

# Study of Municipal Governance Assessment Frameworks

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**CRDF** CEPT RESEARCH AND DEVELOPMENT FOUNDATION

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# Outline

1. Aim and objectives
2. Need to emphasize on ULBs
3. ULBs and emergence of good governance
4. Defining good governance and some initiatives
5. Identifying inadequacies in governance
6. Study of assessment frameworks
7. Key findings from the study
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9. Key inferences
10. Conclusions from the study
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# Aim and objectives

## Aim:

- To deduce recommendations for a comprehensive perspective supporting municipal sustainability.

## Objectives:

- To analyze the concept of good governance.
- To study the existing local governance assessment frameworks.
- To identify critical themes, components and indicators of Municipal Governance in the assessment frameworks.
- To derive a basis for practicality and contextuality of the assessment frameworks

## Limitations:

*Municipal governance is a broad topic and hence key themes are shortlisted from the literature review.*

*A comprehensive assessment framework for a particular state or ULB would not be feasible due to limited resource availability.*

# Need to emphasize on ULBs

## Urbanization in India

- The country's urban population was 37.7 crore (**31%**) in 2011 census.
- This is projected to increase to 60 crore (**40%**) by 2030 and over 80 crore (**50%**) by 2050.

## Economic growth

- As per 2011 census, urban India contributed **63%** to the country's GDP.
- This is projected to grow to over **75% by 2030** and more than **80% by 2050**.

## Challenges

- Increased **burden on civic infrastructure** and services like sanitation, water, sewage, housing, electricity, public transport etc.
- Higher concentration of people in urban areas **increase vulnerability** to climate change, natural and man made disasters.

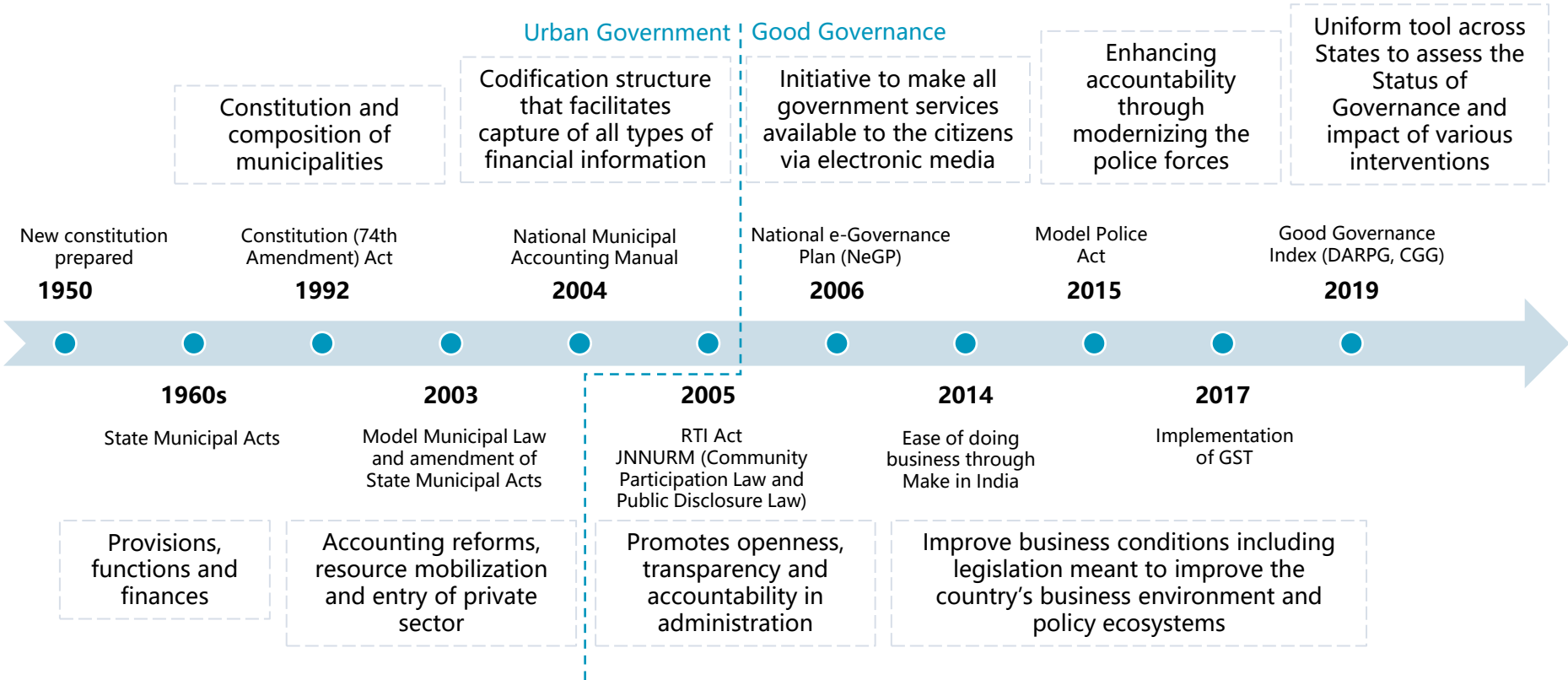
## Urban local bodies

- Services provided by ULBs enhance the **quality of life** in urban areas.
- ULBS are crucial units for **local self governance**.

## Capitalizing on reforms

- Urban reforms like JNNURM have **increased investments** in ULBs.
- But **ULBs lack the institutional capacity** to absorb and utilize these funds.

# ULBs and emergence of good governance



# Defining good governance & some initiatives

## 8 Principles of Good Governance:

Various governance assessment frameworks and international agencies like World Bank, IMF, UNDP, ODA, IDA and UNESCAP define the broad themes for good governance.



## Good governance initiatives:



## What is good governance?



“Good governance is important for protection of the public interest.”

Source: Nag, 2018 and Sheng, n.d.; Cruz & Marques, 2013

# Identifying inadequacies in governance

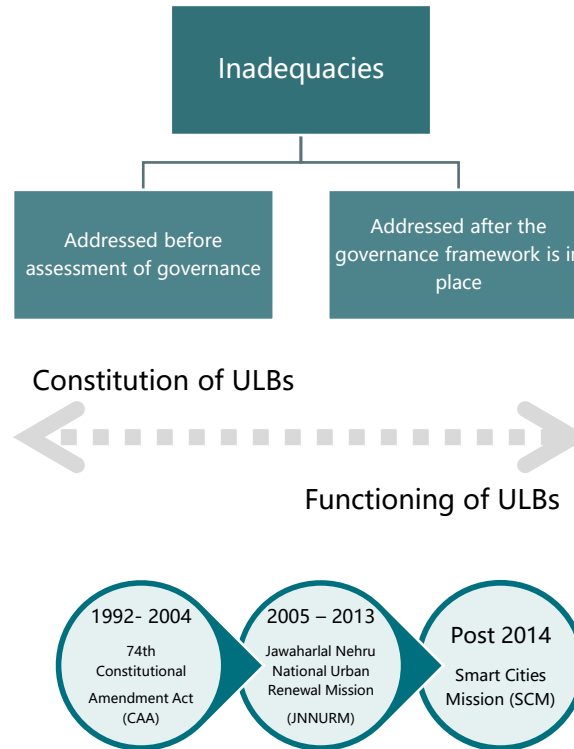
Components mandated by Central and State Governments with little/ no prerogative to the ULBs:

- Composition
- Organization
- Framework
- Provisions
- Functions

Type of Towns	Number of towns	
Year	2011	2001
Statutory Towns	4041	3799
Census Towns	3894	1363
Urban Agglomerations	475	384
Out Growths	981	962

Source- censusindia.gov.in/2011

Urbanization in India is increasing which is indicated through an increasing trend in number of census towns. However, as census towns are not governed by statutory ULB, managing urbanizations becomes a challenge.



Components under the authority of Municipalities regarding governance:

- Decision making
- Implementation
- Service Delivery
- Accountability
- Fiscal Management
- Monitoring

Study highlighting various inadequacies in governance of ULBs in some cities across India:

Study of 6 Cities by NIUA: Chandigarh, Indore, Mussoorie, Nagpur, Patna, Surat	Relations between Elected Representatives and Civil Servants
	Acute shortage of staff at all levels
	Lack of adequate technical staff
	Capacity building measures are ad-hoc
	Too much centralization of powers among the top tiers with almost nil accountability in the lower tiers
	Frequent transfer of officers
	Set up State level Urban Management and Human Resource Management Institute for in-house capacity building
	Absence of Municipal Cadre which can address most of the issues

Source- (NIUA, 2015)

Constitution of ULBs



Functioning of ULBs



## A. Status of devolution of 18 functions:

Not a single State among the 21 States has given **control over all 18 functions** listed under 74th constitutional amendment act to the city governments. The presence of multiple agencies creates coordination related problems, leads to duplication of work & **poor service delivery**.

Fn. no.	Andhra Pradesh	Bihar	Chhattisgarh	Delhi	Goa	Gujarat	Haryana	Himachal	Jharkhand	Karnataka	Kerala	Madhya Pradesh	Maharashtra	Odisha	Punjab	Rajasthan	Tamil Nadu	Telangana	Uttar Pradesh	Uttarakhand	West Bengal	
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	City government control						Multiple agencies						State Control									

1. Urban planning, including town planning;
2. Regulation of land-use and construction of buildings;
3. Planning for economic and social development;
4. Roads and bridges;
5. Water supply for domestic, industrial and commercial purposes;
6. Public health, sanitation, conservancy and solid waste management;
7. Fire services;
8. Urban forestry, protection of the environment and promotion of ecological aspects;
9. Safeguarding the interests of weaker sections of society, including the handicapped & mentally retarded;
10. Slum improvement and upgradation;
11. Urban poverty alleviation;
12. Provision of urban amenities and facilities, such as parks, gardens, playgrounds;
13. Promotion of cultural, educational and aesthetic aspects;
14. Burials and burial grounds; cremations, cremation grounds and electric crematoriums;
15. Cattle pounds; prevention of cruelty to animals;
16. Vital statistics, including registration of births and deaths;
17. Public amenities, including street lighting, parking lots, bus stops and public conveniences; and
18. Regulation of slaughter houses and tanneries.

