Operationalizing SLB Framework

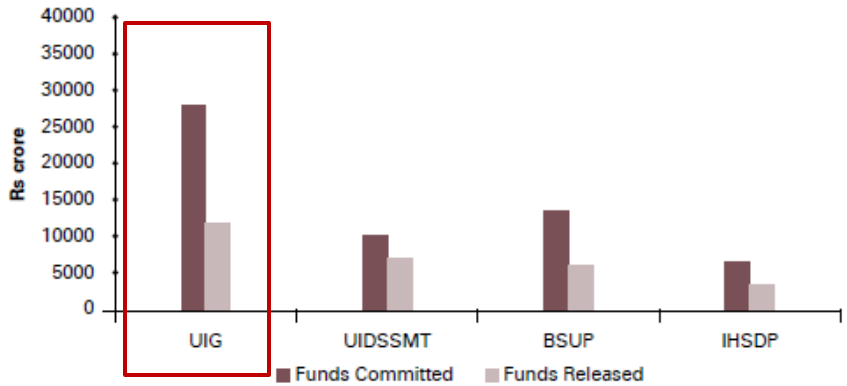
Workshop on Capacity Building for Service Level Benchmarking (SLB)

22 January 2014 New Delhi

JNNURM: UWSS a priority

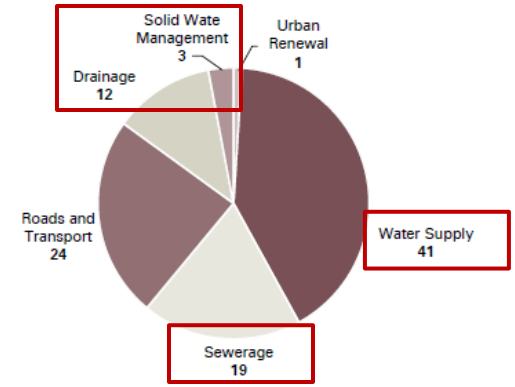
- Largest urban infrastructure funding by GoI in 2005 through JnNURM with allocation of Rs. 66,000 crore
- **Water sector** accounted for largest share at **41%**, with **UWSS** getting **>70%** of the funding
- Good monitoring of project implementation – but need for better data on **outcome or service delivery improvements**

JNNURM: Funding from Government of India
(as on 31 December, 2010)



Source: MoUD, Government of India.

JNNURM: Spending by Sector for UIG and UIDSSMT
(as on 1 December, 2010)
(per cent)



Source: MoUD, Government of India.

Need for performance information

- Aggregate statistics suggest good coverage of water and sanitation in urban areas in India
- BUT little is known about the **quality, level and financial sustainability of service** and only limited information on **access of urban poor** households to water and sanitation
- Lack of WSS information leads to:
  - ✓ misallocation of resources and
  - ✓ it is difficult to assess **impact of past investments**

Need to move from
Infrastructure funding
to
Improved service delivery

Past Efforts for UWSS Performance Assessment in India

To provide baseline information for selected cities, initiate benchmarking and annual business planning

Utility data book sponsored by ADB and MoUD
(2007)

28 Cities

(0.30 – 120 lakhs)

Awareness Generation & Status Assessment

CRISIL Advisory Services study sponsored by WSP
(2003 – 2004)

20 cities: 15 M Corp, 2 city boards, 2 municipalities, and a private operator

13 utilities in Phase 1 and 16 utilities in Phase 2

Status Assessment

NIUA study sponsored by CPHEEO
(1999 – 2000)

One time assessment of 300 Class I cities in India

Why Service Level Benchmarking ?

- **Different performance indicators** under different initiatives
- **Varying definition or the assessment** method
- **Externally driven initiatives**
- One time efforts and not **institutionalised**
- Need to **move from Measurement to Performance Improvement** and Management

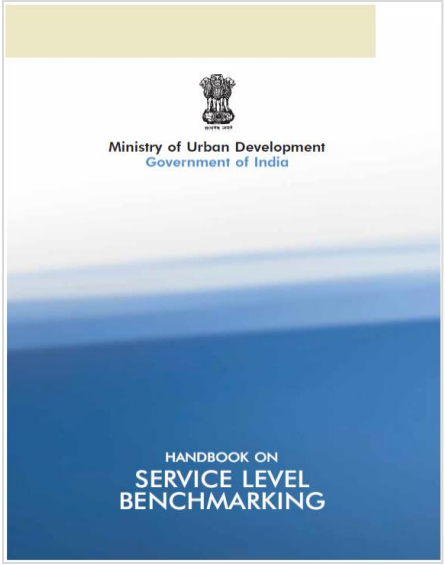
SLB – Start up Phase

- Started in 2006 with a MoUD constituted Core Group
- National level workshop in July 2008 to adopt benchmarks
- Finalization of a Handbook on Service Level Benchmarks
- MoUD supported pilot implementation in 28 cities over 2009-10

Source - Handbook on Service Level Benchmarks, Government of India (2009)

SLB – Pilot Phase

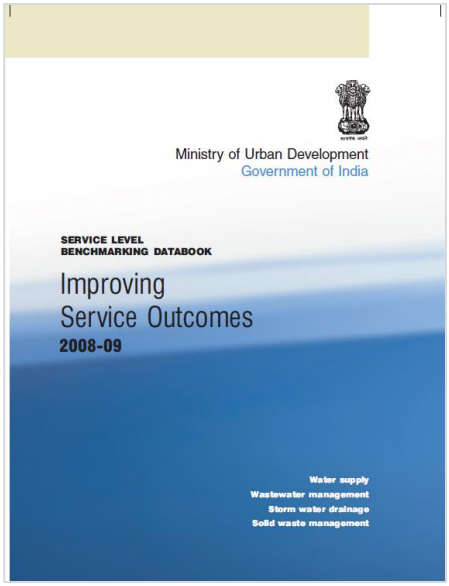
- Four services covered
  - Water supply
  - Sewerage
  - Storm water drainage
  - Solid waste management



Handbook on Service level benchmarking

- **SLB Handbook** provides detailed guidelines on the definition, calculation methodology, monitoring guidelines, a service goal (to be achieved over a period of time) and data reliability grading scale.

