
20 (A)	Water Supply
20 (B)	Water Supply for testing at a public health laboratory
20 (C)	Water supply -Water tap connection and rates
21	Information of Water Supply Scheme
	Audit
22 (A)	Audit
22 (B)	Charges and (Local fund Audit)
22 (C)	Has been special audit done? If so
23	Budget of the Inspection year (Under section 101) and Annual Accounts
	Staff Details
24	Details of the staff at the Municipal Establishment
25	Appointment on daily wages basis
26	Employees who gone to court on service matter
27	Backlog of Backward Class
28	Retirement Cases
29	Regarding of Municipal Council employees Confidential report, service books and promotions
30	Details of the amount deducted from the salaries of the Municipal Employees
31	Discipline in the work of the Municipal Council and the use of information technology
32	Misconduct by employees
33	Information of special posts on Municipal Establishment

Routine Monitoring Systems

List of categories and details under each category in DMA Annual Inspection Formats are as below

	Implementation of Development Plan
34	Implementation of Development plan
35	Removal of Encroachments
36	Removal of unauthorized construction
37	Permission of building construction
38	Medical Facilities
39	Education
40	Slum improvements
41	Appropriation of Fire Safety Funds
42	Current status of discretionary/ Civic amenities provided by the Municipal Council
43	Expenditures on street light of the last five years
44	Expenditures on Capital work in the last five year (such as Gardens/Cemeterium/ Burial ground/Library/Swimming pool/ Markets/ Slaughter Houses /Theaters/ Art collection
45	Trees preservation

	Social Schemes
46	Information regarding schemes of the weaker sections, implementation
47	Social convergence and established Institutions
48	Skill training and job creation
49	Financial inclusion and small business
50	Shelter for the homeless
51	Assistance for Urban street vendors

	Citizen services
52	Training Capacity Building
53	Details regarding suspension of resolution under Section 308 of this act
54	According to the Director, under Section 312, what kind of action undertaken
55 (A)	Implementation of Right of Information Act
55 (B)	Appeal under Right of Information Act implementation
56	Computerization (Birth & Death, Marriage, Inward- Outward etc.)
57	Court Cases
58	Lokayukta/Dy. Lokayukta Matter

	Septage and Solid Waste Management
59	Septage Management
60	A- Solid Waste Management
61	B - Information regarding Solid Waste Management
62(C)	Information regarding Solid Waste Management
63	Information regarding Bio-Methenation gas project
64 (A)	Provide basis infrastructure in urban area in the last five year, total expenditure

	Other Municipal Details
65	Measures taken to increase to the Income sources
66	Municipal Council Tenders
67	Bank details of Municipal Council
68	Meetings with Head of Department by the Chief Officer
69	Details fund received by 14th Finance Commission in the year 2020-21 , total expenditure so far

DMA Annual Inspection Formats
59: Septage Management

The format of septage management captures the following details:

- *Facility for septage management*
- *If underground drainage – length in kms.*
- *When and for how many population was underground drainage planned*

- *Facility for emptying of septic tanks*
- *Drainage tax*
- *No. and capacity of vacuum emptier trucks*
- *Charges (within and outside ULB limits)*
- *Daily trips*
- *Daily septic tanks emptied*

The details captured in the septage management format are repetitive in various SBM mission based MIS/formats

- *Plan for septage management*
- *No. of septic tanks (ULB/private)*
- *No. of HHs*
- *No. of individual toilets*
- *No. of CT/PTs*

Summary

Feedback
- *Underground drainage system should be constructed in the ULB as a good service to citizens*
- *All public toilets/urinals should be cleaned daily and sanitized*
- *Systematic increase in ULB annual revenue should be assessed in terms of usage of vacuum emptier*

मलनि :सारण व्यवस्थापन
सन २०१८-१९

मुख्याधिकारी न.पा. नवापुर यांनी म.संचालक नगरपालिका प्रशासन संचालनालय यांनी विहित केलेल्या प्रपत्र ५९ मध्ये तपासणी सन २०१८-१९ ची माहिती दिली आहे ती खालीलप्रमाणे

अ.क्र.	मलनि:सारण व्यवस्था	भुयारी गटार असल्यास भुयारी गटाराची लांबी	भुयारी गटार योजना कधी तयार केली व किती लोक संख्ये साठी	मल नि:सारणाच्या विल्हेवाटी साठी काय उपाय योजना केलेली आहे	सेप्टीक टँकची संख्या		कुटुंबा ची संख्या	खाजगी संडा सांची संख्या	सार्वजनिक संडासांची संख्या
					खाजगी	सार्वजनिक			
1	2	3	4	5	6	6 (अ)	7	8	9
1	भुयारी गटार	21 कि.मी.	1998 पासुन टप्पा टप्प्याने आवश्यकते प्रमाणे तयार केली आहे.	खाजगी सेप्टीक टँक व शुद्दिपाण्यासाठी भुयारी गटारीत पाईप लाईनद्वारे व्यवस्था करणाय आली असुन,STP प्लांट बांधकाम सुरू आहे.	6109	40	8496	6109	40

सेप्टीक टँक मधुन मल काढण्या ची व्यवस्था	ड्रनेज टँक्स चा दर व मागणी	व्हॅक्युम एम टी आर ची संख्या आणि क्षमता (एका पेक्षा अधिक असल्यास प्रत्येकाची माहिती स्वतंत्र करावी	एम टी आर चा प्रता खेपेचा दर (रु.)	दरराज व्हॅक्युम एम टी आर च्या किती खेपा होतात ?	एम टी आर न किती टाक्या उपसल्या जातात
10	11	12	13	14	15
ननपा मालकिचे व्हॅक्युम एप्टीअरव्दारे	-	व्हॅक्युम एप्टीअर नग-1 (क्षमता-3000 लि.)	ननपा हद्दीत-1500/- रूपये, हद्दीबाहेर2500/- रूपये.	आलेल्या तक्रारी प्रमाणे (अंदाजे मासिक 2/3)	टँकची लांबी रूंदीवर अवलंबुन आहे.

1 भुयारा गटार व लिचापट्स " " नरक " असल्याच नमुद कल आह. शहरात कुटूबांची संख्या ८४९६ असुन खाजगी टँकची संख्या ६१०९ व सार्वजनिक सेप्टीक टँकची संख्या ४० असुन सेप्टीक टँक मधिल मैला व्हॅक्युम ऑम्टीयर द्वारे (क्षमता -३ ०००) काढण्यात येतो. मलनिस:रणासाठी व्हॅक्युम यंत्रणेचा वापर करण्यात येतो. त्याचा शहरात प्रति ट्रीप १५००/- असुन गावाच्या बाहेर प्रति ट्रीप २५००/- दिला जात असल्याचे नम द आहे.

