



PRAJA'S

# URBAN GOVERNANCE STUDY

KERALA



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Over the last two decades Praja has been working towards enabling accountable governance. We conduct data driven research on civic issues, and inform citizens, media, and government administration and work with elected representatives to equip them to address inefficiencies in their work processes, bridging the information gaps, and mobilising them in taking corrective measures advocating for change.

In the past we have partnered with the Mumbai Corporation to come up with its first Citizen Charter to revamping their Citizens' Complaint Grievances Mechanism and handholding them to run it in the initial years; we come up with annual white papers on the performances of civic, health, crime, education and housing issues in Mumbai and Delhi; since 2011 we have been coming up with an annual report card to rank performances of MLAs and Councillors in Mumbai and (since 2016) Delhi. We do not just stop at creating standardised matrixes or governance indicators but also support build capacities of elected representatives, executives and citizens by coming up with various handbooks on governance and conducting numerous workshops/trainings on governance issues.

Praja is now embarking on an ambitious journey to transform urban governance, to advocate policy changes that will change the way Indian cities are governed. It will be multiyear project in nature, with research being the bedrock to form a network and influence change:

Currently the devolution of powers and the capacity in the cities is not completely mapped. By December'2019 we will be conducting an Urban Governance Reforms Study to capture status of urban reforms in all the states, identify levers and barriers and identify a set of recommendations.

Our study will create a 'urban governance index' and map urban governance status in all the states of the country.

As part of the study we will map and meet various stakeholders in all the states across the country and build a network which will be leveraged as a platform for: knowledge sharing; equipping stakeholders; mobilising stakeholders; and advocating for policy changes.

In a nutshell the project will enable urban governance to transform a 'smart city' into a 'smartly governed city' by influencing policy change at a structural and systemic level to democratise city governments and improve delivery of services."

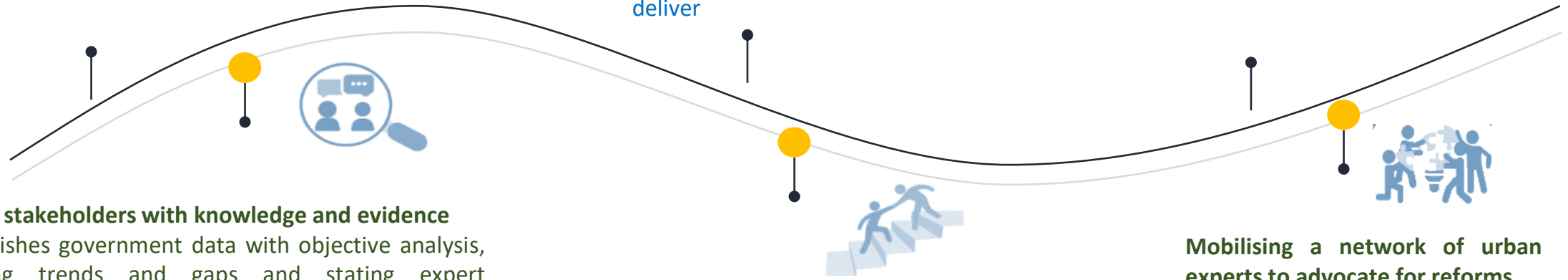


# Over the past two decades Praja has been devoted to bringing transparency and is now embarking on an ambitious journey to transform urban governance

1 Citizens experience poor quality of services and shortage of basic infrastructure like clean water, sanitation, health & education facilities, affordable housing and public transportation. Elected representatives don't have access to data or quality standards to push for improvements

2 Lack of empowerment of local elected representatives to hold the executive accountable coupled with the inadequate skills, knowledge and leadership to be able to effectively deliver

3 City governments are responsive to the needs of the citizens but they are not future-ready



### Equipping stakeholders with knowledge and evidence

Praja publishes government data with objective analysis, highlighting trends and gaps and stating expert recommendations for change, and also create parameters to gauge the quality of urban infrastructure and service delivery



Availability of data and service delivery index provides higher transparency

### Engaging Stakeholders

Praja will build local elected representatives' capacity by both increasing their knowledge and developing their skills. Praja would advocate for democratization of city governments with clearer accountability structures.



Elected city government can appoint, monitor, review and take action against city service providers

### Mobilising a network of urban experts to advocate for reforms

Praja will be nurturing visionary leadership of elected representatives to plan, mobilize and allocate resources coupled with strengthening of citizen participation