Data book for 2008-09 Produced by 2010



Source: Service level benchmarking Data book – Improving Service level outcomes 2008-09, MoUD, GoI

Impetus with 13th FC Performance Grants

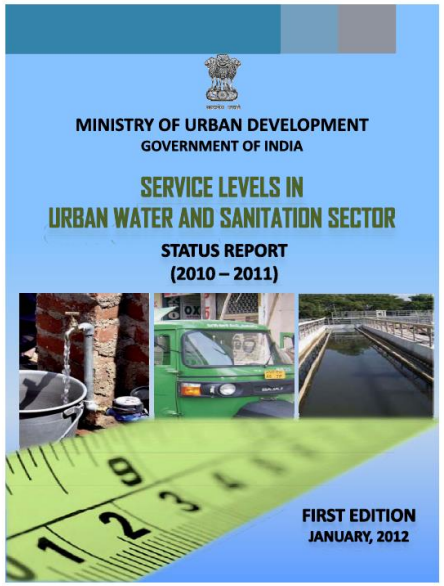
- *The 13th FC, endorsed operationalizing of SLB Process*
- It introduced a performance based grant.
- Performance grant can be accessed only if the state complies with nine specified conditions
- One of the conditions : **The State government must gradually put in place standards for delivery of four essential services – as per the MOUD's SLB Handbook**.

Condition 8 : Standards for service delivery

- State governments must put in place ***standards for delivery of essential services*** provided by the local bodies for four services viz., water supply, sewerage, solid waste management, and storm water drains on lines of handbook for SLB by MoUD)
- State Government ***must notify or cause all ULBs to notify*** by the end of a fiscal year the service standards and targets
- A notification should be ***published in the state gazette*** to ensure compliance
- Service Level Benchmarking as one of the nine conditionalities for allocation of performance based grants to ULBs, which amount to approx. **Rs.8000 crores** over **2010-15**.

SLB – Roll Out (2010-11)

SLB NATIONAL ROLL OUT WORKSHOPS



Data book 2010-11

- Training and regional workshops for 1600 officers from State and City Governments
- Over 1400 municipalities and municipal corporations from 13 states notified current service levels for 2010-11 and targets for 2011-12

Source: Service levels in Urban Water & Sanitation Sector, Status Report 2010-11, MoUD, GoI

SLB – National Workshop 2013

- MOUD held a National Workshop on "**Service Level Benchmarks (SLB): Moving from Measurement to Monitoring and Improvement**" in February, 2013 at Ahmedabad, in partnership with CEPT University, WSP, and ASCI
- **Experiences of various states** shared in using the SLB Framework.
- **Online system for SLB** in Gujarat and Maharashtra appreciated

MOU between MOUD and CEPT University

- **Orientation workshops** with all states to demonstrate SLB online systems and process for operationalizing SLB at state level
- **SLB Data book for 2013** using data and indicators submitted by ULBs through state governments
- Support to **SLB national steering committee** meetings

Going forward – MOUD and state governments

- The MoUD is incorporating the **SLB principle in its programs/initiatives**
  - JNNURM, UIDSSMT, Satellite Townships program, National Water Awards and National Urban Awards.

- **Emerging lessons for state wide efforts** from:
  - Statewide scaling up in **Maharashtra, Gujarat** and **Karnataka**
  - **Orissa and Madhya Pradesh** are in the process of scaling up to a larger number of cities in their respective states.

ULB level agenda going forward

- **5-point SLB** agenda for ULBs:

1. Track performance over time

2. Compare performance with peers

3. Identify areas for improvement

4. **Set targets** for performance

5. **Report/ Disclose** performance to all stakeholders (e.g. councillors, citizens)

Formation of State Level SLB Cell

- State level SLB Core team to constitute Senior Functionaries from State Urban Development Departments, Parastatals etc.
- To be headed by State level Nodal Officer
- Organize training for City level teams and other officials; extend hand-holding support where needed
- Coordinate database management at state level and to facilitate notification of baseline data and targets for each year

Source: Service level benchmarking Data book – Improving Service level outcomes 2008-09, MoUD, GoI

State Level SLB Cell Composition

- 3-4 Member SLB Cell in the State at the office of Secretary, Urban Development / Directorate of Municipal Administration
- Experts to include
  - Two public health engineers with experience in Water Supply, Sewerage and Storm Water Drainage (one in small states)
  - One Public health officer with experience in Solid waste management
  - One MIS expert

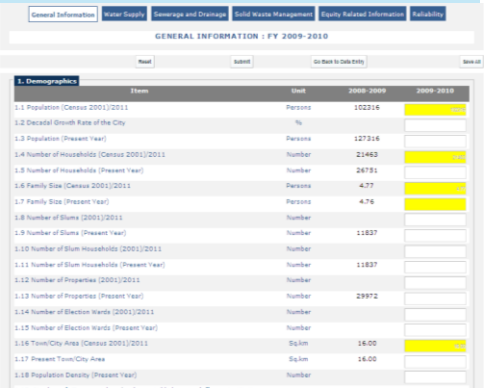
Source : MoUD Letter D.O. No N – 11025/33/08 – UCD – Vol. II dated 04/09/2013

Formation of City Level SLB Cell

- City level SLB team to consist officials from water supply, sewerage, storm water drainage and solid waste management
- Training to support generation of baseline data, data validation and fixation of targets
- Subsequently prepare performance improvement plans

Establish/Support SLB cell at ULB level

Use of on-line modules for SLB



Establish systems and capacity to provide reliable data for SLB in four sectors

Use BM data in developing Performance improvement plans (PIP & ISIP)

City Level SLB Cell Composition

- Constitution of 4-5 Member SLB Cell at the office of Municipal Commissioner / CEO
- Experts to include
  - Two public health engineers with experience in Water Supply, Sewerage and Storm Water Drainage (one in small ULBs)
  - One Public health officer with experience in Solid waste management
  - One MIS expert