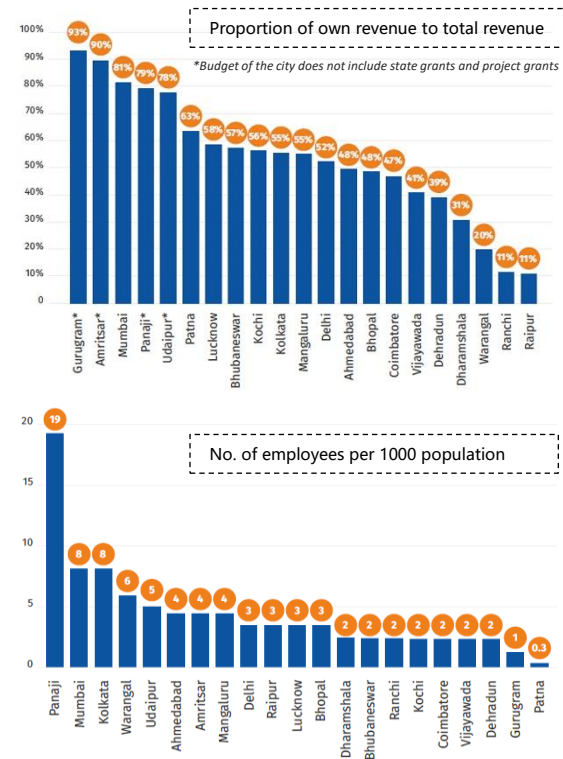
Source- Praja; NIUA, 2020

## B. Inconsistent budget and lack of human resource

The budget documents of city governments across the States are **not uniform**. In 11 cities out of 21, own sources of revenue constitute **less than 50%** of total revenue. City governments **lack capacity** to carry out functions as they do not have adequate qualified and skilled staff.

State	City	1	2	3	4	5	6	7	8	9	10	11	12	13	Others
Andhra Pradesh	Vijayawada	●		●	●			●	●						service charges from railway
Bihar	Patna		●					●	●					●	interest earned
Chhattisgarh	Raipur	●				●	●				●	●			
Delhi	Delhi	●				●	●	●				●			
Goa	Panaji		●			●			●	●			●	●	
Gujarat	Ahmedabad	●						●			●				conservancy tax, vehicle tax
Haryana	Gurugram	●				●							●		electricity tax
Himachal Pradesh	Dharamshala	●								●	●		●		
Jharkhand	Ranchi		●							●	●		●		latrine tax, development charges
Karnataka	Mangaluru	●				●					●				
Kerala	Kochi	●				●		●		●					fees and user charges
Madhya Pradesh	Bhopal	●				●				●	●		●		
Maharashtra	Mumbai	●								●	●				receipts from DP department
Odisha	Bhubaneswar		●			●	●			●					fees and user charges
Punjab	Amritsar	●								●	●		●		
Rajasthan	Udaipur	●									●			●	urban development tax
Tamil Nadu	Coimbatore	●					●	●		●					fees and user charges
Telangana	Warangal	●		●				●		●				●	town planning section fee
Uttar Pradesh	Lucknow		●			●	●			●					vehicle tax
Uttarakhand	Dehradun	Not available													
West Bengal	Kolkata	●				●					●		●	●	charges on parks, roads and squares

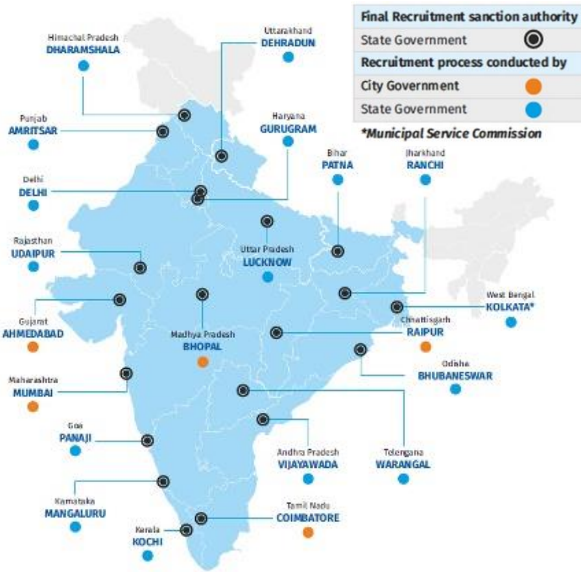
- 1 Property tax
- 2 Holding/House tax
- 3 Vacant land tax
- 4 Transfer of properties
- 5 Advertisement tax
- 6 Entertainment tax
- 7 Profession tax
- 8 Parking lots
- 9 Rent on buildings
- 10 Water & sanitation tax/cess
- 11 Education cess
- 12 Licences fees
- 13 Stamp duty and building permission



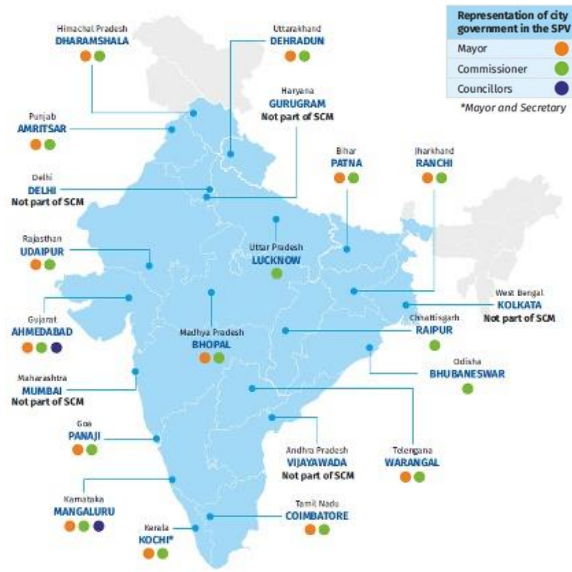
Source- Praja; NIUA, 2020

# C. Control and execution of functions and citizen participation

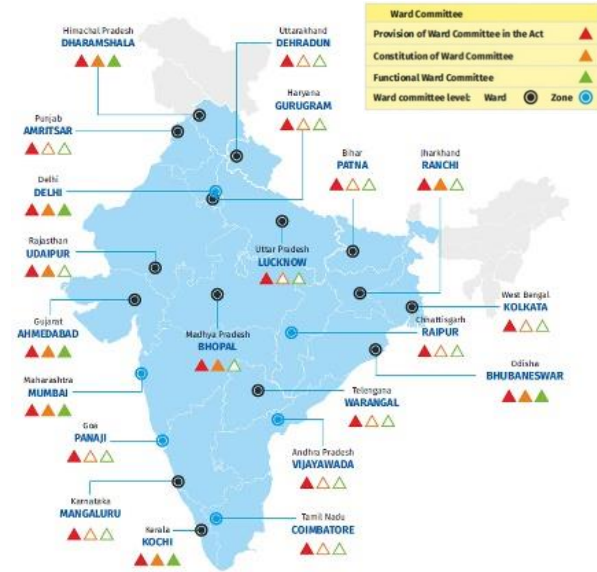
Recruitment in city governments



Representation of city government in SCM



Status of ward committees



Not a single municipal corporations has control over recruitment process. Although Mumbai, Ahmedabad, Raipur, Bhopal and Coimbatore corporations can conduct recruitment process, state government is the final sanction authority.

In many cities, SPVs are headed by state government officials and city governments do not have much role in the decision making process of SCM projects.

There is provision of ward committees in the Municipal Corporation Act of all the States. However, the ward committees are constituted only in Dharamshala, Delhi, Udaipur, Ahmedabad, Mangalore, Mumbai, Kochi and Bhubaneswar.

Source- Praja; NIUA, 2020

Constitution of ULBs



Functioning of ULBs

Inadequacies discerned  
through study of assessment  
frameworks

# Study of assessment frameworks

## Multiple stakeholder perspective approach

- **Urban Governance Index (UN-HABITAT)**
- **Local Governance Barometer (Impact Alliance)**
- **Good Governance for Local Development – GOFORGOLD Index (Afghanistan)**
- **ASICS 2017, Janaagraha Centre for Citizenship and Democracy; and Jana Urban Space**
- **Urban Governance Report, PRAJA Foundation**
- Local Democracy Assessment Guide (International IDEA)
- Indicators of Local Democratic Governance (Tocqueville Research Centre & OSI)
- Methodological Guidelines for Local Governance Analysis (UNDP)
- Governance Index (Indonesia, Kemitraan - Partnership)
- Measuring Municipal Performance – MIDAMOS (Paraguay)
- Observatory of Democracy in Central America: System of Legal and Institutional Governance Indicators for Central America (Centro Estudios para el Futuro)
- Desde lo Local – Strategic Decentralization for Local Development (Mexico)

- Council of Europe's Guide to Developing Well-Being & Progress Indicators with Citizens - Application of the Governance Module in Timisoara (Romania)
- State of Governance Report (SoGR), 2008
- PAI 2016 report, Public Affairs Centre (PAC), Bengaluru
- The Quality of Governance Report, Sudipto Mundale & team associated with NIPFP
- Good Governance Index, The Department of Administrative Reform and Public Grievances (DARPG), and Centre for Good Governance (CGG), Hyderabad