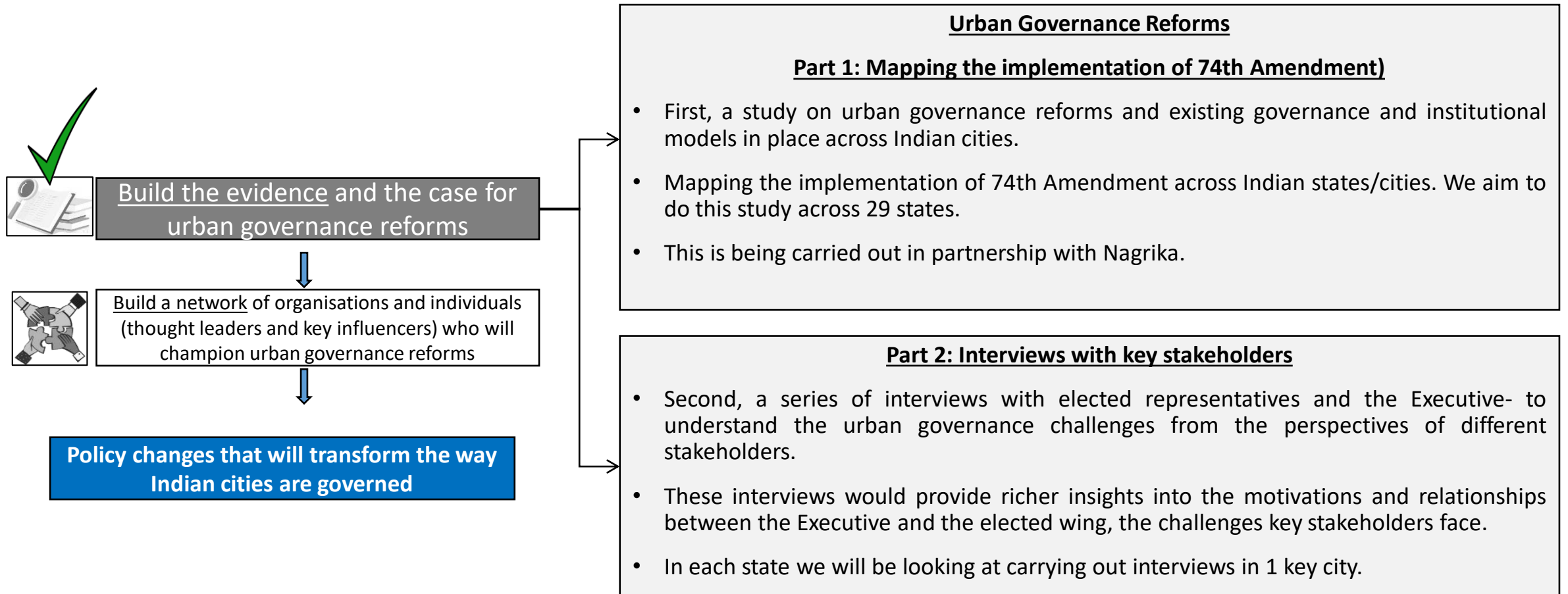


Improved quality of life in Smartly governed cities, with active citizenry

- Problem
- Solution
- Outcome

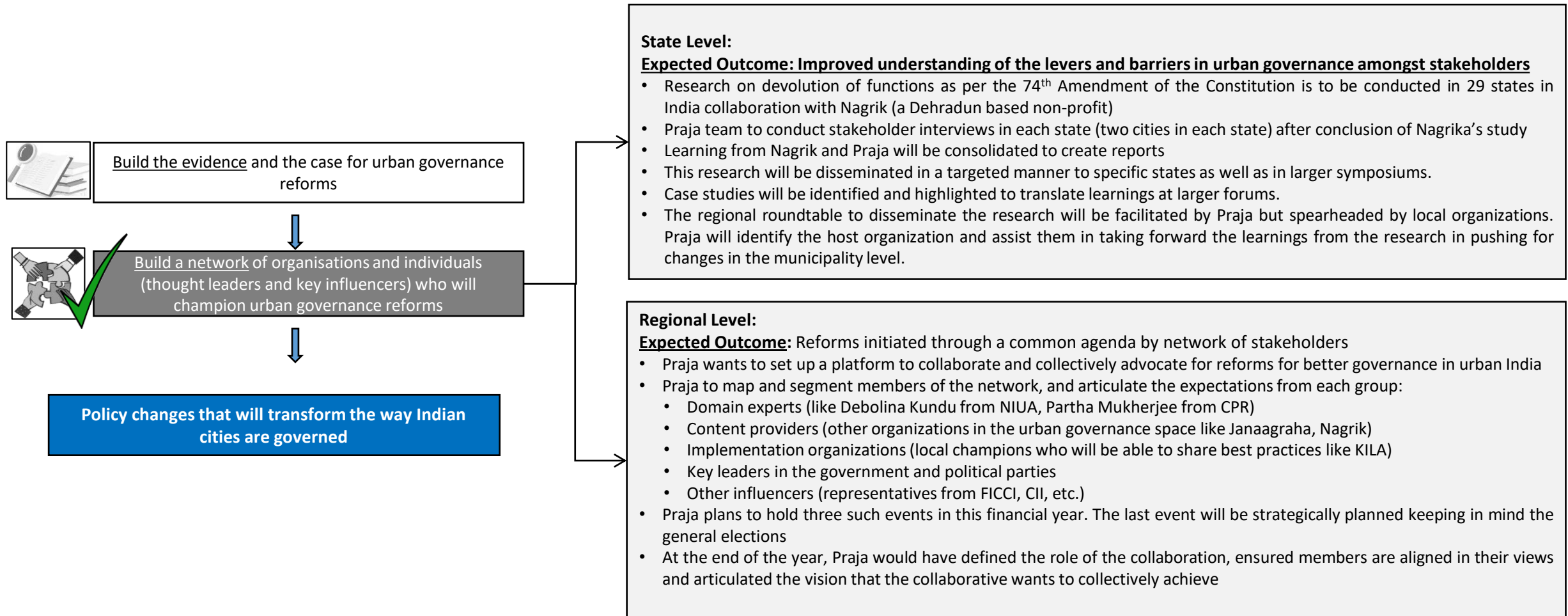


*For identifying the levers and barriers in Urban Governance, Praja has initiated research on Urban Governance in India*