अभिप्राय:-

१) न.पा.क्षेत्रात मलनिस:रण व्यवस्थापनेसाठी भविष्यात भुयारी गटारी बांधण्यात येवुन चांगल्या सुविधा नागरिकांना देण्याचा प्रयत्न करावा.

२) मलनिस:रण व्यवस्था अंतर्गत शरातील सार्वजनिक मुतारी व शौचालये हे दररोज साफ करुन निर्जंतुकीकरणाचे औषध वापरण्यात येईल याची दक्षता घ्यावी.

३) व्हॅक्युम एम्टीयर वापराचे आदेश बाबतीत न.पा.च्या आर्थिक उत्पन्न वाढविण्यात दृष्टीकोणातुन नियमीत सरासरी वाढ करण्याची कार्यवाही करण्यात यावी.

Routine Monitoring Systems

Monitoring through WhatsApp and Google Docs

- WhatsApp and Google docs are the Key existing tools/system used for routine monitoring and follow-up by State offices.
- Multiple WhatsApp groups at state/division/district/ULB level have been formed for tracking status updates, sharing information, documents, notices, GRs etc.
- Groups also used for sharing links to Google docs/ online MIS portals to fill in information and setting deadlines for submission of information in the formats/portals.
- As the groups consist of higher authorities, the ULB officials are mandated to respond in the stipulated time period.
- The general trend shows that given the urgency of work, new formats are shared every time, rather than checking already submitted data in another format already submitted by cities previously.
- Similar system is also followed for missions to monitor, take status updates, share information etc.

- **This system is considered an efficient by authorities for immediate response from ULBs.**
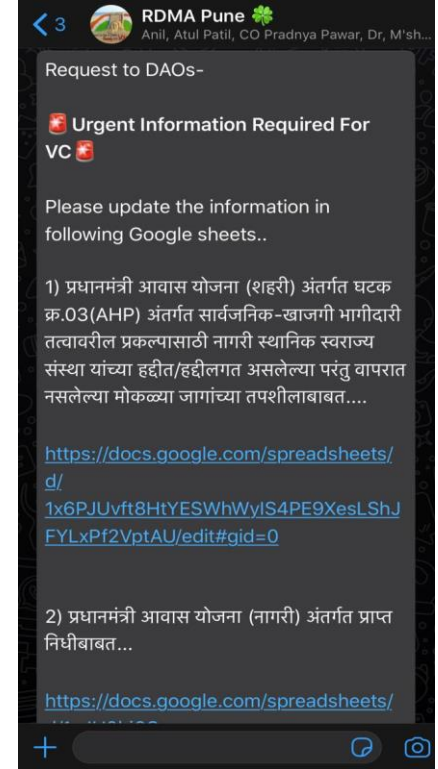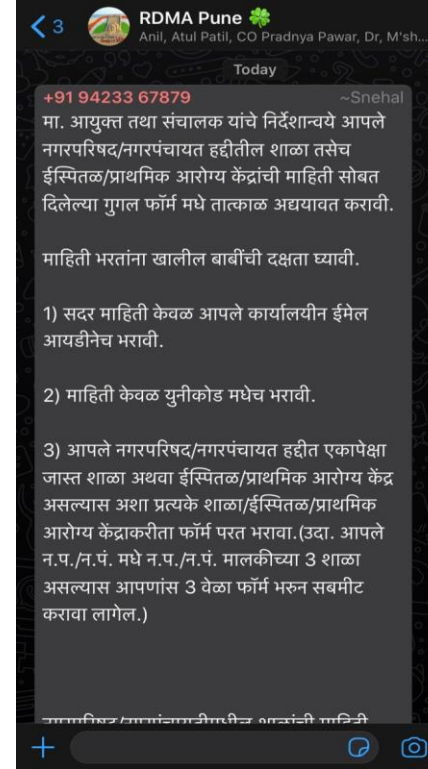
Routine Monitoring Systems

Links of online portals, docs shared on WhatsApp

WhatsApp groups formed at various levels with representatives of ULBs

Links of MIS portals/ Google sheets shared on the groups for ULBs to update information
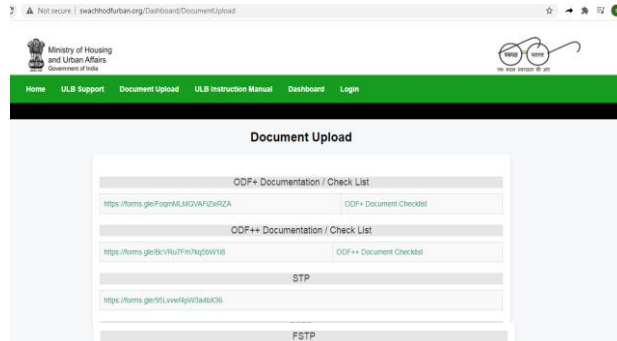
Google forms created by State and circulated among ULBs to update information. Not user friendly. Most of the sheets are open - data from all ULBs are visible and editable to all who has edit access. This does not maintain the sanctity of data as the file has multiple rows and one can type/edit in the wrong row.

Routine Monitoring Systems

MaiNET 2.0

E-Governance System

MAINet E-Municipality Solution

Transparency and accountability by automating access to more than 100 citizen services in Maharashtra
Handled by ABM knowledgeware from 2012 to 2017 (*Parallely in 2015 it was decided to establish web based data for all ULBs – Innowave solutions ltd. appointed in 2017-18, but Innowave blacklisted by state (issues in rural projects) project was stalled)*
ABM currently continuing work for ULBs since 2018 through MAINet 2.0

Support from ABM
- 1 person at district, 2 persons at division and 6 persons at state level
- Common single server for new NPs established in 2016, process for common single server for all ULBs ongoing
- Redressal of IT related issues

Ease of Doing Business

Citizen services - Paying taxes

To Facilitate the ULBs to move from paper trails to online based systems

- Online payment of **property tax**
- Online payment of **water tax**
- Online **tax calculator** to estimate property taxes
- **Disclose information** about taxes, fees, etc.
- Online application for **new tap connection**
- **Business license** online

Building plan management system

- **Automation and implementation of building permissions** and all workflow based systems used in the councils for all permissions like plinth, occupancy etc.
- **BPMS Connect application** for inspections and real time updates to stake holders.