Source : MoUD Letter D.O. No N – 11025/33/08 – UCD –dated 10/01/2011

State SLB Cell Composition - Gujarat

GoG's Urban Development Department (UDD) constituted a **State SLB Cell** with details of its:

a) **constitution,**

b) **Terms of Reference**

c) **calendar of activities**

	Name / Title	Position
1	Principal Secretary UD & UHD	Chairperson
2	Additional Secretary (Project) UD & UHD	Member
3	Managing Director GUDC	Member
4	Municipal Commissioner AMC, Ahmedabad	Member
5	Municipal Commissioner RMC, Rajkot	Member
6	Director of Municipalities	Member
7	Chief Officer, Anand Municipality	Member
8	Chief Officer, Himmatnagar Municipality	Member
9	Chief Officer, Morbi Municipality	Member
10	Prof Dinesh Mehta, CEPT	Member
11	Prof Meera Mehta, CEPT	Member
12	Ms. Manvita Baradi, UMC Ahmedabad	Member
13	Sewage Expert Engineer	Member
14	SWM Expert	Member
15	MIS Expert	Member
16	Add Chief Ex. Officer GUDM	Member Secretary

Calendar of Activities of Gujarat SLB Cell

Period	Activities	Outputs
January to March	On-line data entry, performance assessment and targets by ULBs: Performance indicators and targets for all SLB indicators	▪ Preliminary Assessment Report for current status and targets ▪ Gazetted service levels and targets for UWSS in Gujarat by March 31st each year
April to June	SLB data analysis and dissemination	▪ Annual Assessment Report with profiles for each ULB with SLB indicator results ▪ Workshop to share and review and the annual performance assessment and ULB level targets
Throughout the year	Capacity building and related activities; Support for ULB level improvement Plan	▪ Training of ULBs and exchange visits ▪ City level consultations, preparation of city level ISIP and PIPs

Performance Measurement Activities Gujarat SLB Cell

- **Data collection** for years 2008-09; 2009-10 and 2010-11 by visiting all 166 ULBs and
- **Online centralized data collection** in 2011-12 onwards with **30% ULBs doing online entry from their offices**
- **Manual in Gujarati** prepared for online data systems
- **Introductory films** on "performance measurement" for elected officials and ULB staff

Extra No. 18

REGISTERED No.L-2 G/GNR/84
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The Gujarat Government Gazette

EXTRAORDINARY

PUBLISHED BY AUTHORITY

Vol. LIII] FRIDAY, MARCH 30, 2012/CAITRA 10, 1934

Separate paging is given to this Part in order that it may be filed as a Separate Compilation.

PART I-A

CENTRAL SECTION

Orders and Notifications (Other than those published in Part IV-B) under the Gujarat Local Boards, Village Panchayats, Municipal Boroughs, District Municipal, Primary Education and Local Fund Audit Acts.

URBAN DEVELOPMENT AND URBAN HOUSING DEPARTMENT

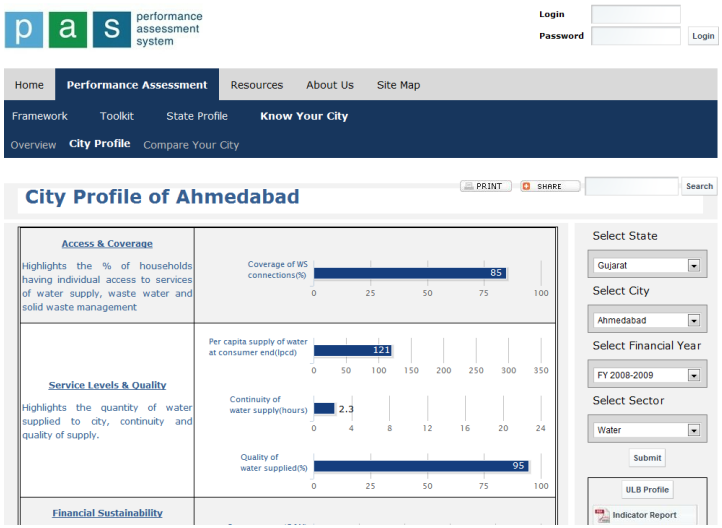
NOTIFICATION

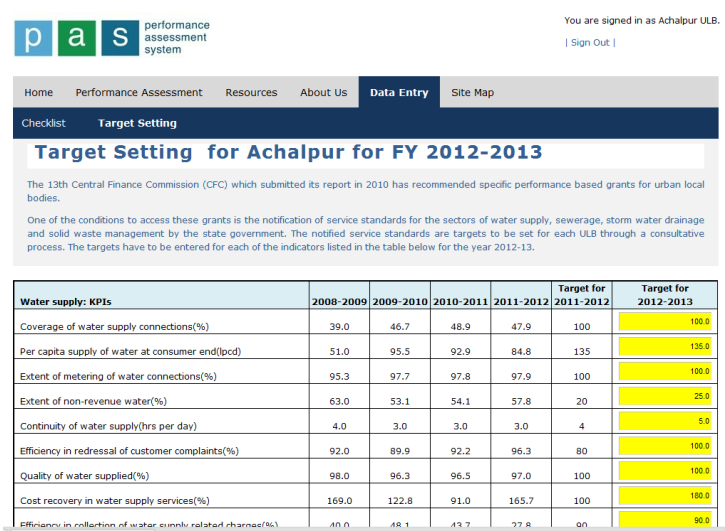
Sachivalaya, Gandhinagar, 30th March, 2012.

NO KV/30 of 2012/NPL-4511-2792-Part-V-M :- The Thirteenth Finance Commission has recommended

Performance Measurement Activities Gujarat SLB Cell

- **SLB-PAS web portal**– with data for **5 years** for all ULBs – one of largest data bases on WSS
- **On-line modules** for **measurement** and **target setting**
- Data collection through the State Level SLB cells established at GUDM, Government of Gujarat
- Compiled SLB indicators and target, gazetted, submitted to GoI.
- **Support provided by CEPT University and UMC**





Water supply: KPIs	2008-2009	2009-2010	2010-2011	2011-2012	Target for 2011-2012	Target for 2012-2013
Coverage of water supply connections(%)	39.0	46.7	48.9	47.9	100	100.0
Per capita supply of water at consumer end(lpcd)	51.0	95.5	92.9	84.8	135	135.0
Extent of metering of water connections(%)	95.3	97.7	97.8	97.9	100	100.0
Extent of non-revenue water(%)	63.0	53.1	54.1	57.8	20	25.0
Continuity of water supply(hrs per day)	4.0	3.0	3.0	3.0	4	5.0
Efficiency in redressal of customer complaints(%)	92.0	89.9	92.2	96.3	80	100.0
Quality of water supplied(%)	98.0	96.3	96.5	97.0	100	100.0
Cost recovery in water supply services(%)	169.0	122.8	91.0	165.7	100	180.0
Efficiency in collection of water supply related charges(%)	40.0	48.1	43.7	27.8	90	90.0