## Citizen perspective approach

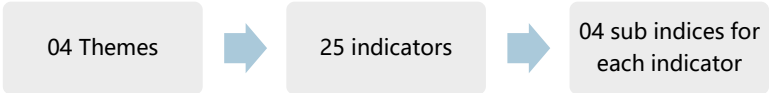
- **Citizen Report Cards (Public Affairs Centre, India)**
- Social Audit of Local Governance (Bosnia and Herzegovina)
- Social Audit of Governance and Delivery of Public Services (Pakistan)
- Local Governance Self-Assessment (Bangladesh)

## Self assessment by local governance institutions

- **Local Governance Performance Management System (Philippines)**
- **Municipal Performance Index 2019, MoHUA**
- **Performance Assessment System (PAS) Framework, CWAS**
- Governance for Local Development Index - GOFORDEV Index (Philippines)
- Assessments Informing Performance Based Grant Systems (UNCDF)
- Index of Responsibility, Transparency and Accountability (Macedonia)
- Standards of Municipal Transparency (Chile)
- Local Integrity Initiative (Global Integrity)
- Methodology for the Assessment of Capacity of Municipalities in Turkey and the Western Balkans to Deliver Basic Services (UNDP)

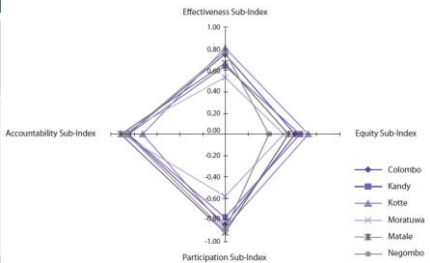
Sources: Wilde, Narang, Laberge, & Moretto, 2015; Centre for Good Governance, 2017

# 1. Urban Governance Index



UN-HABITAT					
Approach	Timeline	Objective	Applicability	Data sources	Methodology
Multiple stakeholders perspective	Initiated in 2000. Field tested in 2003-04.	Facilitate engagement of citizens in governance processes	Strong local government and technical capacity required	Objective sources- statistics, regulations, budgets and procedures	Information converted into quantitative data. It is normalized, weighted and aggregated into 4 sub- indices
Key stakeholders	Result reporting format	Gender focus	Poverty focus	Coverage	Remarks
Municipal leaders and officials, representatives of parastatal organizations and service providing agencies, civil society organizations, academic and research institutions, private sector representatives, informal sector representatives	Radar chart that graphically indicates the outputs on different sub-indices	Yes	Yes	Douala, Yaoundé, Loga, Dakar, Ibadan and Enugu, Amman, Tanta, Ismailia, Naga City, Colombo, Moratuwa, Negombo, Mathale, Kandy, Kotte, Pristina, Montreal, Vancouver, Montevideo, Quito, Santo Andre, Bayamo, Guadalajara; and various cities in Zimbabwe, Somalia, Mongolia and Kosovo.	Quick, cheap and 'indicative' findings

Result reporting format:

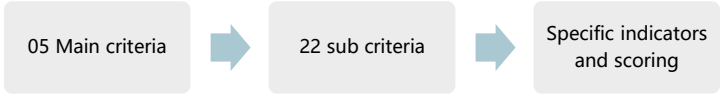


**Key points:**  
 The Urban Governance Index is an advocacy and capacity-building tool to assist cities and countries in monitoring the quality of urban governance. The index was applied in developing and lesser developed countries in Africa and Asia. It is presently inactive.

Source- UNDP Oslo Governance Centre, 2015

Key findings from the study

# 2. Local Governance Barometer



## Impact Alliance (PACT; IDASA – The Institute for Democracy in Southern Africa; and SNV – Netherlands Development Organization)

Approach	Timeline	Objective	Applicability	Data sources	Methodology
Multiple stakeholders perspective	Initiated in 2005. Field tested in 2006. Revised in 2007 and now applied in more than 10 countries in Africa. 3 to 5 weeks per municipality.	Facilitate engagement of citizens in governance processes	Any type of local government.	Qualitative and/or quantitative, subjective and objective, derived from multiple data sources (review of available primary or secondary data and reports, interviews and surveys, focal group discussions and citizens)	Specific indicators with scoring scale (from 0 to 100) under 22 sub- criteria grouped under 5 main criteria
Key stakeholders	Result reporting format	Gender focus	Poverty focus	Coverage	Remarks
Lead organization, client, technical partners and government officials, civil society, the private sector and community or traditional leaders.	Local governance index expressed on a scale from -1 to +1	Yes	Yes	15 locations across six countries (Botswana, South Africa, Cameroon, Ecuador, Ghana, Madagascar and Tanzania)	More or less rigorous & costly, depending on resources available.

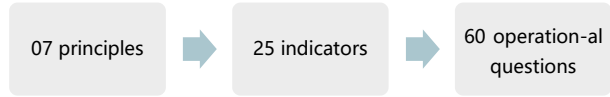
Result reporting format:

Value	Governance Performance
+1	Perfect
+0.75	Very Good
+0.5	Good
+0.25	Fairly Good
0	Neutral
-0.25	Fairly Poor
-0.5	Poor
-0.75	Very Poor
-1	Non-existent

**Key points:**  
Quantitatively expresses the measure of good governance of a given situation, using a participatory approach, and involving members of different sectors in society. It is applied in the African subcontinent and is current inactive.

Source- UNDP Oslo Governance Centre, 2015

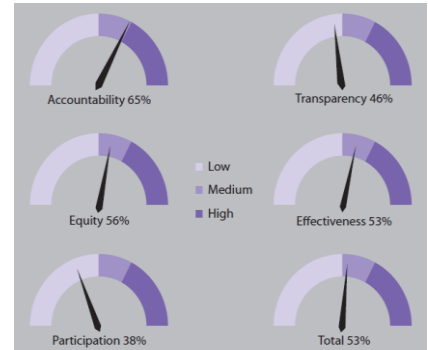
# 3. Good Governance for Local Development – GOFORGOLD Index



## Independent Directorate for Local Governance (IDLG), Afghanistan

Approach	Timeline	Objective	Applicability	Data sources	Methodology
Multiple stakeholders perspective	Initiated in 2007	Facilitate engagement of citizens in governance processes	Sub-national levels of government in Afghanistan, any country emerging from conflict, given a distinctive focus on the local security conditions	Objective sources- statistics, regulations, budgets and procedures	Information converted into quantitative data- single and binary. 60 operational questions, under 25 indicators, are used for assessing the decision-making level
Key stakeholders	Result reporting format	Gender focus	Poverty focus	Coverage	Remarks
Municipal representatives, civil society organizations, private and informal sector representatives and local community	One index score or seven principle-based sub-indices, presented in a "dashboard" format	Yes	Yes	Under development in 2015. Implemented in Afghanistan.	Quick, cheap and 'indicative' findings

Result reporting format:

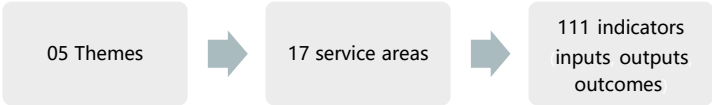


**Key points:** GOFORGOLD has been integrated into the Afghanistan National Development Strategy. Due to context specificity, this index has limited applicability.

Source- UNDP Oslo Governance Centre, 2015



# 4. Local Governance Performance Management System (LGPMs) (Philippines)



Department of the Interior and Local Government (DILG), through the Bureau of Local Government Supervision and DILG Regional Offices, Philippines.

Approach	Timeline	Objective	Applicability	Data sources	Methodology
Self assessment by local governance institutions	Tested in 2004. Implemented from 2005.	Enable local governments to determine their capabilities and limitations in the delivery of essential public services	National and local levels	Data Capture Forms for provincial and municipal governments. 2 types of data is captured: 1. general information about local governments; 2. indicators and their performance elements	Five performance theme areas 17 service areas, and 111 indicators divided in inputs, outputs and outcomes. Indicators rated into performance levels ranging from 1 to 5
Key stakeholders	Result reporting format	Gender focus	Poverty focus	Coverage	Remarks
Local government elected officers and officials, organizations, institutions, sectors and individuals outside of the local government System, Local Chief Executives and the LGPMS LG teams	Tabular and graphical formats published on web- based platform	Yes	No	113 Local Governance Units in the Philippines	Longer, costlier and more detailed/ reliable findings

Result reporting format:



**Key points:**  
 LGPMS results can help to identify priority performance areas, determining priority service areas and taking action. Replicability is limited due to dependence on web based methods.

Source- UNDP Oslo Governance Centre, 2015

# 5. Annual Survey of India's City-Systems, 2017

04 city systems components

89 questions

150 parameters

## Janaagraha Centre for Citizenship and Democracy; and Jana Urban Space

Approach	Timeline	Objective	Applicability	Data sources	Methodology
Multiple stakeholders perspective	Initiated in 2013.	Identify the root causes of our urban challenges	Indian cities	Primary research with the sources being relevant laws, policy documents and websites of city & state governments	Scores Indian cities on 89 objective parameters and comparing them with the benchmark cities of London, New York and Johannesburg. Four components scored on a scale of 0 to 10
Key stakeholders	Result reporting format	Gender focus	Poverty focus	Coverage	Remarks
Political and administrative leaders across ULBs, state and central government.	Ranking in tabular format	No	No	23 Indian cities	Longer and more detailed/ reliable findings

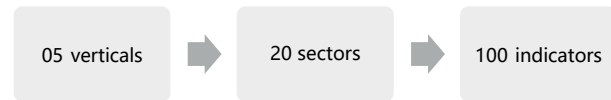
### Result reporting format:

Rank	City	Score	Score change over 2016
1	Pune	5.1	0.9
2	Kolkata	4.6	0.5
3	Thiruvananthapuram	4.5	0.2
4	Surat	4.4	1.2
5	Bhubaneswar	4.4	0.9
6	Hyderabad	4.4	0.5
7	Ahmedabad	4.3	0.9
8	Mumbai	4.2	0.1
9	Delhi	4.2	0.6
10	Ranchi	4.1	0.7
11	Raipur	4.0	0.6
12	Kanpur	3.8	0.2
13	Guwahati	3.8	-
14	Lucknow	3.8	0.4
15	Ludhiana	3.6	0.6
16	Bhopal	3.6	-
17	Visakhapatnam	3.5	-
18	Chennai	3.3	-0.3
19	Patna	3.1	-0.3
20	Jaipur	3.1	0.5
21	Chandigarh	3.1	1.0
22	Dehradun	3.0	0.1
23	Bengaluru	3.0	-0.3

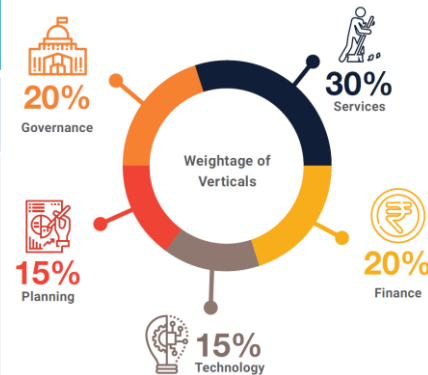
**Key points:**  
ASICS is an independent benchmarking of cities using a systemic framework, and hence has higher applicability. Latest report has been published in 2017.