GIS database

linking with Property-Tax system to be used as a **Decision Support System for enhanced governance**

Result & Outputs
Bhadravati LULC   Shegaon LULC
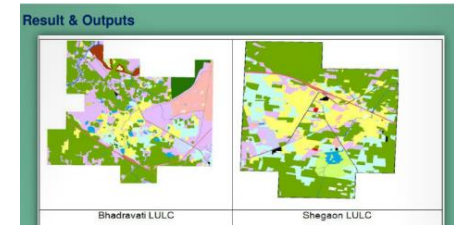
Mapping of
- Land use
- Natural features
- Properties
- Transport
- Utilities (water, electricity, sewerage)

- Undertaken by Maha IT – work order issued in 2017
- Work initiated in 175 ULBs – 13 L properties
- Work completed only in 13 ULBs so far
- **Work stalled after 2018**

Routine Monitoring Systems

Key tools adopted by State for Performance based Monitoring

Online/computerized monitoring

Service Level Benchmarking
Performance improvement and monitoring tool for services delivery

- A system/portal for measurement, monitoring and improvement of urban water supply and sanitation performance in the state is developed under PAS project by C-WAS, CEPT UNIVERSITY implemented with AIILSG Mumbai in Maharashtra
- Along with KPIs, local action indicators, capturing in depth details of service levels and delivery are also captured every year on the portal.
- Performance Based Grants (PBGs) given to ULBs based on performance in pre-determined areas applying clear and transparent allocation formulas.
- This tool has helped establish data and maintain data on multiple indicators in the ULBs and has gradually lead to increased capacities as well as increased performance in the ULBs

Interactive dashboards on PAS portal
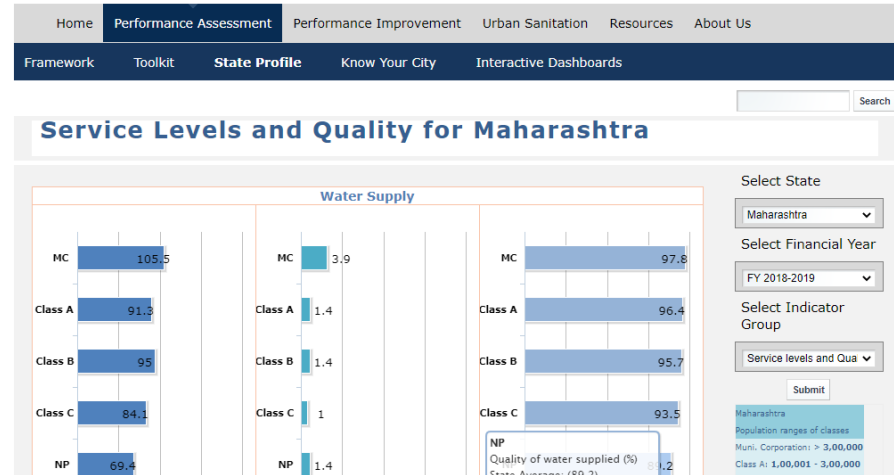
- Implemented since 2009 to present
- **Improvement in performance and capacities** in ULBs

- **City finance portal** developed by Ministry to standardize information and monitor performance of ULBs

Routine Monitoring Systems

Online/ Computerized   Financial

Following are the Key Routine Financial tasks to be undertaken by the state for routine functions:
- *Funds disbursement*
- *Routine financial monitoring*
- *Periodic financial audits*

Key tools adopted/developed by State for Financial Monitoring

Physical monitoring

Annual financial audits
Financial audits are undertaken by CAG. State for all ULBs. The audits are generally done for the month of March + 2 months (random selection) by a team through visits to ULBs.

Online/computerized monitoring

DIGIPay
DIGIPay is a an app/ common portal for financial transactions of all ULBs for transparency and ease of monitoring

DIGIPay App - Channel of grants disbursement
- The DIGIPay app has developed as a one stop channel for funds disbursement to the ULBs as well as for financial transactions of all ULBs, initiated in April 2019 by DMA
- This has led to transparency in transaction and ease of monitoring
- Minute to minute monitoring can be done, of all ULBs through this single portal.
- Bank accounts created for all districts in the state and login IDs are created for approvals at all levels in the app as below:

	ULBs	District	State
Maker	*JE/engineer*	*DAO*	*Dy. Director*
Checker	*Accountant*	*Accountant*	*Accountant*
Approver	*Chief officer*	*Collector*	*DMA*

| Fund Flow | DMA ➡ | district collectors ➡ | ULBs |
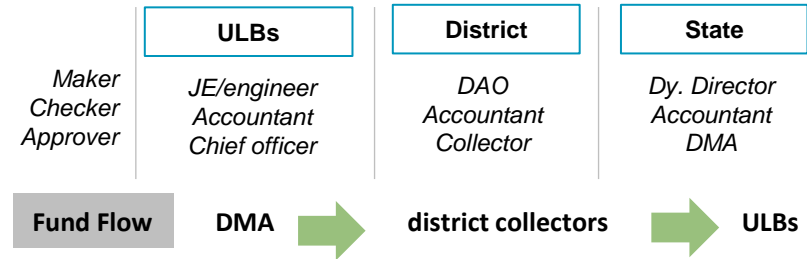
- Funds are distributed from DMA to districts and further from districts to the ULBs.
- **This system has led to reduction in frequency of physical monitoring by DMA since the use of this app.**

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15th Finance Commission

Million Plus Cities		Non Million Plus Cities		Total Grant
1586 Cr.		1220 Cr.		2806 Cr.
Air Quality	793 Cr.	Untied Grants	50% (610 Cr.)	
SWM/ Sanitation	793 Cr.	Tied Grants 1. **Drinking Water** (including rain water harvesting and recycling) (25%) 2. **SWM** (25%)	50% (610 Cr.)	
Mumbai, Navi Mumbai, Thane, KDMC, Pune, PCMC, Nagpur, Aurangabad, Nashik and Vasai Virar + Mira Bhaynder, Ulhasnagar, Bhiwandi, Ambernath and Badlapur		All Other Municipal Corporations, Councils, NPs and Cantonment Boards		

Non Million Plus Cities
Calculated 90% of grants of population (census 2011)
10% on the basis of area (2011)

Utilization of Tied Grants (50% of total)
1. Drinking Water (50% of tied grants)
2. SWM (50% of tied grants)
3. If grants pending from either of the component after utilization, then can be used for other component

Utilization of Basic/Untied Grants (50% of total)
Regular municipal works based on following conditions:
1. Municipal share in Centre and State schemes
2. Loan (taken for basic services projects) repayments from LIC, HUDCO etc. (financial institutions). If loans not repayed, state can take the decision to directly pay the loan from the respective municipal share)
3. Water and electricity bills (apart from fines)
4. Pending amount after 1,2,3 can be used for regular municipal works apart from establishment/salary