On-line data entry module & Targets entry

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PERFORMANCE ASSESSMENT SYSTEM (PAS) PROJECT
Amod

General Information | **Water Supply** | Sewerage and Drainage | Solid Waste Management | Equity Related Information | Reliability

WATER SUPPLY : FY 2012-2013

1. COVERAGE OF WATER SUPPLY CONNECTIONS

Water Service Coverage - Number of Connections

Item	Unit	2011-2012	2012-2013
1.1 Domestic Connections (Metered Functional)	Number	NA	NA
1.2 Domestic Connections (Metered Non-Functional)	Number	NA	NA
1.3 Domestic Connections (Unmetered)	Number	3200	3001
Domestic connections (Total)	Number	3200	3001
1.4 Bulk supply Apartments (Metered Functional)	Number	NA	NA
1.5 Bulk supply Apartments (Metered Non-Functional)	Number	NA	NA
1.6 Bulk supply Apartments (Unmetered)	Number	NA	NA
Bulk supply Apartments (Total)	Number	0	0
1.7 Bulk supply Layouts/Societies (Metered Functional)	Number	NA	NA
1.8 Bulk supply Layouts/Societies (Metered Non-Functional)	Number	NA	NA

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Checklist | **Target Setting**

Target Setting for Patdi for FY 2012-2013

The 13th Central Finance Commission (CFC) which submitted its report in 2010 has recommended specific performance based grants for urban local bodies.

One of the conditions to access these grants is the notification of service standards for the sectors of water supply, sewerage, storm water drainage and solid waste management by the state government. The notified service standards are targets to be set for each ULB through a consultative process. The targets have to be entered for each of the indicators listed in the table below for the year 2012-13.

Water supply: KPIs	2008-2009	2009-2010	2010-2011	2011-2012	Target for 2011-2012	Target for 2012-2013
Coverage of water supply connections(%)	68.0	66.0	67.6	66.8	90	100.0
Per capita supply of water at consumer end(lpcd)	61.9	82.2	85.0	84.4	130	130.0
Extent of metering of water connections(%)	NA	NA	NA	NA	0	NA
Extent of non-revenue water(%)	0.0	10.6	12.6	12.6	10	8.0
Continuity of water supply(hrs per day)	1.3	3.0	3.0	3.0	3	3.0
Efficiency in redressal of customer complaints(%)	100.0	100.0	100.0	100.0	80	100.0
Quality of water supplied(%)	100.0	100.0	100.0	100.0	95	100.0
Cost recovery in water supply services(%)	103.0	88.3	144.9	118.6	70	91.0
Efficiency in collection of water supply related charges(%)	95.3	63.8	58.7	31.8	90	46.0
Coverage of water supply connections in slums(%)	ND	40.0	40.0	40.0	NA	60.0

Trends in status and previous year target for each indicator can be viewed while entering targets for the next year

STANDARDISED SERVICE LEVEL BENCHMARKS

PERFORMANCE ASSESSMENT SYSTEMS (PAS) PROJECT

TARGET MODEL

USER GUIDE | ULB TARGET | GUIDELINES

WATER SUPPLY | WASTE WATER | SOLID WASTE | SUMMARY

CLASS: B

CITY: Kadi

BASIC INFORMATION

POPULATION	HOUSEHOLDS	SLUM POPULATION SHARE	AREA (sq kms)
77,778	17,831	12%	20

WATER SUPPLY

KPIs and action areas	Ongoing Projects	2009-10	2010-11	2011-12	2012-13	Projected for 2013-	SET TARGET FOR 2013-14	
Ongoing distribution network expansion project								
No of HHs served	1,500							
Project cost (Rs in lakh)	4							
Coverage of individual water supply connections (%)		85	84	86	91	96	100	TARGET
Number of households served with individual connections		13,784	14,167	14,857	16,239	17,739	18,389	
Additional number of households connected/ required to achieve			383	690	1,382	1,500	650	
Income generated by increasing coverage (Rs in lakh)						10	1,500	Per connection charges paid by citizens (Rs / connection)
Source augmentation								
Additional water withdrawal (MLD)	2							
If source of water is bulk purchase then specify bulk water charge	4							
Project cost (Rs in lakh)	4							
Per capita supply at consumer end (lpcd)		116	116	138	137	151	150	TARGET
Water production requirement (MLD)		13.0	13.0	14.8	14.8	16.8	15.8	
Residential water consumption including public taps		8.3	8.5	10.4	10.7	12.1	12.0	
Additional water augmentation done/ required to achieve target			0.0	1.8	0.0	2.0	0.0	

ULB level target setting model

Target Model provides guidance for setting annual targets for SLB indicators – as per the 13th FC requirements. It helps to asses feasible targets base on trend analysis as well as ongoing capital works

STANDARDISED SERVICE LEVEL BENCHMARKS

PERFORMANCE ASSESSMENT SYSTEMS (PAS) PROJECT

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Performance Monitoring Online – Gujarat SLB Cell