Source- Janaagraha Centre for Citizenship and Democracy; Jana Urban Space Foundation, 2017

# 6. Municipal Performance Index 2019



MoHUA					
Approach	Timeline	Objective	Applicability	Data sources	Methodology
Self assessment by local governance institutions	Launched in 2019. On going.	Help Municipalities in better planning and management, filling the gaps in city administration as brought out in their self assessment, thereby improving the livability of cities for its citizens. MPI is meant to complement the Ease of Living Index	Municipalities from all metropolitan and megapolis cities, i.e. all cities with a population greater than 1 million as per 2011 Census, including all the cities covered under the Smart Cities Mission	Primary research with the sources being relevant laws, policy documents and websites of city & state governments	Weights of the indicators (objective or subjective), aggregation process (average or weighted), and comparative analysis (relative or absolute). Standardization of the data for comparability across the Index.
Key stakeholders	Result reporting format	Gender focus	Poverty focus	Coverage	Remarks
Political leaders and administrative leaders across city councils, state governments and government of India, corporates, foundations, non-profits, social businesses and media	Ranking based on the municipal index score which is weighted average of the scores of all the verticals.	Yes	No	100 smart cities and 14 other million plus cities covered under 'Ease of Living Index'.	Longer and more detailed/ reliable findings. Technical capacity required.

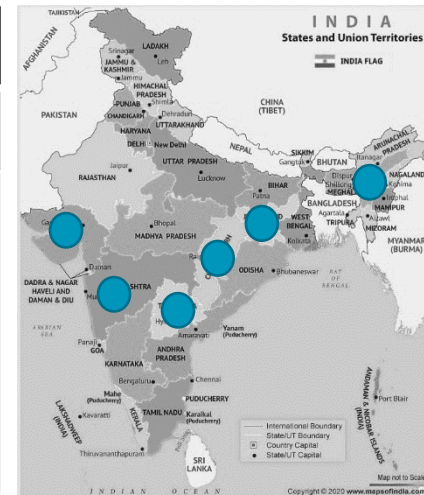


**Key points:**  
 MPI examines the sectoral performance of municipalities across a set of five verticals, including mandated functionalities. The assessment is presently on going.

Source- MoHUA, 2019

# 7. Performance Assessment System (PAS) Framework

CWAS					
Approach	Timeline	Objective	Applicability	Data sources	Methodology
Self assessment by local governance institutions	Launched in 2008.	City specific improvement in the water supply and sanitation sectors.	Any type of local government.	Objective sources- statistics, regulations, budgets and procedures	Key performance indicators classified under various themes are identified for goals and reform actions. A detailed Data Questionnaire is used for generating the indicators.
Key stakeholders	Result reporting format	Gender focus	Poverty focus	Coverage	Remarks
State and local government, lead organization, client, technical partners and government officials	Interactive dashboard on web based platform.	No	Yes	6 states and 900+ cities in India	Longer and more detailed/ reliable findings. Technical capacity required.



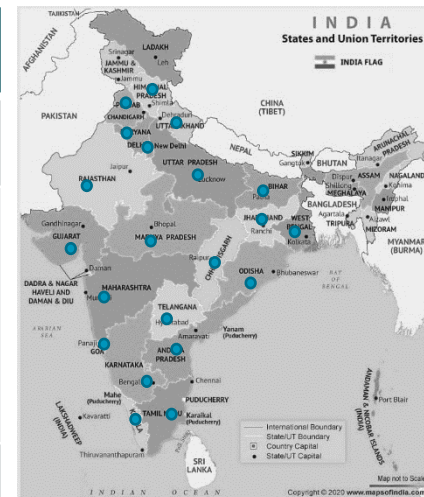
**Key points:**  
 Based on Service Level Benchmarking for urban water supply and sanitation sectors by MoUD and review of various international and national efforts. It has a wide applicability.

Source- PAS - Framework

# 8. Urban Governance Reports

## PRAJA Foundation

Approach	Timeline	Objective	Applicability	Data sources	Methodology
Multiple stakeholders perspective	Initiated in 2017. Ongoing.	Identify the key problems facing Indian cities. Get critical inputs on the survey methodology, and the robustness of the results to help shape our plan going forward.	Indian cities.	Subjective- interviews	63 Interviews were conducted (MLAs, MLCs and executive officers). Main themes and sub themes were identified. Coding structure developed.
Key stakeholders	Result reporting format	Gender focus	Poverty focus	Coverage	Remarks
Civil society organizations working in urban governance, former members of the city and state executive and elected members of the city corporations	Report format.	No	No	21 cities in 21 states in India.	Longer and more detailed/ reliable findings. Technical capacity required.



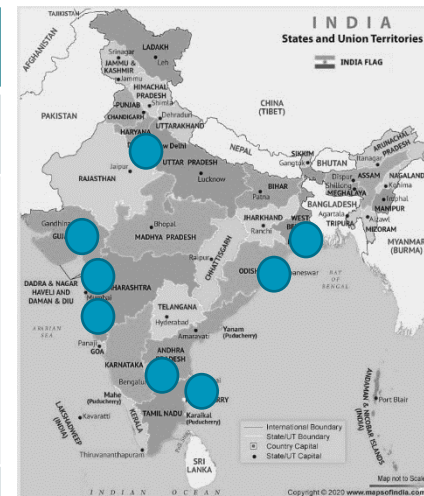
**Key points:**  
 The reports review the existing governance and institutional structures in place. The assessment has high applicability due to comprehensive framework.

Source: PRAJA, 2019

# 9. Citizen Report Cards

## Public Affairs Centre, Bangalore, India

Approach	Timeline	Objective	Applicability	Data sources	Methodology
Citizen's perspective	Initiated and tested in 1993-94. Application ongoing.	Both diagnostic and CD to facilitate engagement of citizens in governance Processes	Works best when governmental bodies are more willing to accept feedback from citizens as well as to take action, and where respondents are already familiar with survey exercises.	Subjective sources- household surveys, surveys of individuals, organizations or groups. Respondents are normally selected using a probability random sample.	Possible to focus the CRC on one or more services, as well as on one or more aspects of service delivery. An FGD involving both service providers and users is organized to identify the services and aspects of service delivery that should be included.
Key stakeholders	Result reporting format	Gender focus	Poverty focus	Coverage	Remarks
Prominent local NGO, government officials, civil society representatives, academics and the media, etc.	Quantitative data in report format.	Yes	Yes	Ahmedabad, Pune and Bangalore, Delhi, Kolkata, Mumbai, Bhubaneswar and Chennai. Asian continent; Africa; and in South America.	Quick, cheap and 'indicative' findings



**Key points:**  
 The model has been replicated in countries like the Philippines and Ukraine, and cities like Washington D.C. shows its usefulness in exacting accountability from public enterprises.

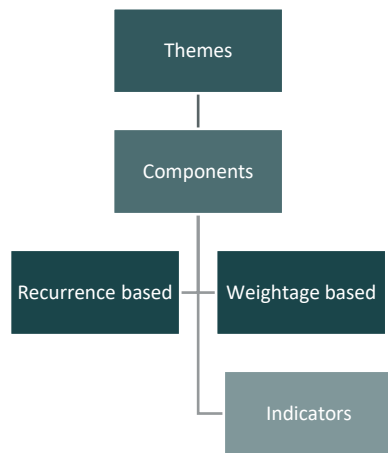
Source- UNDP Oslo Governance Centre, 2015

# Key findings from the study

## Themes

Broad themes emerging from the frameworks:

1. Finance
2. Administration and human resource
3. Equity
4. Participation
5. Accountability
6. Transparency
7. Security
8. Environmental management
9. Urban planning
10. Services



## Objectives

1. Importance of **good urban governance** in achieving broad development objectives (i.e. The Millennium Development Goals) and those in the Habitat Agenda- UGI
2. Develop the **capacity of local actors** to promote and sustain good governance and improved service delivery- LG Barometer
3. **Monitor the governance situation** in the provinces, districts, municipalities, and villages against benchmarks and governance indicators- GOFORGOLD
4. Determine the **capabilities and limitations** in the delivery of essential public services- LGPMS
5. Evaluates the **quality of governance** in cities by assessing the quality of laws, policies, institutions and processes- ASICS
6. Help Municipalities in better planning and management, filling the gaps in city administration as brought out in their self assessment, thereby **improving the livability** of cities for its citizens- MPI
7. **Identify key problems** facing Indian cities and shape the way forward- UGR
8. **City specific improvement** in water supply and sanitation sectors PAS
9. Collect **citizen feedback** on public services; **assess the performance** of individual service providers and **generate a database** of feedback on services that is placed in the public domain- CRC

## Outcomes and limitations

1. UGI- **limited to evaluation of the Index as a tool**, rather than a comparison of city performance through field testing of 24 cities.
2. LGB- **provides a relevant framework** for analysis and supporting the strengthening of local government in particular contexts.
3. GOFORGOLD- Data not available
4. LGPMS- External PISs are developed by national government or international support agencies and imposed on the LGU, while the latter are PISs developed by particular LGUs. External PISs are **inconsistent with the needs of LGUs**.
5. ASICS- Reliance on RTIs and information received from government officials through phone or e-mails. However, the **response was not satisfactory**.
6. MPI- Ongoing
7. UGR- Ongoing
8. PAS- Service specific framework
9. CRC- **High resource [human and financial] consumptive process**, need for sustained follow-up, crucial to ensure focused meetings.