15th Finance Commission

Administrative approvals for works through 15th FC grants

M. Corps	M. Councils/ NPs	
Commissioner	**Untied Grants** *1,2,3*	**Tied Grants** *+ 4 of basic*
	Chief Officer	**Chief Officer**
		if works within limit of A class councils – 30 L, B Class– 20 L, C class– 10 L
		District Collector Works for higher amount

Following conditions to be met before approval
- Works should be as permissible under 15th FC
- Should be as recommended by GB of the ULB
- Should have technical approval as needed
- For works which require construction, land should be owned by ULB
- should be in alignment with the DP– should have approval of the TP dept.
- For buying fire brigades/ equipment, approval from Directorate of Maharashtra Fire Service should be taken

Procedure to receive Tied Grants from MoHUA

Marking scheme as decided by MoHUA

Data to be submitted by cities to DMA

DMA to upload data on City finance Portal

Funds disbursal
- Funds disbursed through RTGS directly to ULBs in nationalized banks *(ULBs to open independent accounts)*
- ULBs to intimate state on receiving grants through email and letters

Utilization Certificate
- Funds to be received every year in June and October
- For receiving installments, UC of expenditure of at least 70% of the previous installment to be submitted from ULB to DMA on 15th May and 15th September
- ULBs not eligible to receive installments if UC not submitted

15th Finance Commission

Marking Scheme for claiming Tied Grant for the period 2021-22 to 2025-26

- 15th FC in its report for the year 2020-21 has prescribed certain mandatory conditions for claiming the FC grants.
- For tied grants, 15th FC has mandated MoHUA to develop city-wise and year-wise targets, in consultation with the State Governments, for 2020-25 and recommend disbursal of grants.

1. Mandatory Conditions:

Table:1

S.No.	FY 2021-22	
1.	Audited accounts published for all ULBs on State/ULB website for the year before the preceding year w.r.t the award year*	Yes/ No
2.	Property tax floor rate notified	Yes/ No
	FY 2022-23 and onwards	
3.	Increase in Property tax collection over previous year in tandem with the State GSDP	Yes/ No
	Increase in property tax collection over previous year (in %)	
	Increase in GSDP over previous year (in %)	

* Illustration: For ULB to become eligible for 2021-22 grants, audited accounts of year 2019-20 should be published.

Table: 6

	Indicator	Maximum Marks
1	**Water Supply and waste water management**	
1.1	Households covered with piped water supply	20
1.2	Water supplied in liters per capita a day (lpcd)	5
1.3	Reduction in non-revenue water (NRW)	5
1.4	Household covered with sewerage/ septage services	10
1.5	Recycling/ reuse of water	10
1.6	Rejuvenation of water bodies	10
2	**Solid Waste Management**	
2.1	Garbage free star rating of the cities	30
2.2	Coverage of water supply for public/community toilets	10

- Grants for 2021-22 will be released on submission of Baseline data, targets and other information as per Sl. No. 2 (i.e. Service Level Indicators and Targets) of this scheme on City Finance Portal.
- Grants for the year of 2022-23 and onwards shall be released on achievement of the targets for previous year. States will submit the required information on City Finance Portal along with claim for 1st instalment of tied grant for that year.
- Improvement in service level indicators will be measured against the yearly target which shall be verified at the State and ULB level.

Contents

Data Generation and Monitoring

Data generation by ULBs

- Multiple data sets are created at ULB level for same subjects under various Centre and State initiatives with lack of uniformity. This leads to overlapping of information and non-uniformity in data in each of the data sets, as information is based on the need of the particular initiative/competition, rather than on-field reality.
- Datasets generated under:
  - Centre and State missions/schemes related monitoring– SBM, AMRUT, PMAY, SCM, state schemes etc.
  - Under Swachh Survekshan
  - Service Level Benchmarking
  - Administrative audits
  - Project basis etc.
- The focus of most of these systems is on data collection rather than monitoring.
- **Disconnect is observed between data collection systems and monitoring -** Mismatch of various datasets available for same subjects

ULBs data hosted on DMA website

Though these tabs exist, the information available in the tabs is generally partial/incomplete and not updated and not linked to the SLB data annually updated from the cities.

Data Matrix - key information asked from ULBs in the last 2 yrs

SN	Routine/ mission	Format name	Category	Authority	Mode	MIS/portal available	Type (Information/ status of work)	Frequency
1	Routine	Annual inspection report	Audit	DMA	Physical	No	Information	Annual
2	Routine	ORCAM (Online repository for cadre management)	Human resources	DMA	Google forms	No	Information	Newly launched
3	Routine	14-15 Finance Commission	Finance	DMA	Google spreadsheet	Yes	Information + status	Monthly
4	Routine	Property Tax	Finance	DMA	Google spreadsheet	No	Information	Quarterly
5	Routine	Non tax revenue- Water	Finance	DMA	Google spreadsheet	No	Information	Quarterly
6	Routine	Grant in aid	Finance	DMA	Google spreadsheet	No	Information	Quarterly
7	Routine	CAG audit (PAC) report	Audit	DMA	Google spreadsheet	No	Status	Quarterly
8	Routine	Local Fund Audit	Audit	DMA	Google spreadsheet	No	Status	Quarterly
9	Routine	Commercial establishments	Properties	DMA	Google spreadsheet	No	Information	Ad hoc
10	Routine	Encroachments	Properties	DMA	Google spreadsheet	No	Information	Ad hoc
11	Routine	Advertising enchrochments	Properties	DMA	Google spreadsheet	No	Information	Ad hoc
12	Routine	Endangered buildings	Properties	DMA	Google spreadsheet	No	Information	Ad hoc
13	Routine	Tourist places revenue	Properties	DMA	Google spreadsheet	No	Information	Ad hoc
14	Routine	MIDC	Properties	DMA	Google spreadsheet	No	Information	Ad hoc
15	Routine	Court cases (where DMA is involved)	Legal	DMA	Google spreadsheet	No	Information + status	Ad hoc
16	Routine	ERs/Committees	ER	DMA	Google spreadsheet	No	Information	Ad hoc
17	Central Mission	Service Level Benchmarking	WASH, SWM	DMA	MIS	Yes	Information	Annual
18	Central Mission	Swachh Survekshan	WASH, SWM	UDD	MIS	Yes	Information	Annual
19	Central Mission	SBM - Waste management	WASH, SWM	UDD	MIS	Yes	Information	Quarterly
20	Central Mission	Safaimitra Surakhsha Challenge	WASH, SWM	UDD	Google spreadsheet	Yes	Information	Monthly
21	Central Mission	SBM - SWM DPR implementation	WASH, SWM	UDD	Google forms	No	Information + status	Weekly
22	Central Mission	PFMS under NULM	Finance	DMA	Google spreadsheet	No	Status	Weekly
23	Central Mission	PMAY housing	Housing	DMA	Google spreadsheet	Yes	Information + status	Monthly
24	State Scheme	UD MAHAPAY	Finance	DMA	Google spreadsheet	No	Status	Weekly
25	State Scheme	Suvarna Jayanti Nagorothan Maha-Abhiyan	Infrastructure	DMA	Google spreadsheet	No	Status	Quarterly
26	State Scheme	7 Schemes	Infrastructure	DMA	Google spreadsheet	No	Status	Quarterly