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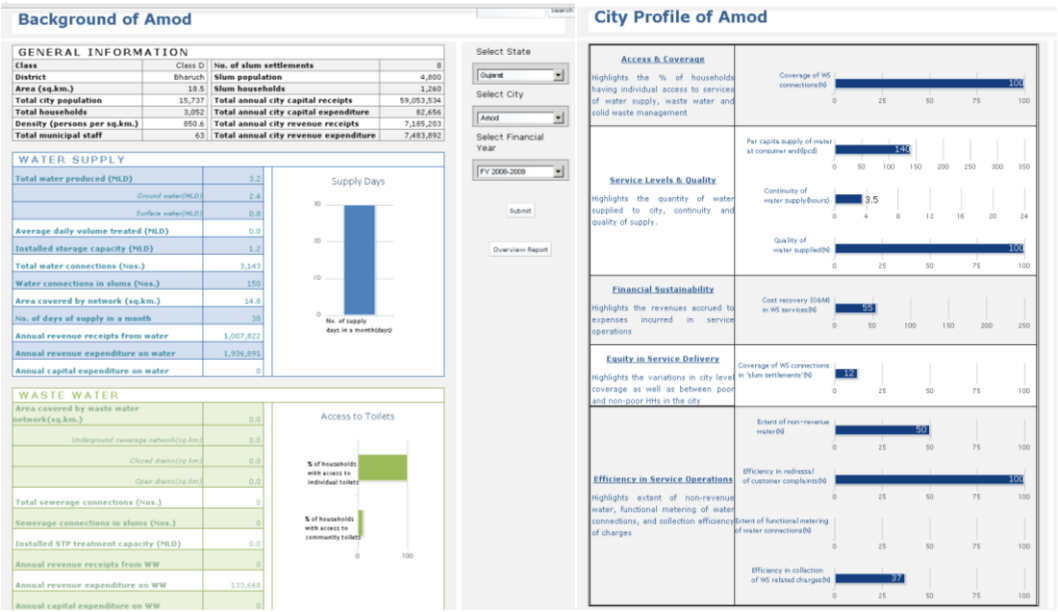
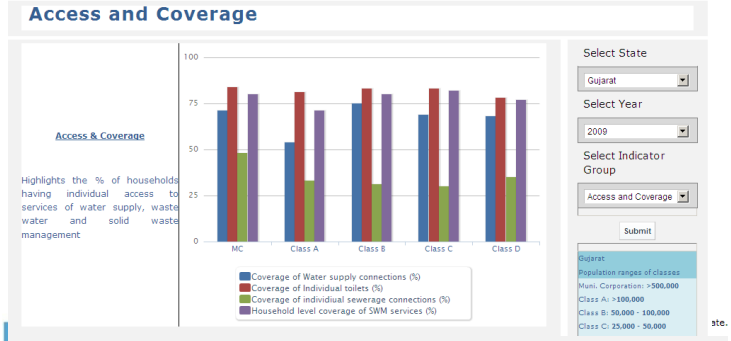
City profile of all SLBs