Source- UNDP Oslo Governance Centre, 2015, Janaagraha Centre for Citizenship and Democracy; Jana Urban Space Foundation, 2017; MoHUA, 2019

# Concerns that can be addressed by the study of assessment frameworks

## List of indicators

- Practicality and availability of the indicators
- Feasibility of indicators to capture data through secondary sources
- Evaluation of indicators

## Impacts of good governance

- Service delivery
- Quality of life
- Review of performance of some top scoring/ ranking cities in selected frameworks
- Main achievements and outcomes of the selected frameworks

## Community and inclusivity

- Citizen involvement in decision making
- Customer redressal tool (example of Thane Municipal Corporation for e-governance)
- Gender representation
- Support to vulnerable groups
- Analysing considerations to equity and community participation

## Relevant acts and laws

- Digitization and accessibility of municipal acts/ laws/ policies
- Information available in public domain



- The sample frameworks have varying specific objectives but the broad objective is to strengthen local governance.
- However, as seen in limitations, some frameworks are not able to achieve the desired objective due to lack of data, practicality and contextuality.
- Hence following is an attempt to derive important themes, components and indicators through the study of the sample frameworks

# Identifying recurrent components

Components addressed by most of the frameworks as observed by mapping of recurrent components:

Theme	Sr. no.	Component	UGI	LG Barometer	GOFORGOLD	LGPMS	ASICS, 2017	MPI, 2019	UGR, Praja	PAS, CWAS
Finance	1	Budget and expenditure								
	2	Financial accountability								
	3	Financial management								
	4	Mandated vs. actual tax collection								
	5	Predictability of transfers								
	6	Recurrent vs. capital budget								
	7	Resource allocation and utilization								
	8	Revenue generation								
	9	Revenue in transfers								
	10	Revenue per capita								
Administration and human resource	11	Adequacy of staff								
	12	Customer satisfaction								
	13	Decision making								
	14	Digital Access								
	15	Digital Governance								
	16	Digital Literacy								
	17	Effectiveness								
	18	Existence of a vision statement								
	19	Human resource management								
	20	Leadership								
	21	Published performance standards								
Equity	22	Affirmative action for the poor								
	23	Affirmative action for women								
	24	Citizen charter								
	25	Equity								
	26	Incentives for informal business								
Participation	27	Citizen engagement								
	28	Civic engagement								
	29	Elected council								
	30	Participation								
	31	People's council								
	32	Selection of mayor								
	33	Voter turnout								

## Finance:

- Financial management
- Resource allocation and utilization

## Administration and human resource:

- Effectiveness
- Human resource management

## Equity:

- Affirmative action for the poor
- Affirmative action for women
- Incentives for informal businesses

## Participation:

- Civic engagement
- Elected council
- People's council

Component absent	
Component present once	
Component present more than once	

# Identifying recurrent components

Theme	Sr. no.	Component	UGI	LG Barometer	GOFORGOLD	LGPMS	ASICS, 2017	MPI, 2019	UGR, Praja	PAS, CWAS
Accountability	34	Accountability								
	35	Anti-Corruption Policy								
	36	Checks and balances								
	37	Codes of conduct								
	38	Control by Central Government								
	39	Disclosure of income and assets								
	40	Facility for citizen complaints								
	41	Independent audit								
Transparency	42	Legitimacy								
	43	Formal publication of documents								
	44	Legal framework								
Security	45	Transparency								
	46	Conflict Resolution								
	47	Protection Against Crime and Violence								
	48	Territorial Boundaries								
	49	Security of Land Tenure and Land Use								
Environmental management	50	Peace, Security and Disaster Risk Management								
	51	Natural Resources Management								
Urban planning	52	Waste Management and Pollution Control								
	53	Participatory planning								
	54	Plan enforcement								
	55	Plan implementation								
	56	Plan preparation								
	57	Urban schemes								
Services	58	Access and coverage								
	59	Customer Services								
	60	Education								
	61	Health								
	62	Housing and Basic Utilities								
	63	Infrastructure								
	64	Registration & Permits								
	65	Service levels and quality								
	66	SWM & Sanitation								
	67	Water & Waste Water								

## Accountability

- Anti corruption policy
- Codes of conduct
- Facility for citizen complaints
- Independent audit

## Transparency:

- Formal publication of documents
- Transparency

## Security, Environmental management and urban planning

- Framework specific

## Services

- Service specific

Component absent	
Component present once	
Component present more than once	

# Weightage based distribution of components

Indicates the specific objective of each framework through weightage given to each theme:

Themes	UGI	LG Barometer	GOFORGOLD	LGPMS	ASICS, 2017	MPI, 2019	UGR, Praja	PAS, CWAS
Finance	20%	5%	8%	18%	9%	20%	29%	14%
Administration and human resource	12%	19%	8%	6%	18%	25%	29%	14%
Equity	20%	24%	12%	12%				14%
Participation	20%	14%	24%	6%	9%	5%	29%	
Accountability	24%	29%	20%	6%	18%	5%		
Transparency	4%	10%	12%	6%	9%			
Security			16%	6%				
Environmental management				12%				
Urban planning				6%	36%	15%	14%	
Services				24%		30%		57%
Total	100%	100%	100%	100%	100%	100%	100%	100%

Weightage to themes

Equal (0 to 1)

Equal (-1 to +1)

Equal (%)

Equal (1 to 5)

Equal (0 to 10)

**Unequal (%)**

Equal

Equal

Component absent	
Component present	
Highest number of components	

### Inference:

Except MPI 2019, all other frameworks give equal weightage to broad themes. But in terms of distribution of components, accountability and service delivery has higher weightage.

# Indicators under ‘Accountability’

Themes and components:

## Finance:

- Financial management
- Resource allocation and utilization

## Administration and human resource:

- Effectiveness
- Human resource management

## Equity:

- Affirmative action for the poor
- Affirmative action for women
- Incentives for informal businesses

## Participation:

- Civic engagement
- Elected council
- People’s council

## Accountability

- Anti corruption policy
- Codes of conduct
- Facility for citizen complaints
- Independent audit

## Transparency:

- Formal publication of documents
- Transparency

## Security, Environmental management and urban planning

- Framework specific

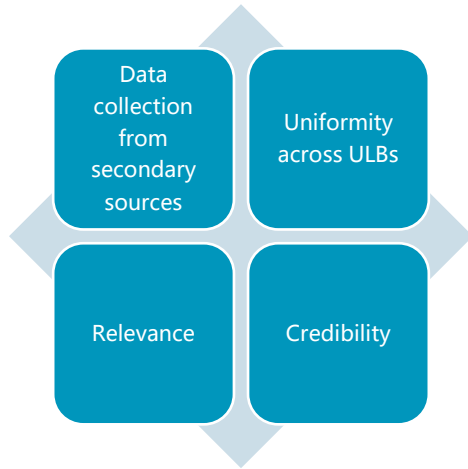
## Services

- Service specific

Control by Central Government	Process for removal of the local councilors
Codes of conduct	Application of codes at the local level
	Ordinances in support of social development, economic development, and environmental management
Legitimacy	Has the State Election Commission (SEC) been constituted?
	Is the SEC empowered to conduct delimitation of wards?
	Have elections to the ULB been conducted every five years?
Accountability	Has the state mandated guaranteed public service delivery to citizens?
	Corruption Cases Against Employees
<i>Does the citizens' charter provide:</i>	i Target levels of service?
	ii Timelines for delivery of services?
	iii Protocols for obtaining relief, where service levels are not met?
Anti-corruption policy	Does the ULB have single window civic service centres?
	Anti-corruption commission
	Does the ULB conduct citizen satisfaction survey?
	Does the ULB have an ombudsman for service related issues?
	Has the position of ombudsman been filled?
<i>Is the ombudsman authorized to:</i>	i Investigate corruption suo motu?
	ii Resolve inter-agency disputes?

# Basis for evaluation of indicators

Urban Governance Index by UN-HABITAT gives a method to evaluate the indicators using four parameters. These parameters have been slightly modified to suit the purpose of municipal governance assessment.



## Data collection from secondary sources:

Low (less than 50% ULBs)  
 Moderate (50%- 75% ULBs)  
 High (More than 75% ULBs)

Yes- High and Moderate levels  
 No- Low level

## Credibility:

Whether the indicator offers a convincing measure of quality of the institution, relationship, process or policy

Yes- Addresses existing mechanism and progress over time  
 No- Fails to address the criteria

## Uniformity across ULBs:

Validity of the indicator across all types of ULBs in India.

Yes- Addresses the variations  
 No- Failure to comply

## Relevance:

Whether the indicator focusses on the concerns of the given objective and context.