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Data Matrix - key information asked from ULBs in the last 2 yrs

Mapping of multiple formats and information asked by State from ULBs

- Apart from the annual inspections undertaken by DMA, most of the monitoring activities are computerized/online.
- Overlapping of information is observed under various initiatives and programmes both at missions and routine municipal works level.
- Apart from MIS developed for central missions, it is observed that most of the information is captured on urgent need based formats with a deadline of 1-2 days from the ULBs through Google spreadsheets. These are circulated through multiple WhatsApp groups.
- The focus of most of these systems is on data collection rather than monitoring or improvement in systems or services delivery.
- Given that repetitive information is asked from the ULBs, Multiple data sets are created at ULB level for same subjects under various Centre and State initiatives with lack of uniformity. This also results in added efforts and human hours being spent by the ULBs on same task repeatedly.

Data matrix link - https://docs.google.com/spreadsheets/d/1jJzlh_Y425xJdLhUsp4-W8hFYpqY-LQd5YhiP20KD2w/edit#gid=0

Dashboards/ portals developed by the State

- ***Vikas Darshak/ CMO Portal*** *(developed by Maha IT for public complaints redressal)*
- ***Aaple Sarkar*** *(developed by Maha IT for public services/ complaints redressal/ citizens interface)*
- ***Darpan*** *(for rural schemes)*

- Dashboards allow **tracking various type of public service applications** and complaint; mainly used as a citizens' interface and public services monitoring tool.
- Most tabs on the portal are defunct - only 10% tabs active.
- Information not updated.
- Portal enables only tracking of public services and not developed as a municipal monitoring mechanism.
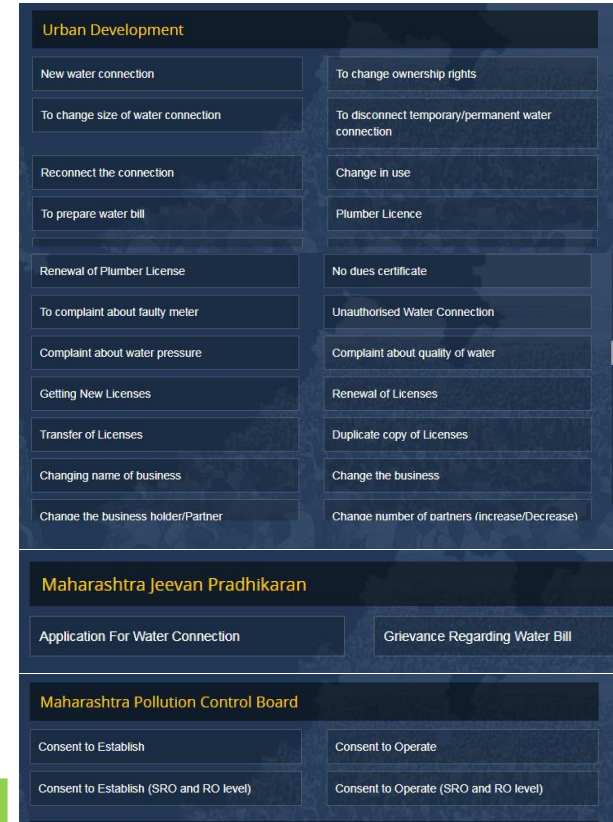
Dashboards/ portals developed by the State

Services under Aple Sarkaar Portal

1. Revenue Department
2. Rural Development and Panchayat Raj Department
3. Labour Department
4. Water Resources Department
5. Industries Department
6. Forest Department
7. Department of Registration & Stamps (IGR)
8. Department of Co-Operation Marketing and Textiles
9. Law and Judiciary Department
10. Home Department
11. Transport Department
12. Industries Department
13. Municipal Corporation of Greater Mumbai
14. Housing Department - MHADA
15. Housing Department - Mumbai Building Repairs and Reconstruction Board
16. Housing Department - Slum Rehabilitation Authority
17. **Maharashtra Jeevan Pradhikaran**
18. **Urban Development**
19. **Maharashtra Pollution Control Board**
20. Maharashtra Industrial Development Corporation
21. Nagpur Municipal Corporation
22. Social Justice and Special Assistance Department
23. Medical Education and Drug Department – AYUSH
24. Medical Education and Drug Department – MIMH
25. Medical Education and Drug Department - DMER
26. Higher Education and Technical Department

27. Home Department- Maharashtra Maritime Board
28. Tourism and Cultural Affairs - Gazetteers Department
29. Tourism and Cultural Affairs - Directorate of Archives
30. Women And Child Development department
31. Public Health Department
32. Tribal Development Department
33. Department of animal husbandry & dairying
34. Department of fisheries
35. School Education and Sports Department
36. Agriculture
37. Finance Department
38. Food & Public Distribution System (PDS)
39. Tourism and Cultural Affairs Department - Directorate of Cultural
40. Tourism and Cultural Affairs Department - MTDC
41. Tourism and Cultural Affairs Department - P L Deshpande Maharashtra Kala Academy
42. Tourism and Cultural Affairs Department - Stage Performances Scrutiny Board
43. Land Record Department
44. Energy Department
45. State Excise Department
46. Minority Development Department
47. **Urban Local Bodies**

Urban Development

New water connection	To change ownership rights
To change size of water connection	To disconnect temporary/permanent water connection
Reconnect the connection	Change in use
To prepare water bill	Plumber Licence
Renewal of Plumber License	No dues certificate
To complaint about faulty meter	Unauthorised Water Connection
Complaint about water pressure	Complaint about quality of water
Getting New Licenses	Renewal of Licenses
Transfer of Licenses	Duplicate copy of Licenses
Changing name of business	Change the business
Change the business holder/Partner	Change number of partners (increase/Decrease)

Maharashtra Jeevan Pradhikaran

Application For Water Connection	Grievance Regarding Water Bill

Maharashtra Pollution Control Board

Consent to Establish	Consent to Operate
Consent to Establish (SRO and RO level)	Consent to Operate (SRO and RO level)