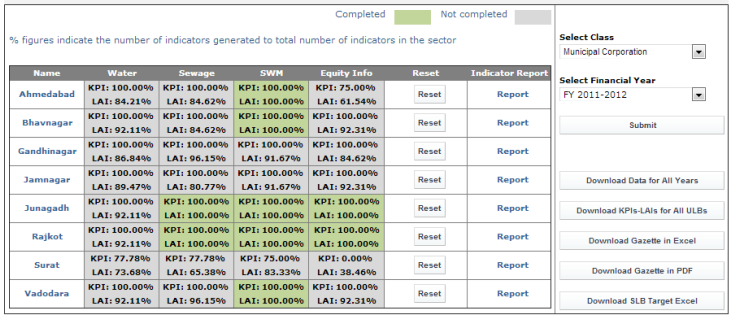


State profile of all SLBs



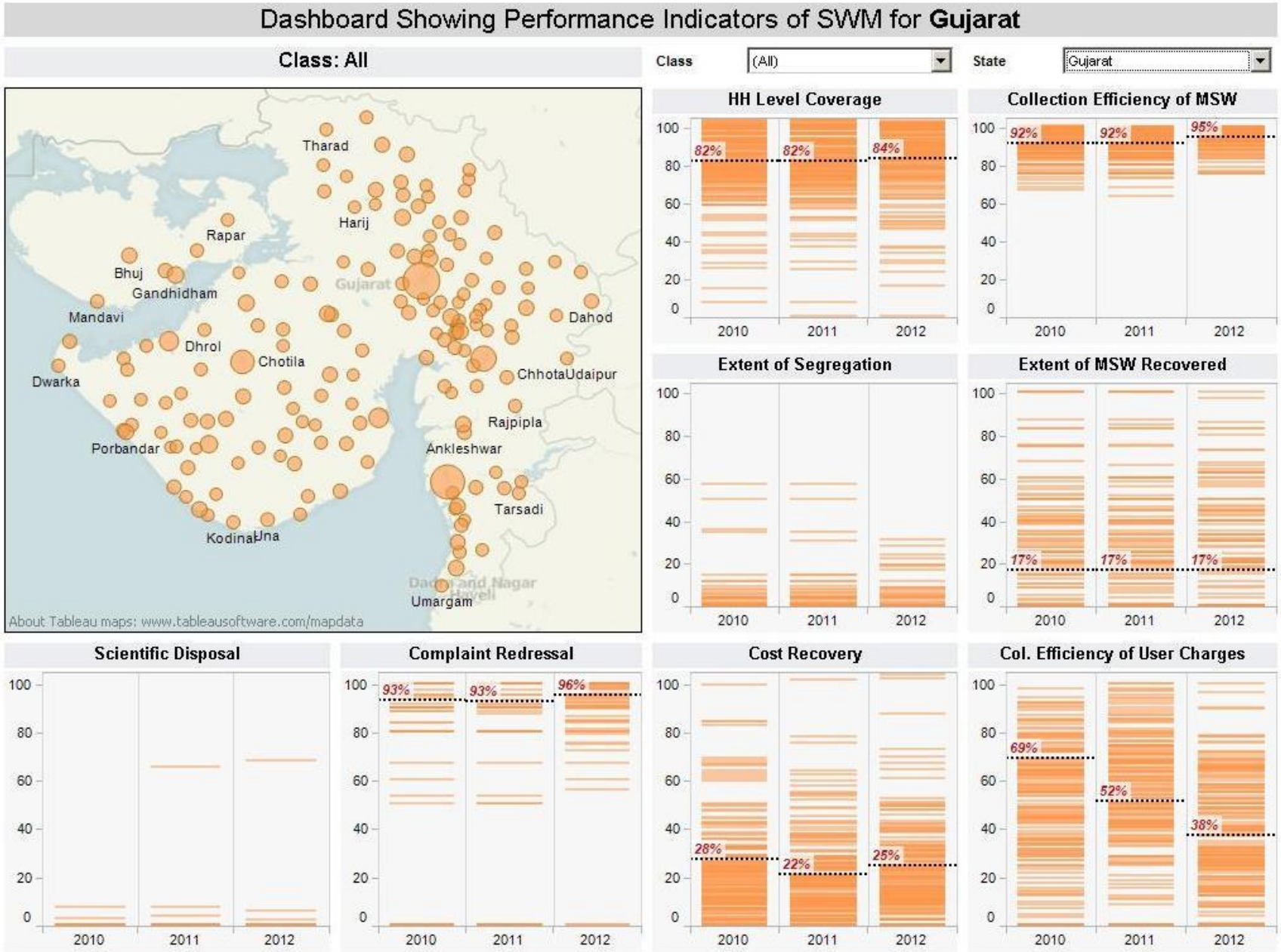
Monitoring of data entry/ targets

Checklist | Approval Status | Target Setting | Contact Person | Support Request | Login Report

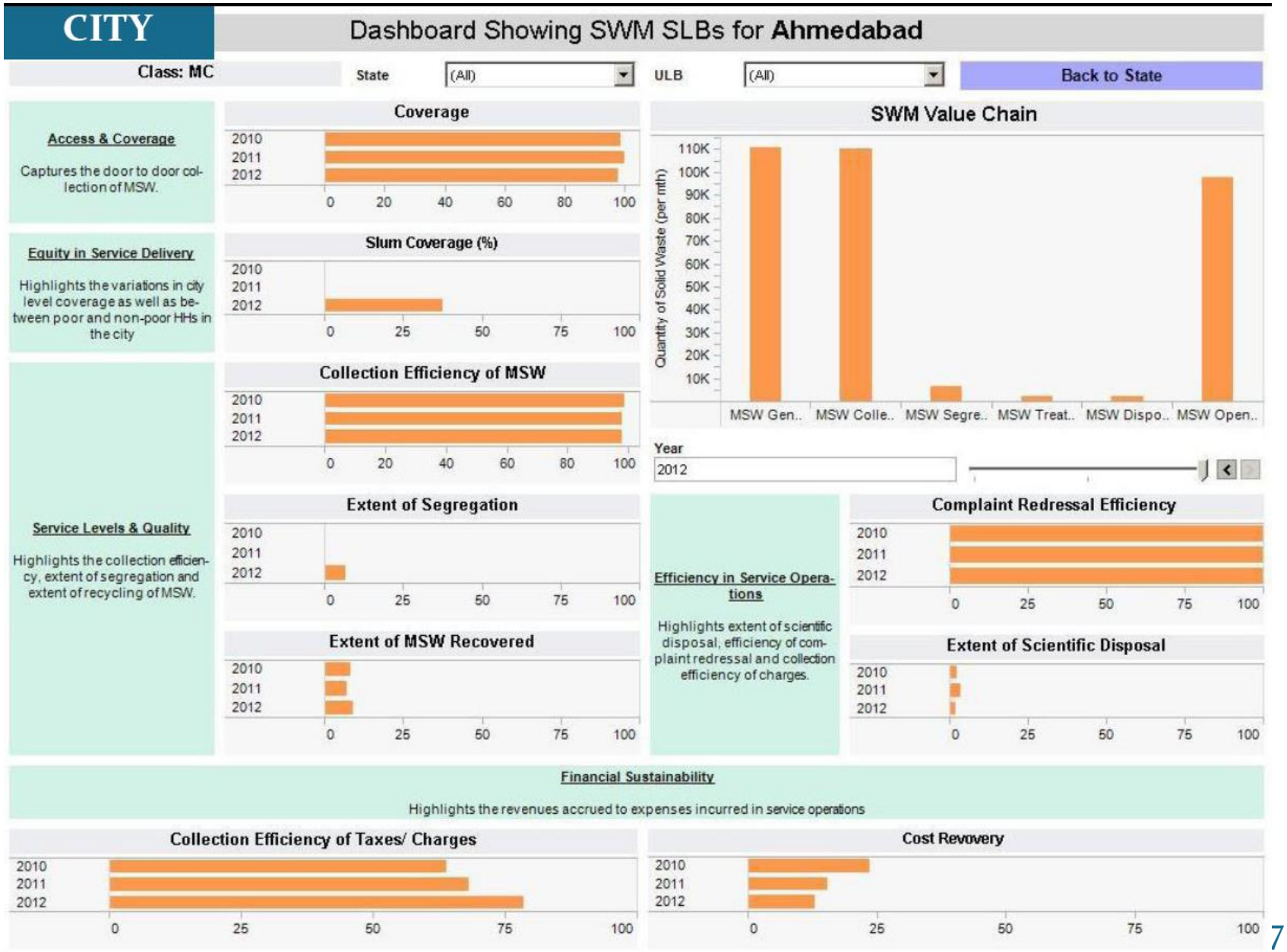


Name	Water	Sewage	SWM	Equity Info	Reset	Indicator Report
Ahmedabad	KPI: 100.00% LAI: 84.21%	KPI: 100.00% LAI: 84.62%	KPI: 100.00% LAI: 100.00%	KPI: 75.00% LAI: 61.54%	Reset	Report
Bhavnagar	KPI: 100.00% LAI: 92.11%	KPI: 100.00% LAI: 84.62%	KPI: 100.00% LAI: 100.00%	KPI: 100.00% LAI: 92.31%	Reset	Report
Gandhinagar	KPI: 100.00% LAI: 86.84%	KPI: 100.00% LAI: 96.15%	KPI: 100.00% LAI: 91.67%	KPI: 100.00% LAI: 84.62%	Reset	Report
Jamnagar	KPI: 100.00% LAI: 89.47%	KPI: 100.00% LAI: 80.77%	KPI: 100.00% LAI: 91.67%	KPI: 100.00% LAI: 92.31%	Reset	Report
Junagadh	KPI: 100.00% LAI: 92.11%	KPI: 100.00% LAI: 100.00%	KPI: 100.00% LAI: 100.00%	KPI: 100.00% LAI: 100.00%	Reset	Report
Rajkot	KPI: 100.00% LAI: 92.11%	KPI: 100.00% LAI: 100.00%	KPI: 100.00% LAI: 100.00%	KPI: 100.00% LAI: 100.00%	Reset	Report
Surat	KPI: 77.78% LAI: 73.68%	KPI: 77.78% LAI: 65.38%	KPI: 75.00% LAI: 83.33%	KPI: 0.00% LAI: 38.46%	Reset	Report
Vadodara	KPI: 100.00% LAI: 92.11%	KPI: 100.00% LAI: 96.15%	KPI: 100.00% LAI: 100.00%	KPI: 100.00% LAI: 92.31%	Reset	Report