Yes- Adequately relevant  
 No- Partially relevant

Quantifying the evaluation of indicators by giving a score based on the four parameters:

Sr. no.	Evaluation of indicators	Type	Y- score
1	Data collection from secondary sources	Y/ N	0.25
2	Uniformity across ULBs	Y/ N	0.25
3	Relevance	Y/ N	0.25
4	Credibility	Y/ N	0.25
	Total		1

These scores can be used for evaluating practicality of indicators.

Source: Global Campaign on Urban Governance; Global Urban Observatory, 2004

# Evaluation of indicators under the theme ‘accountability’

Accountability								
Components	Indicator	Type	Data from secondary sources	Uniformity across ULBs	Relevance	Credibility	Total Score	Sources
Control by Central Government	Process for removal of the local councilors	Y/ N	Y	Y	Y	Y	1.00	The Maharashtra Municipal Councils, Nagar Panchayats and Industrial Townships Act, 1965
Codes of conduct	Application of codes at the local level	Y/ N	N	N	N	N	0.00	Code of conduct for elections available
Anti-corruption policy	Anti-corruption commission	Y/ N	Y	N	Y	Y	0.75	<a href="http://acbmaharashtra.gov.in/Offices?range=11&amp;unit=">http://acbmaharashtra.gov.in/Offices?range=11&amp;unit=</a>
Codes of conduct	Ordinances in support of social development, economic development, and environmental management	%	Y	N	Y	N	0.50	Various government websites
Accountability	Corruption Cases Against Employees	%	Y	N	Y	N	0.50	<a href="https://panchayaterelection.maharashtra.gov.in/">https://panchayaterelection.maharashtra.gov.in/</a>
Legitimacy	Has the State Election Commission (SEC) been constituted?	Y/ N	Y	Y	Y	Y	1.00	<a href="https://mahasec.maharashtra.gov.in/1304/Home">https://mahasec.maharashtra.gov.in/1304/Home</a>
	Is the SEC empowered to conduct delimitation of wards?	Y/ N	Y	Y	Y	Y	1.00	Municipal state act
	Have elections to the ULB been conducted every five years?	Y/ N	Y	Y	Y	Y	1.00	Past election dates
Accountability	Has the state mandated guaranteed public service delivery to citizens?	Y/ N	Y	Y	Y	Y	1.00	The Maharashtra Right to Public Service Act, 2015
<i>Does the citizens' charter provide:</i>	i Target levels of service?	Y/ N	Y	N	Y	Y	0.75	SLB adopted in Maharashtra
	ii Timelines for delivery of services?	Y/ N	N	N	Y	N	0.25	NIL
	iii Protocols for obtaining relief, where service levels are not met?	Y/ N	Y	N	Y	Y	0.75	ULB websites
Anti-corruption policy	Does the ULB have single window civic service centres?	Y/ N	Y	N	Y	N	0.50	ULB websites
	Does the ULB conduct citizen satisfaction survey?	Y/ N	Y	N	Y	N	0.50	ULB websites
	Does the ULB have an ombudsman for service related issues?	Y/ N	N	N	N	N	0.00	Maharashtra Lokayukta and Upa-Lokayuktas Act, 1971
<i>Is the ombudsman authorized to:</i>	Has the position of ombudsman been filled?	Y/ N	N	N	N	N	0.00	NA
	i Investigate corruption suo motu?	Y/ N	N	N	N	N	0.00	NA
	ii Resolve inter-agency disputes?	Y/ N	N	N	N	N	0.00	NA

## Objective-

- Strengthen municipal governance

## Context (sample ULBs)-

- MCGM
- PMC
- Amravati Municipal Corporation
- Beed Municipal Council
- Baramati Municipal Council

Low score (below 0.5)	
Medium score (0.5)	
High score (above 0.5)	

# Indicators under ‘administration and human resource’

Themes and components:

## Finance:

- Financial management
- Resource allocation and utilization

## Administration and human resource:

- Effectiveness
- Human resource management

## Equity:

- Affirmative action for the poor
- Affirmative action for women
- Incentives for informal businesses

## Participation:

- Civic engagement
- Elected council
- People’s council

## Accountability:

- Anti corruption policy
- Codes of conduct
- Facility for citizen complaints
- Independent audit

## Transparency:

- Formal publication of documents
- Transparency

## Security, Environmental management and urban planning

- Framework specific

## Services

- Service specific

Published performance standards	Published performance standards
Existence of a Vision statement	Existence of a Vision statement
Human resource management	Does the ULB have adequate staff commensurate with its population?
	Is the staffing data of the ULB available in the public domain?
	Does the ULB have access to a municipal cadre for its staffing?
	Does the commissioner have adequate experience in urban related departments?
	What is the average tenure of the commissioner?
	Does your city provide internship opportunities?
	Has your city appointed an internal auditor?
Technology and process management	Has the ULB put in place a digital governance roadmap?
<i>Does the ULB website incorporate the following:</i>	i Citizen participation
	ii Basic service delivery
	iii Schemes and services
Digital Governanccce	e-Governance Initiatives (Web portal, service delivery, grievance redressal (online and mobile)
	Command and Control System (SCADA, ICCC etc.)
	Number of e-tenders
	Value of e-tenders
	Presence of CDO
	City-data Alliance
	Presence on Open Data Portal
Digital Access	Internet access (Number of Wi-Fi hotspots)
Digital Literacy	Digital Literacy Programmes
	Number of Centres
Effectiveness	Establishment Exp per Employee
	Capacity Building

List of indicators



# Evaluation of indicators under the theme ‘administration and human resource’

Administration and human resource								
Components	Indicator	Type	Data from secondary sources	Uniformity across ULBs	Relevance	Credibility	Total Score	Sources
Published performance standards	Published performance standards	Y/ N	N	N	Y	N	0.25	ULB websites
Existence of a Vision statement	Existence of a Vision statement	Y/ N	Y	N	N	N	0.25	"
Human resource management	Does the ULB have adequate staff commensurate with its population?	Y/ N	N	N	Y	N	0.25	"
	Is the staffing data of the ULB available in the public domain?	Y/ N	Y	N	Y	N	0.50	"
	Does the ULB have access to a municipal cadre for its staffing?	Y/ N	Y	Y	Y	Y	1.00	State Municipal Act, AMRUT SAAP (2015- 16)
	Does the commissioner have adequate experience in urban related departments?	Months	N	N	Y	Y	0.50	ULB websites
	What is the average tenure of the commissioner?	Years	N	N	Y	Y	0.50	"
	Does your city provide internship opportunities?	Y/ N	N	N	N	N	0.00	NA
Has your city appointed an internal auditor?	Y/ N	Y	N	Y	N	0.50	"	
Technology and process management Does the ULB website incorporate the following:	Has the ULB put in place a digital governance roadmap?	Y/ N	Y	Y	Y	Y	1.00	Maharashtra State e-Governance Policy 2011; <a href="https://mshait.org/">https://mshait.org/</a>
	i Citizen participation	Y/ N	Y	Y	Y	N	0.75	Districts, Municipal Corporation websites
	ii Basic service delivery	Y/ N	Y	Y	Y	Y	1.00	ULB websites
iii Schemes and services	Y/ N	Y	N	Y	N	0.50	"	
Digital Governance	e-Governance Initiatives (Web portal, service delivery, grievance redressal (online and mobile)	Points	Y	N	Y	N	0.50	"
	Command and Control System (SCADA, ICCS etc.)	Points	Y	N	Y	N	0.50	"
	Number of e-tenders	%	Y	Y	Y	Y	1.00	<a href="https://pwd.maharashtraetenders.in/">https://pwd.maharashtraetenders.in/</a> <a href="https://mshatenders.gov.in/">https://mshatenders.gov.in/</a>
	Value of e-tenders	%	Y	Y	Y	Y	1.00	<a href="https://pwd.maharashtraetenders.in/">https://pwd.maharashtraetenders.in/</a> <a href="https://mshatenders.gov.in/">https://mshatenders.gov.in/</a>
	Presence of CDO	Y/ N	Y	Y	Y	Y	1.00	<a href="https://smartcities.data.gov.in/chief-data-officers">https://smartcities.data.gov.in/chief-data-officers</a>
	City-data Alliance	Y/ N	N	N	Y	N	0.25	NA
Presence on Open Data Portal	Y/ N	Y	N	Y	N	0.50	<a href="http://opendata.punecorporation.org/Citizen/User">http://opendata.punecorporation.org/Citizen/User</a>	
Digital Access	Internet access (Number of Wi-Fi hotspots)	%	Y	N	Y	N	0.50	ULB websites
Digital Literacy	Digital Literacy Programmes	Y/ N	Y	N	Y	N	0.50	National Digital Literacy Mission
	Number of Centres	Ratio	N	N	N	N	0.00	NA
Effectiveness	Establishment Exp per Employee	Deviation from mean	Y	N	Y	Y	0.75	Budget documents of ULBs
	Capacity Building	%	N	N	N	N	0.00	NA

## Key findings from the evaluation of indicators:

- ‘Data collection from secondary sources’ is an important parameter for this study.
- Unavailability of secondary data in small and medium cities is a limitation in assessments.
- Other data sources should be identified for the indicators where secondary data is not available.
- High scoring indicators for given objective and context can be prioritized.

Low score (below 0.5)	
Medium score (0.5)	
High score (above 0.5)	

# Key inferences

Following parameters are important while selecting/ designing a governance assessment framework:

## Developing database

- Due to lack of database with small and medium cities, governance assessment becomes unviable.
- Need for intervention from higher level of government to develop capacities.

## Objective

- Objective of assessment.
- What should be measured?
- How can it be measured?

## Stakeholders

- Who should carry out the assessment?
- What steps must be taken so that decision-makers and citizens may make sense of and use the generated information

## Themes and Components

- Attention to emphasis on particular themes.
- Consideration of weightage and number of components under each theme

## Indicators

- Suitable indicators under each component and their scoring.
- Avoiding data overload.