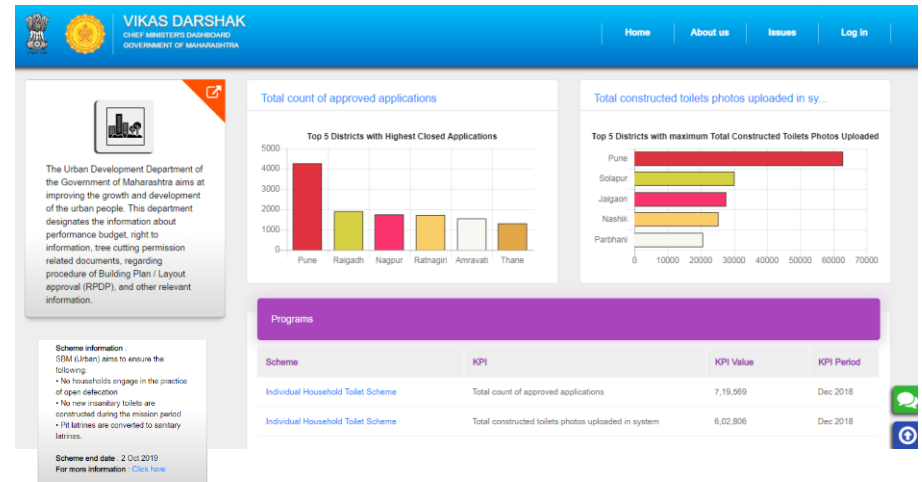# Dashboards/ portals developed by the State

Vikasdarshak/ CM Portal

Introduction to Chief Minister's Dashboard

- Business Intelligence (BI) and Analytics Web Portal
- Enables all the users to view social media channels, latest videos, posts, twits, and other information related to the Honorable Chief Minister's Office (CMO) of the Government of Maharashtra
- Users of Chief Minister's Dashboard
  - ✓ **Common User**
  - ✓ **Honorable Chief Minister**
  - ✓ **Department Users (Checker, Maker, and Issue Tracker Administrator)**
  - ✓ **Web Portal Administrator**
- Create and search an issue using the *Issue Tracker* functionality
- Chat with *Mahayojak* that is the chatbot functionality of the Dashboard
- Get a *multi-lingual support* in English, Marathi, and Hindi

- The CM portal is planned to '**track and monitor all the Government schemes through the CM Dashboard portal**.
- Currently the portal is not frequently updated, sparce information is seen. Tabs of only certain departments are active with limited, outdated information – *Only 'IHHL scheme' on UDD, last updated in 2018*
- On the other hand public services - Issues/ grievances redressal tab is seen to be active.

Contents

Case Studies – Andhra Pradesh

DIGIT implementation with eGOV foundation(2015-2018)

- The state has successfully implemented an integrated MIS system DIGIT Governance Stack from eGOV Foundation across all 110 ULBs in the state of Andhra Pradesh from 2015 to 2018
- E-Gov Foundation is creating digital platforms for efficient and transparent urban governance in India for the last 17 years. They have worked with 1000 ULBs across 14 states of the country by developing and implementing municipal solutions such as DIGIT (Digital Infrastructure for Governance, Impact and Transformation).
- DIGIT is a portfolio of Open APIs, services, and tech. implementations, with open standards, technical specifications and documentation which can be customized to users needs.

Highlights- 4 main sections- Revenue, Expenditure, Admin, citizen services

- **Standardized workflow and integrated process** across the state and Integrated modules, effective data management and tracking
- **Improved service delivery** - 36 citizen services offered over multiple channels – CSCs, web portal, mobile app
- **Integrated, state-wide dashboards to track KPIs** in each area like tax collections,
- **Well defined workflows** and employee specific logins, driving accountability ,Tracking of SLAs along the process cycle with notifications and alerts to stakeholders
- 25% to 30% year on year **increase in revenue collections** since FY 16- reports on collection

Case Studies – Andhra Pradesh and Telangana

DMA Dashboard of AP
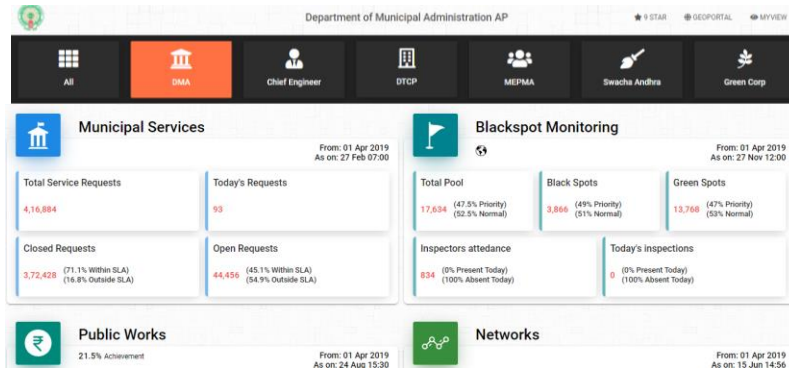
- **Analytical dashboards have been created for routine municipal works** to track and monitor status
- Systems are better developed and more interactive - **attempt at improving the quality of government operations, accountability and transparency**
- **Information frequently updated** – latest information of 2019 available as against websites/ portals of Maharashtra (latest available info of 2014-15)

Key Tools developed for Monitoring in Telangana

✓ **Citizen Services Monitoring System**

✓ **Citizen services centres**

- **Mobile Application- Citizen Buddy**

✓ **Property Mapping in the Urban Local Bodies – Land registry**

- **Online Automated Title Transfer**

✓ **Online Payment of Taxes and Non-Taxes in ULBs**

✓ **Development Permission Management System**

- **E- office**

- **Urban Genie-Linking service providers and citizens**

- **Urban Dost-Connecting urban homeless to shelters**

✓ *Initiated in Maharashtra*

- Most of these systems have been **already initiated in State but not with a macro strategy and core focus on monitoring**
- Multiple initiatives attempted, but **stuck at various stages** due to administrative and financial reasons
- Portals/ IT based systems created, but **their efficiency and actual application for monitoring** has been challenging

46

Contents

Mission Monitoring Systems in the State

Monitoring Systems of national urban development missions

- A **significant shift due to the national urban development missions** has been seen in the past 7-8 years in terms of approach towards work due to time bound and specific targets to States and Cities.
- Missions are now also moving towards **data equity** through a paperless approach with complete **digital monitoring of projects progress and its funding**.
- Funding to States are also outcome based.
- **Competitions like Swachh Survekshan, Pey Jal Survekshan etc.** are undertaken/proposed in cities as a challenge process to assess the compliance of service level benchmarks in the city. These are expected to instill healthy competition among cities and act as a **monitoring tools and Mission accelerators**.
- Dedicated **Consultants / resources** are appointed at the National / State levels with independent review and Monitoring Agencies for missions. Resources are also appointed at division/ district/ city for ensuring timely progress on ground.
- Separately funds are allotted by Centre for PMU/TSUs -resources hiring, capacity building/ skill development, knowledge management specifically under the missions.