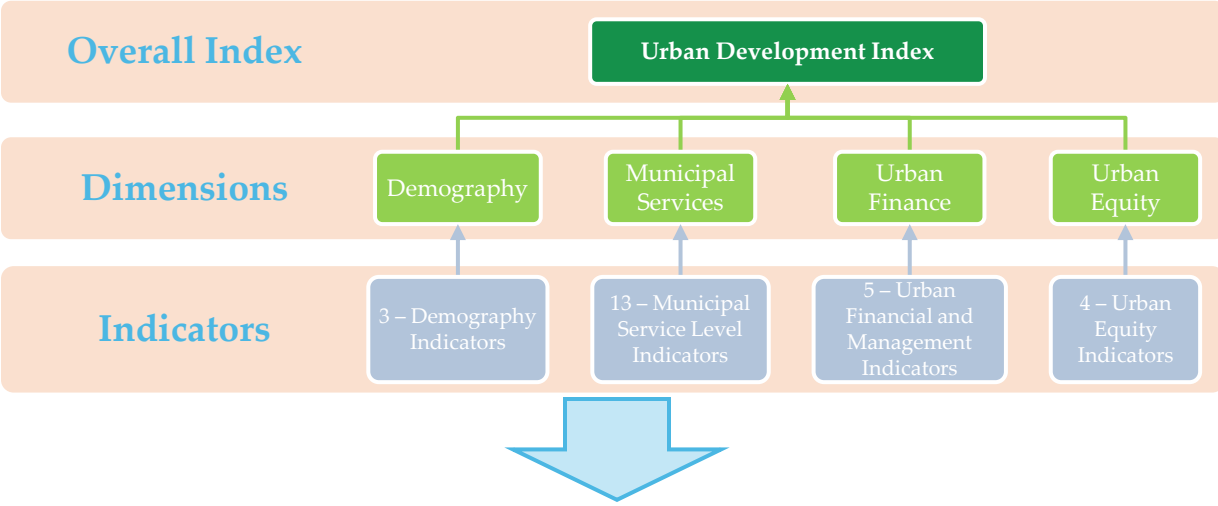
Monitoring through State level dashboards

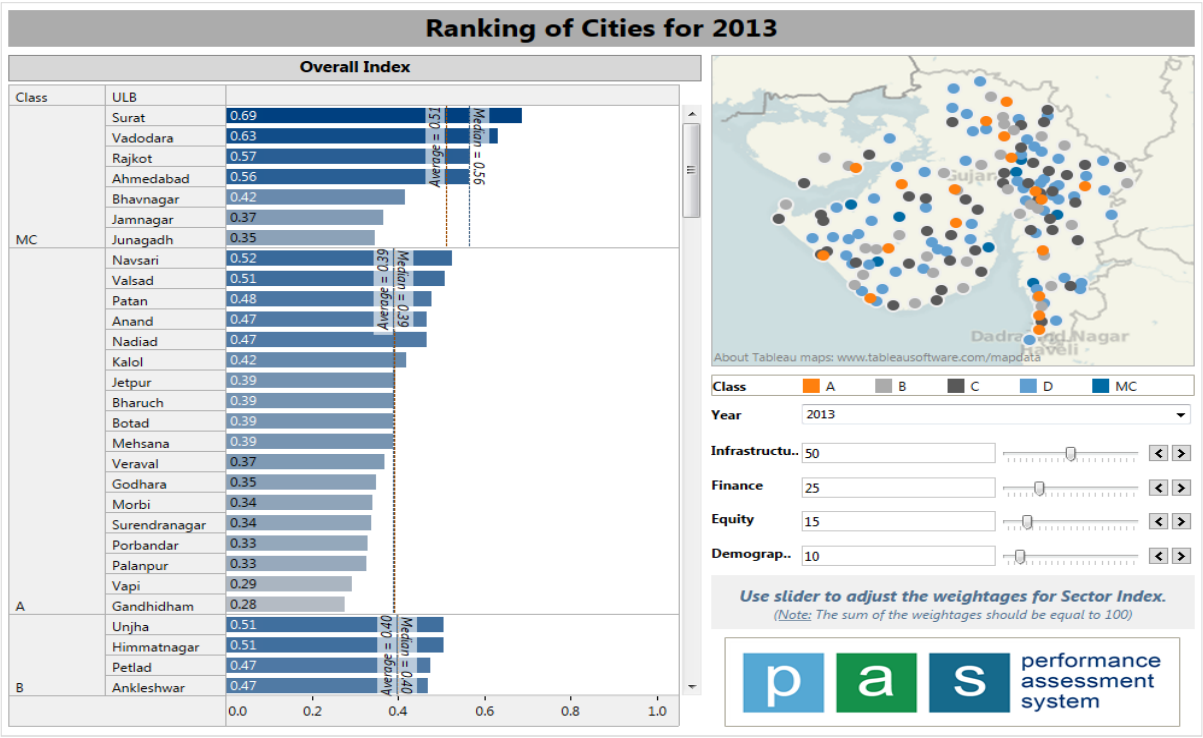


Monitoring through City level dashboards



Dashboards showing ranking of cities





- Similar to human development index (HDI), urban development index (UDI) was calculated using 25 indicators identified under 4 dimensions:
  - Demography
  - Municipal services
  - Urban finance
  - Urban equity
- The dashboard shows class-wise ranking as per the UDI value scored by a city.
- The weightage for each dimension can be changed as and when required.
- It also allows the user to locate the cities on the map to identify regions that are performing good or vice-versa.