## Practicality and Contextuality

- Pragmatic approach towards data collection for indicators.
- Avoiding over generalization.

Source: Cruz & Marques, 2013

# Stepping stones for municipal governance assessment in India

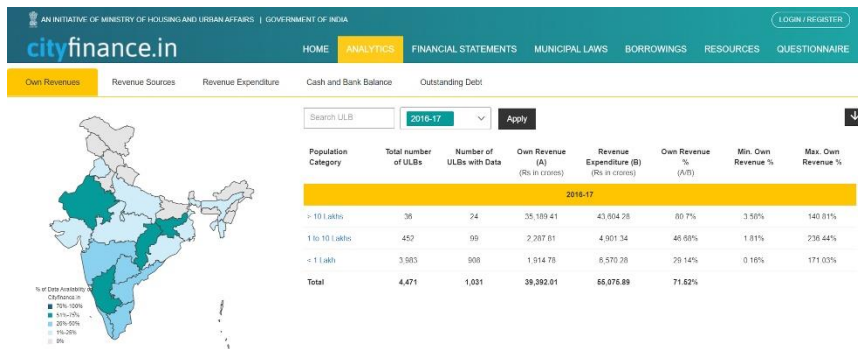
PAS framework breaks down services assessment into data points that can be captured easily by ULBs.

S.No	WATER SUPPLY INDICATOR VALUES	Unit	FY 2016-17
1	Coverage of water supply connections	%	#DIV/0!
2	Per capita supply of water (At consumer end)	lpcd	#DIV/0!
3	Extent of metering of water connections	%	#DIV/0!
4	Extent of Non Revenue Water	%	#DIV/0!
5	Continuity of water supply	Hours/Day	0.00
6	Efficiency in redressal of customer complaints	%	#DIV/0!
7	Quality of water supplied	%	#DIV/0!
8	Cost recovery in water supply services	%	#DIV/0!
9	Efficiency in collection of water supply related charges	%	#DIV/0!

S.No	WATER SUPPLY RELIABILITY GRADES	FY 2016-17
1	Indicator	D
2	Coverage of water supply connections	D
3	Per capita supply of water (At consumer end)	D
4	Extent of metering of water connections	D
5	Extent of Non Revenue Water	D
6	Continuity of water supply	D
7	Efficiency in redressal of customer complaints	D
8	Quality of water supplied	D
9	Cost recovery in water supply services	D
9	Efficiency in collection of water supply related charges	D

S.No	Local Action Indicators	Unit	FY 2016-17
1	% of population with access to improved water services	%	#DIV/0!
2	Spatial coverage of distribution network	%	0
3	Drive for identifying and regularizing illegal connections	Y/N	0
4	% illegal connections	%	#DIV/0!
5	% of identified illegal connections that are regularized	%	0
6	Regular annual assessment of available sources	Y/N	0
7	Per capita supply of water	lpcd	#DIV/0!
8	Average pressure at WDS	meters	0
9	Average pressure at consumer end	meters	0
10	Days of supply (per month)	days	0
11	% of water sample tests for bacteriological	%	#DIV/0!
12	Pumps repaired/replacement	%	#DIV/0!
13	Unit electricity cost of production of water supply	Rs/Kl	#DIV/0!
14	Recruited (working) staff to sanctioned staff in water supply	%	#DIV/0!
15	Total Staff (regular and contract) per 1000 water supply connections	No.	#DIV/0!
16	Per capita revenue expenditure (ULB)	Rs.	#DIV/0!
17	Studies/ actions on detailed energy audits	Y/N	0
18	Average revenue per water connection	Rs.	#DIV/0!
19	Per capita revenue income (ULB)	Rs.	#DIV/0!
20	Studies and actions for preliminary water audit	Y/N	0
21	% water losses from source to water treatment plant (WTP)	%	#DIV/0!
22	% water losses from WTP to water distribution station (WDS)	%	#DIV/0!
23	% water losses from WDS to final consumption (includes both leakage on service connections and unauthorized consumption)	%	#DIV/0!
24	Number of pipe breaks per km length of network	No.	#DIV/0!
25	% of network refurbished	km	#DIV/0!
26	% authorized and unbilled consumption to total supply (Free supply)	%	#DIV/0!
27	Periodic monitoring and analysis of complaints	Y/N	0
28	Total complaints in water supply per 1000 connections per year	No.	#DIV/0!
29	% of meters that are functional	%	0

Cityfinance.in is a national framework in city finance sector. It also addresses the data availability in cities. It has collated relevant municipal acts too.



- Collating available data and categorising qualitative data into nominal and ordinal can become a method of initiating the assessment.
- Notable efforts are seen at national level which can be integrated at state and city levels.

PRAJA framework has simplified complex constitutional issues to give qualitative reflections.

Summary of reflections on reforms needed:

**Empowered Corporation – single window system**

- There should be single authority to deliver basic services as listed in the 74<sup>th</sup> constitutional amendment in the jurisdiction of the city.
- Municipal Corporation should be the apex body responsible for delivery of services.

**Empowered Mayor and Councilors**

- Councilors should have authority to solve issues of their wards.
- Councilors should have Council or fund for development in the ward.
- Mayor should have the authority to prepare Annual Confidential Report of the Administration for better accountability.

**Co-terminus Standing Committee**

- The term of Standing Committee should be co-terminus with the office of Corporation.
- Need to form ward committees for decentralised governance and public participation.

**Ward Committees**

- Ward committees should be formed and be active at the ward level.
- Citizen participation should be encouraged in ward committees to ensure effective decentralisation.

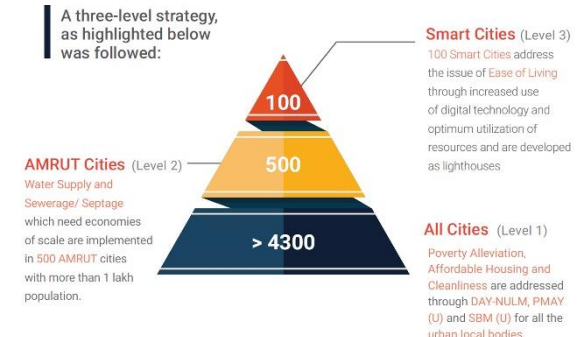
**Reserves**

- The corporation should have control over recruiting and deciding their own staff and there is need for revising the human resources and estimation of Strength.
- Need of Qualified and experienced staff as per requirement. Moreover, capacity building and regular training is required.

**Municipal Finance**

- Municipal Corporation should be given more financial autonomy such as authority to decide tax & service rates and what taxes to be levied.
- Need to encourage public participation in the budget making process and priorities of budget expenditure should be decided accordingly.

MPI 2019 framework has addressed different types of initiatives for cities with different urbanization levels.



Source- PAS – Framework; <https://cityfinance.in/>; PRAJA, 2019; MoHUA, 2019

# Conclusions from the study

## Recommendations:

- **Database-** Need of creating an accessible database for ULBs. Unavailability of data results in incomplete assessment.
- **Systemic changes-** Need to internalize the assessment and bring about a change in the outlook towards governance.
- **Indicators-** Need to find simpler methods of reviewing the system and indicators for which data is easily available.

These recommendations are reiterated through some examples of top scoring/ ranking ULBs in the sample frameworks.

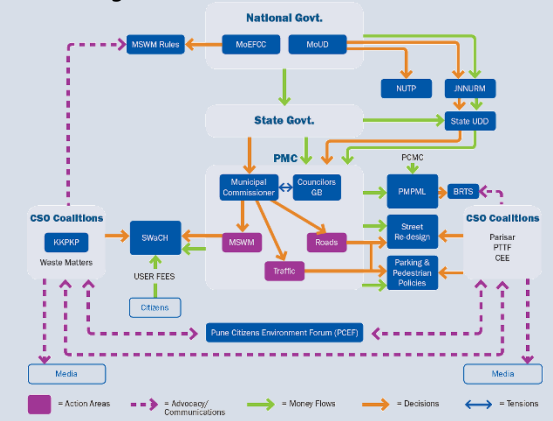
- Analysis of the existing frameworks can help in **adapting suitably** for a given context.
- It can also help in building upon the frameworks by **incorporating the learnings** instead of reinventing the wheel all over again

## Reiterating the recommendations through some examples:

### Pune Municipal Corporation

**Project objective:** In Pune city, Changes have been institutionalized in multiple sectors (including transport and MSWM) over past few years across multiple political administrations.

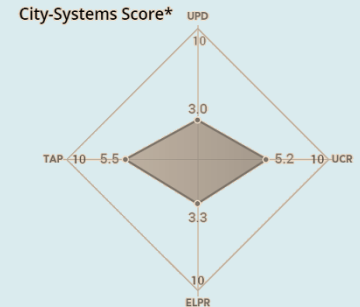
**Strengths and limitations:** CSOs have formed coalitions that provide intellectual and even practical leadership to trigger and help sustain ongoing changes. PMC's basic finance, planning, governance systems and human resource remain weak. Control over the structural reform rests with the state government.



### Greater Hyderabad Municipal Corporation

**Project objective:** Various initiatives like GHMC App, grievance redressal system, becoming a part of UNESCO Creative Cities Network (UCCN), and detailed information available on website.