Swachh Bharat Mission - Urban 2.0 Guideline

Image Source- https://www.sakalmediagroup.com/tanishka-to-put-in-efforts-for-swachh-maharashtra/

Administrative Structure of Missions

Administrative structure and monitoring mechanism

MoHUA

CMO

Chief Secretary's office

UDD II

MUDM
Mission director + Executive Director

Regional DMA

District Collectorate

City Administration
(Mun. Corps., Mun. Councils/ NPs)

Funds flow
Funds disbursed to ULBs by UDD directly

Progress/review of ULBs

Dedicated resources

National Level Consultants

State Level Consultants

Divisional experts/ coordinators

District coordinators

City mission managers/ coordinators

Systems/resources specifically for the mission

Time and Target bound Funding from the Centre
- ✓ *Achievement of targets directly linked to availing funds*

Data driven management
- ✓ *Data equity – complete digital monitoring*
- ✓ *Competitions as monitoring tool and mission Accelerator*
- ✓ *Online MIS/portal for real time updates*

Dedicated resources
- ✓ *Dedicated State / ULB Consultants or resources like city coordinators*
- ✓ *Independent mission specific Review and Monitoring Agencies*

Inferences – Aspects in Municipal Monitoring

- **Online monitoring portals/MIS** - The achievement of mission objectives are digitally monitored through online portals/MIS.
- These are generally directly linked to availing funds.
- Dedicated logins are created and the portals are regularly updated by cities/ States for flow of information and sanctioning of funds.
- The portals also reflect real time status/progress updates of missions at national and state level.

Contents

Inferences – Aspects in Municipal Monitoring

- The exiting municipal monitoring arrangements in the State have two key aspects as shown in the chart below i.e. Monitoring of data/information, and monitoring of human resources in the State by the State authorities.
- **Monitoring of data/information** is generally undertaken for capturing updates on status of works being undertaken in cities is further categorized into physical status monitoring and financial monitoring.
- **Monitoring of human resources** entitles monitoring in terms of capacities, salaries etc.

Two Key Aspects of Municipal Monitoring

Monitoring of Data/Information
of status/updates/progress of work on ground

Monitoring of Human Resources
Institutional and technical capacities, salaries etc.

- ***Physical – Schemes/programmes -*** *Sanctioned works, Works completed, WIP, not yet started etc. – overall on-ground work progress under various Centre/State schemes*
- ***Financial*** *- Funds, grants, assets and liabilities, debt repayment, income, tax recovery, expenditures etc.*

- ***Institutional Capacities*** *– sanctioned posts, working, vacant positions, daily wages workers, retirement, promotions, misconduct etc.*
- ***Technical capacities*** *– Trainings, capacity building*

Inferences at State Level

1. Multiple efforts undertaken –Systems developed for both routine and mission monitoring

Multiple efforts have been undertaken by the State of Maharashtra to establish systems/ mechanisms of routine and mission monitoring. Yearly administrative and financial inspections undertaken by DMA with division and district offices for municipal works undertaken by ULBs. Fixed formats for regular monitoring of ULBs have been developed by DMA since the last 20 years. Mission monitoring systems are developed in the State based on need of delivery of specific missions. As the nature of the missions are target oriented, given the demands at National level, there are set systems with dedicated resources in place at multiple levels (State, Division, ULB level) in the State.

2. Fragmented approach in routine monitoring

Though various mechanisms have been adopted by the State to monitor the status of ULBs in administrative and financial works e.g. periodic inspection/ audits, e-governance, tools etc. have been developed over years, there is an absence of macro framework/strategy in place at the State level. Unlike missions that are dynamic and competitive in nature with goals established for the mission period, a lack of holistic strategy/vision is observed for routine municipal works.

3. Challenges in execution of mechanisms

Even though various mechanisms like apps, tools, dashboards, websites have been undertaken at the State level, they are not executed the way they are expected/planned to be, given challenges of capacities of staff, limited infrastructure in ULBs, release of payments to the contractor etc. Many of these systems are defunct or stuck at various stages and information not updated, due to administrative and financial reasons at the ULB level. There is minimal assessment of on-ground reality/dialogue with the ULBs on usage of these apps and tools, challenges faced and impact of the mechanisms on the system/ improvements observed in the system etc.

Inferences at State Level

4. Disconnect between data collection systems and monitoring

Overlapping of information is observed under various initiatives and programmes both at missions and routine municipal works level. Multiple datasets are created by ULBs under various Centre and State initiatives for the same subjects with mismatch of same data in each of the datasets. Overlapping of information observed under Centre and State missions/schemes related monitoring– SBM, AMRUT, PMAY, SCM, state schemes etc., Swachh Survekshan, Service Level Benchmarking, Administrative audits, Project basis data etc. The focus of most of these systems is on data collection rather than monitoring

5. Lack of a system/mechanism to consolidate data from ULBs

As various type of data sets are asked repeatedly by the ULBs, there is a lack of a system/mechanism to map and consolidate this data which can be further assessed. There is a need to develop a reporting and monitoring framework especially for small and medium size ULBs, with a focus on improving their work efficiencies.

6. Limited capacities of various departments

Capacities of state departments have been strengthened under various missions through adoption of MIS systems and appointment of dedicated resources. However there is inadequate consideration of strengthening regular monitoring systems leading to imbalance in amount of work and number of resources available. Lack of motivation is also a challenge in routine works, as there is no recognition/acknowledgement awards for better performance.

7. Inadequate institutional memory

Transferable jobs and changing priorities of officials lead to discrepancies in work undertaken and data created / submitted at different timelines and under various schemes programmes.

Inferences at ULBs Level

1. Repetitive and recurrent information asked from ULBs

Multiple data sets are created at ULB level for same subjects under various Centre and State initiatives with lack of uniformity. This leads to overlapping of information and non-uniformity in data in each of the data sets, as information is based on the need of the particular initiative/competition, rather than on-field reality. This leads to added efforts and human hours being spent by the ULBs on same task repeatedly. ULB data tabs (City profile and key sectors information) are also hosted on DMA website. Though these tabs exist, the information available in the tabs is generally partial/incomplete , not updated and not linked to the SLB data annually updated from the cities.