Gujarat: Ongoing activities under SLB Cell

- **Assessment of investment requirements** by sub-sectors for next 5 years in the UWSS sector
- Analysis of **cost recovery** and proposal for **tariff indexation**
- **Water audit** studies to assess NRW and improve data reliability
- Proposals for **universal introduction of bulk water metering** in the state
- Assessing ULB performance and ranking for an **Urban Service Development Index**
- Development of **city level ISIP** to improve data reliability

Gujarat : Ongoing activities under SLB Cell

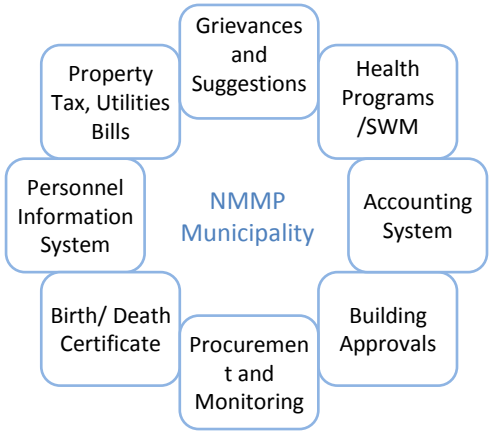
- **Monitoring the impact of various GoG & GoI schemes/ programs** particularly for Water, sanitation and SWM - e.g. SJMMVY, Nirmal Gujarat, UIDSSMT, JNNURM, etc.

- Support in developing **centralized MIS system for Municipal finance**

- Support to **data analysis for preparation of reports**: e.g. For the 14th FC, Planning Commission, SFC etc.

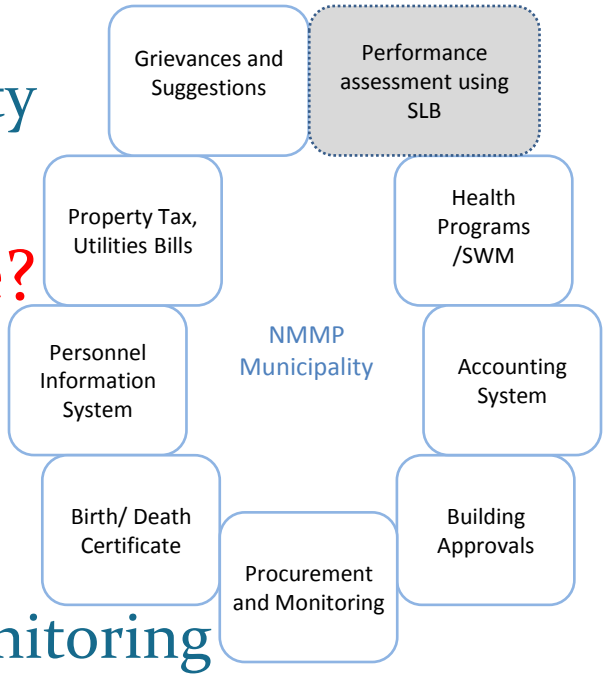
Integrating SLB within NeGP

- **MMP for Municipalities**
  - ✓ 35 JnNURM Cities as pilot
  - ✓ Development of e-Municipality application as a State Level Software Solution
- 8 modules
  - ✓ core Service/management functions
- Model guidelines suggested a State Level Software Solution (SLSS)
  - ✓ Not widely followed, but Odisha MMP RfP (Dec 2013) as a SLSS
    - Integrating with, and adding to, existing e-Municipality modules
    - Bhubaneshwar (Corp.) and Puri (Muni.)



Integrating SLB within NeGP

- Seizing the opportunity
  - ✓ Relatively early stage of e-Municipality roll out
- Incorporate SLB as the 9th module?
  - ✓ Largely aggregation from the other 8 modules; easy to do
  - ✓ Assessment and Improvement tools
  - ✓ Faster compliance and state level monitoring
    - Dashboards, comparisons, ranking, social audit
    - Ushering in Performance linked grant regime
- Develop both **state and city level modules**



Agencies for UWSS Services

States	Sector	Water supply	Wastewater	Solid Waste Management
Chhattisgarh[1], Madhya Pradesh[1],	Infrastructure Creation	Public Health Engineering Department		Urban Local Body
	O & M	Urban Local Body		
Punjab[2]	Infrastructure Creation	Punjab Water Supply and Sewerage Board		Urban Local Body
	O & M	Urban Local Body		
Uttar Pradesh[3]	Infrastructure Creation	▪ Jal Nigam *(also includes tariff approval)* ▪ District Urban Development Authority (DUDA) for Slums		Urban Local Body
	O & M	▪ Jal Kal (Jal Sansthan) ▪ Jal Nigam ▪ Nagar Palika Parishad	▪ Jal Kal (Jal Sansthan) ▪ Jal Nigam ▪ Nagar Palika Parishad ▪ O& M of STP is done by Ganga Pollution Unit	
Odisha [4]	Infrastructure Creation	▪ Public Health Engineering Organization ▪ Orissa water supply and sewerage board		Urban Local Body
	O & M	Public Health Engineering Organization		

[1] PHED and UD are two separate departments in Chhattisgarh and Madhya Pradesh

[2] In Punjab, Department of Local Government supervises and controls the functioning of all ULBs and implements water and sewerage schemes through Punjab Water Supply and Sewerage Board

[3] All agencies involved in UWSS are under Urban Development Department in Uttar Pradesh

[4] P.H.E.O and the O.W.S.S.B are under the administrative control of Housing and Urban Development (H & UD) Department in Odisha

Way Forward for Northern states– State level

- Constitute a **State SLB Cell** through a GR
- Develop a **calendar of activities**
- Support **annual performance assessment and target setting** using **online SLB measurement and monitoring system**s and annual workshop
- Support selected cities for **ISIP and integrating SLB monitoring in their own e-governance**
- Assess **state priorities** and initiate **performance improvement** activities, initiate use of SLB for policy development and investment planning
- Explore adding a **SLB module in e-Municipality**

Way Forward for Northern states– City level

- Constitute a **City SLB Cell**
- Design and implement **data collection systems** to feed into online monitoring, link with e-governance where possible
- Systems to generate **periodic performance reports** and collation/ analysis of indicators for review
- Develop **Performance Improvement Plans** to achieve set targets
- Create systems for incentives and penalties to attain targeted performance levels

Thank You