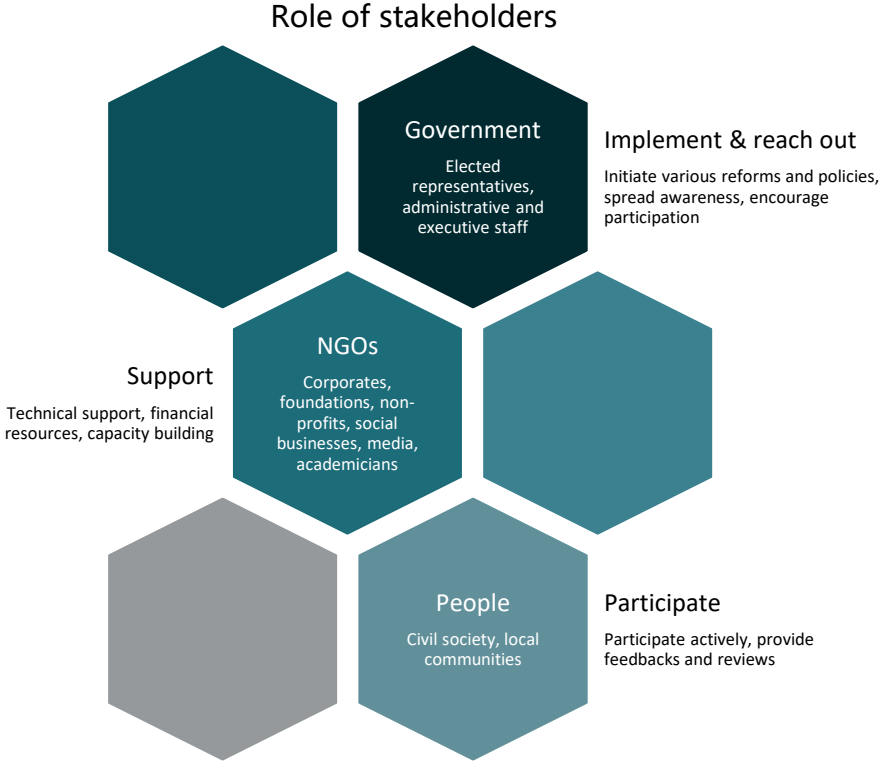
**Strengths and limitations:** Audited annual financial statements made available online. Undertaken AMRUT reforms on appointment of internal auditor, credit rating and publishing e-newsletters. GHMC handles only 10 functions as opposed to the 18 listed in the 74th CAA. Voter turnout in last municipal elections is 45.00% compared to 52.70% in state elections.



UPD: Urban Planning & Design, UCR: Urban Capacities & Resources, ELPR: Empowered & Legitimate Political Representation and TAP: Transparency, Accountability & Participation are the four components of the 'City-Systems' framework used for ASICS evaluation

Source: <https://www.ghmc.gov.in/>; Janaagraha Centre for Citizenship and Democracy; Jana Urban Space Foundation, 2017; SMARTNET, 2018; Kamath, Burte, Madhale, & King, 2018

# Way forward



“The direction of change is more significant than the measurable outcomes”

Source: Kamath, Burte, Madhale, & King, 2018

# Annexures: Indicators under ‘finance’

Themes and components:

## Finance:

- Financial management
- Resource allocation and utilization

## Administration and human resource:

- Effectiveness
- Human resource management

## Equity:

- Affirmative action for the poor
- Affirmative action for women
- Incentives for informal businesses

## Participation:

- Civic engagement
- Elected council
- People’s council

## Accountability

- Anti corruption policy
- Codes of conduct
- Facility for citizen complaints
- Independent audit

## Transparency:

- Formal publication of documents
- Transparency

## Security, Environmental management and urban planning

- Framework specific

## Services

- Service specific

Components	Indicator	Type
Revenue per capita	What is the per-capita revenue of the ULB?	Rs.
Recurrent vs. capital budget	Ratio of actual recurrent and capital budget	Ratio
Predictability of transfers	Ratio of variation in transfers over the past 5 years	Ratio
	Whether there is a basis for transfers	Y/ N
	Is the amount to be transferred known in advance?	Y/ N
Is the ULB empowered to set and collect the following taxes?	Property tax	Y/ N
	Entertainment tax	Y/ N
	Profession tax	Y/ N
	Advertisement tax	Y/ N
Financial management	What is the percentage of own revenues to total expenditure for the ULB?	%
	Is the ULB authorised to raise borrowings without state government/central government approval?	Y/ N
	Authority to make investments or otherwise apply surplus funds without specific state /central government approval	Y/ N
	What is the per-capita capital expenditure of the ULB?	Rs.
	Is the ULB required by law to have a long-term and/or medium-term fiscal plan?	Y/ N
	How does the city rate on adherence to budget timelines?	NIL
	Are the annual accounts of the ULB mandated to be audited by an independent/ external agency?	Y/ N
	Are the audited annual financial statements/audited annual accounts of the ULB available in the public domain?	Y/ N
	Have five State Finance Commissions (SFCs) been constituted by the state government?	Y/ N
	Is your city, by law, mandated to follow a double-entry accounting system?	Y/ N
	Does your city follow a double-entry accounting system?	Y/ N
	What is the credit rating of your city?	Grade (Year)

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Revenue Management	Tax Revenue vs Own Revenue	%
	Tax Coverage Efficiency	%
	Properties Mapped on GIS	%
	Tax Collection Efficiency	%
	Review of Property Tax	Y/ N
	Last Revision	Y/ N
	Alternate Sources of Financing	%
	Budget Efficiency (Actual vs. budgeted revenue)	Difference
Expenditure Management	Central Grant Expenditure Efficiency	%
	State Grant Expenditure Efficiency	%
	Capital Expenditure vs Total Expenditure	%
	Establishment Exp. vs Total Exp.	Deviation from mean
	Salary Expenses vs Total Own Rev.	Difference
	Preparation of Budget Estimate	Y/ N
	Establishment Expenditure per capita	Deviation from mean
Fiscal Responsibility	Budget Variance (Actual vs budgeted expenditure)	Difference
	Data Sharing	Y/ N
	Internal Audit	Y/ N

# Annexures: Indicators under ‘equity’

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## Security, Environmental management and urban planning

- Framework specific

## Services

- Service specific

Components	Indicator	Type
women in key positions	Proportion of women in key positions	Ratio
Pro-poor pricing policy for water	Proportion of households with direct access to water (piped connection).	Ratio
	Is there a water pricing policy taking	Y/ N
	Is the metered price of water per litre lower for households below the poverty line	Y/ N
Incentives for informal business	Street vending restrictions	NIL
	Incentives like informal public markets, municipal fairs	Y/ N
	Number of protests or confrontations regarding street vending	No.



# Annexures: Indicators under ‘participation’

Themes and components:

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- Human resource management

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- People’s council

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## Transparency:

- Formal publication of documents
- Transparency

## Security, Environmental management and urban planning

- Framework specific

## Services

- Service specific

Components	Indicator	Type
Civic engagement	Are citizens empowered to form their own social association and lead activities?	Y/ N
	Are citizens aware of their civil rights and responsibilities as members of the community?	Y/ N
	Are citizens involved in the management of public facilities (e.g. central water points, public toilets)?	Y/ N
Participation	Local Representation	Ratio
Does the ULB have the following powers with respect to its employees?	i Appointment	Y/ N
	ii Disciplinary action	Y/ N
	iii Termination	Y/ N
Mayor/ council empowerment	Does the mayor of the ULB have a five year term?	Y/ N
	Is the mayor directly elected?	Y/ N
	Does the mayor/council have the authority to appoint the municipal commissioner/ chief executive of the ULB?	Y/ N
	Is the mayor an ex-officio member of the MPC?	Y/ N
	Is the ULB responsible for providing all functions and services it is mandated to as per the 74th CAA?	Y/ N
Do citizens participate adequately in the electoral process'?	Is the action taken report on SFC recommendations made available by the state government?	Y/ N
	Does the council have the final say in approving the city budget?	Y/ N
	i Council (Voter turnout)	%
	ii Legislative assembly (Voter turnout)	%
	Does your city council have adequate gender representation?	%

# Annexures: Indicators under ‘transparency’

Themes and components:

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## Security, Environmental management and urban planning

- Framework specific

## Services

- Service specific

Components	Indicator	Type
Transparency	Are administrators recruited openly and transparently	Y/ N
Transparency and Accountability	Disclosure of Assets	Y/ N
	Budget Publication	Y/ N
	Publication of Performance Reports	Y/ N
	Environmental Status Report	Y/ N
Transparency and citizen participation	Has the state government enacted the Public Disclosure Law (PDL) and has the rules implementing the PDL being notified?	Y/ N
Is the state PDL compliant with the model PDL with respect to:	i Audited financial statement on quarterly basis	Y/ N
	ii Audited financial statement on annual basis	Y/ N
	iii Service level benchmarks	Y/ N
	iv Particulars of major works	Y/ N
	v Details of plans, income and budget	Y/ N
Has the ULB adopted open data standards and principles in respect of:	i Annual report of works done last year	Y/ N
	ii Financial information (budgets) of the corporation and of respective wards.	Y/ N
	iii Raw and synthesized data on civic works	Y/ N
	iv Information under Right To Information (RTI), section 4(1)b on minutes of council meetings, rules, regulations and documents of the ULB and its decision-making processes	Y/ N
	v Quarterly audited financial reports	Y/ N
	Does your city publish e-newsletter?	Y/ N
	Does your city publish post Demand Collection Book (DCB) of tax details on the website?	Y/ N
	Has the state government enacted the Community Participation Law (CPL) and have rules implementing the CPL been notified?	Y/ N
	Have ward committees been constituted for all wards of the ULB?	Y/ N
	Have area sabhas been constituted in all wards of the ULB?	Y/ N
	Does the ULB harness the spirit of volunteerism among its citizens and provide such opportunities for them?	Y/ N
	Does the ULB have a participatory budgeting process in place?	Y/ N
	Is the ULB required by its municipal act to carry out an internal audit within a predetermined frequency, at least annual?	Y/ N
	Are the internal audits of the ULB available in the public domain?	Y/ N

# References

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# Thank you

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## About us

The Center for Water and Sanitation (C-WAS) at CEPT University carries out various activities – action research, training, advocacy to enable state and local governments to improve delivery of services.



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