2. Insufficient infrastructure and technical capacities in ULBs

A deficit in the departments of water supply, sanitation and solid waste management departments is also observed in ULBs vis-à-vis sanctioned posts in the ULB v/s actual filled posts/staff working the ULBs including senior management, clerks/accountants and engineers and sanitary inspectors. This leads to lack of capacities to handle multiple tasks and responsibilities at a time. Lack of adequate infrastructure is also a concern in ULBs in terms of availability of sufficient computers, internet etc. for all the employees. This leads to single devices being used by two or more resources, hampering work productivity. Along with these, there is also a lack of technical capacity/ skillsets of permanent staff to keep up with digitization constant needs from the state to report/fill in Google sheets/docs/ MIS portals etc.

3. Need for digitized file management systems

There is a need to improve records and data management through developing a digitized systems as currently for routine data many records are still paper based which creates hassle during urgent times. This system is also heavy HR dependent with lack of transparency and accountability as one can change paper base files/registers.

Inferences at ULBs Level

4. Fragmented Capacity Building Approach

Multiple fragmented capacity building initiatives are undertaken by the State as well as training organizations every year, but there is a lack of a state level vision/ strategy for targeted capacity building in the ULBs in alignment with gap analysis and needs. There is also a lack of consolidated information on existing capacities and resources of training organizations in the state with their expertize and subject areas.

5. Lack of incentives/motivation for capacity building

Work performance in the ULBs is generally not linked to incentives/appreciation/acknowledgement at State/National level (unlike missions). Thus, there is a lack of motivation to build individual capacities by the officials. Though external resources can be hired to undertake tasks, lack of in-house capacities also lead to inadequate abilities to assess/ review/ monitor the work undertaken in the ULB by consultants/contractors etc.

6. Lack of efficiency/ mechanism for data generation and management

ULBs are expected to fill multiple data formats/ generate various data sets throughout the year, with a focus on different objectives. Importance is given more to data submissions as per the timeline than quality of data. Data asked by ULBs under various initiatives like SLB, Swachh Survekshan, state schemes, missions, audits etc. can be mapped and consolidated into a data matrix to assess overlaps in information and develop a consolidated mechanism for data generation and management.

7. Political influence

Lack of synergy between administrative and elected wings is observed for a common agenda at the ULB level. Elected representatives are not aware of many initiatives being undertaken and their importance to improve service delivery in the cities. There is a need to create more dialogue between elected and administrative wings for undertaking efficient work with support from people and avoid hindrances.

Key potential measures for systems strengthening

Absence of a macro strategy
- **Multiple efforts undertaken –Systems developed for both routine and mission monitoring**
- **Fragmented approach in routine monitoring**

1 **Holistic municipal monitoring framework**
A holistic framework for municipal monitoring and strengthening can be chalked out for systems strengthening and efficiency. This can be done with integration of existing systems which currently exit in isolation i.e. annual inspections, 15th FC etc. Possibilities of linking mission monitoring systems to strengthen routine monitoring may be explored.

Inadequate connect between data collection and monitoring
- **Challenges in execution of mechanisms**
- **Disconnect between data collection systems and monitoring**
- **Lack of a system/mechanism to consolidate data from ULBs**

2 **Restructuring dataflow systems**
The existing dataflow systems can be mapped and consolidated avoiding overlaps. An integrated monitoring system can be developed for efficient monitoring thereby leading to systems strengthening and subsequently improving efficiency of service delivery.

3 **Specialized resources for M&E and data management for routine works**
Potential of developing a specialized cadre/resources at the state level can be considered dedicated to M&E and data/MIS management and providing regular trainings/support to the ULBs for the same.

Limited institutional capacities
- **Limited capacities of various departments**
- **Inadequate institutional memory**

4 **Potential of strengthening DMA as a key authority/ department**
Given DMA's key role in routine municipal works and monitoring of ULBs, the potential of strengthening DMA for effective municipal monitoring of Municipal Councils and Nagar Panchayats can be explored.

Key potential measures for systems strengthening

Data generation and Management

- **Repetitive and recurrent information asked from ULBs**
- **Lack of efficiency/ mechanism for data generation and management**
- **Need for digitized file management systems**

5 **Integrated reporting and monitoring framework**
An exercise of mapping data repeatedly asked from the ULBs can be undertaken to develop a reporting and monitoring framework for small and medium size ULBs, with a focus on improving their efficiencies. This can further lead to creation of a single / integrated data reporting mechanism through reviewing existing data reporting systems for various initiatives which can be part of State level vision/approach as a mechanism for strengthening the municipal monitoring systems.

6 **Switch from Google sheets to web-based forms**
The system of collecting information in Google sheets can be switched to web based forms for maintaining the sanctity of data. A web-based form will enable data reporting for only the respective ULBs. It also reduces entry errors and will generate time-stamped acknowledgement which will work as proof for submission.

7 **Transition from paper-based systems into digital databases**
Transition of old municipal records into digitized databases is an very important step in the long term to increase transparency, accountability and capacity of the existing system. This can be done through hiring contractual workers for the data entry and transformation given time constraints of regular ULB staff with their routine work.

Key potential measures for systems strengthening

Insufficient capacities of ULBs

- **Lack of incentives/motivation for capacity building**
- **Insufficient infrastructure and technical capacities in ULBs**
- **Fragmented Capacity Building approach**

8

Structured capacity building for performance enhancement
Structured and targeted training and capacity building for municipal staff at various levels of administration need to be undertaken, linked to individual performance and probable incentives to the employees. This will lead to increased capacities in the long run. Possibility of dedicated resources to be appointed in ULBs (similar to missions structure) should also be explored for routine municipal works.

9

Access to improved infrastructure in smaller ULBs
Decent digital infrastructure needs to be provided in Municipal councils and Nagar Panchayats especially smaller ULBs like individual computers, internet, continuous electricity supply etc. so as to shift effortlessly to digitized systems. Specialized training should also be provided to the staff to use these devices appropriately.

Political influence

10

Synergy between administrative and elected wings
Synergy between administrative and elected wings for a common agenda/ objectives at the local level can be explored. Capacity building/ orientation of ERs is also needed, to avail their support in local interventions.

THANK YOU

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About us

The Center for Water and Sanitation (CWAS) is a part of CEPT Research and Development Foundation (CRDF) at CEPT University. CWAS undertakes action-research, implementation support, capacity building and advocacy in the field of urban water and sanitation. Acting as a thought catalyst and facilitator, CWAS works closely with all levels of governments - national, state and local to support them in delivering water and sanitation services in an efficient, effective and equitable manner.

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