## For building the network, Praja is working both at the regional and central levels





### Objective

Some of objectives for conducting the exploratory study by Nagrika were:

1. Identify the prevalent institutional structures in different municipalities
2. Identify the roles and responsibilities of various departments and officials (elected as well as administrative) within a municipality
3. Map the 18 functions and the role of city governments and parastatals in performing them
4. Identify key informants in the administrative and deliberative wings
5. Identify civil society organizations and stakeholders in respective cities

The research for the state reports on 74<sup>th</sup> CAA was undertaken in three stages.

1. First, a detailed study of existing literature and relevant municipal acts was undertaken to understand the context
2. Second, discussions and interviews were undertaken in Kerala with multiple stakeholders over the period of one week. Nagrika team visited the cities of Thiruvananthapuram (Trivandrum) and Kochi to understand the experience of decentralization in both the cities.
3. Finally, the field insights were corroborated with secondary research to develop this report.



|    | Name of city government   | Thiruvananthpuram                 | Kochi                 |
|----|---|-----------------------------------|-----------------------|
| 1  | Act   | The Kerala Municipality Act, 1994 |                       |
| 2  | Status (Corp, MC):  | Municipal Corporation             | Municipal Corporation |
| 3  | Name of the District:   | Thiruvananthapuram                | Ernakulam             |
| 4  | Area of the city government in sq.km                                    | 214.86 Sq. Km                     | 94.88 Sq. Km          |
| 5  | No. of wards  | 100                               | 74                    |
| 6  | Term duration of present Municipal Government                           | 5                                 | 5                     |
| 7  | Name of the Mayor / President/Chairman                                  | Adv. V. K. Prasanth               | Smt. Soumini Jain     |
| 8  | No. of Corporators /Councillors-Elected                                 | 100                               | 74                    |
| 9  | No. of Corporators /Councillors-Nominated (if not actual, based on Act) | None                              | None                  |
| 10 | Name of the Commissioner / Chief Officer/Secretary                      | Smt Deepa LS                      | Smt A S Anuja         |
| 11 | No. of Sanctioned Posts in the city government                          |                                   |                       |
| 12 | No. of Vacant posts in the city government                              |                                   |                       |
| 13 | Schedule of council meetings (weekly, monthly?)                         | Once a month at least             | Once a month at least |
| 14 | If Smart city, is there a SPV in place?                                 | Yes                               | Yes                   |
| 15 | Have ward committees been created?                                      | Yes                               | Yes                   |
| 16 | Are there DPCs in the state?  | Yes                               | Yes                   |

| No. | Functions listed in 12 <sup>th</sup> Schedule   | Kerala   |
|-----|---|--|
| 1   | Urban Planning including town planning  | <ul style="list-style-type: none"> <li>Master Planning by Town and Country Planning</li> </ul>   |
| 2   | Regulation of land-use and construction of buildings  | <ul style="list-style-type: none"> <li>Land use planning is with TCP department</li> <li>Approval of certain buildings is with the city government.</li> </ul>   |
| 3   | Planning for economic and social development  | <ul style="list-style-type: none"> <li>Development Plans to be formed by city government and approved by DPCs</li> <li>In house agriculture, industries and fisheries officer</li> </ul>   |
| 4   | Roads and bridges   | <ul style="list-style-type: none"> <li>Only municipal roads under city governments</li> </ul>  |
| 5   | Water supply- domestic, industrial and commercial   | <ul style="list-style-type: none"> <li>Water supply is primarily carried out by the Kerala Water Authority. However, the Municipal Corporations provide water connections, public taps and build suitable tanks.</li> </ul>  |
| 6   | Public health, sanitation, conservancy and WM   | <ul style="list-style-type: none"> <li>Provision of Primary healthcare centres. / Hospital equipment support to State Govt. Hospitals (Salaries from the State Govt.) / Disease Control</li> <li>SWM / STP / WTE</li> </ul>  |
| 7   | Fire services   | <ul style="list-style-type: none"> <li>Fire Services are provided by the State while the city government is only involved</li> </ul>   |
| 8   | Urban forestry, protection of environment and ecology   | <ul style="list-style-type: none"> <li>Beautification and greenery, including the maintenance of a reserve (Manglavana) in Kochi, conservation done under HarithaKerala.</li> <li>Other forested areas are with the State Forest Department.</li> </ul>                                |
| 9   | Safeguarding the interests of weaker sections society including the handicapped and mentally retarded | <ul style="list-style-type: none"> <li>Rehabilitation of beggars, Working Women's Hostels, Old Age homes</li> <li>ST/ ST Welfare programmes run. Mainly provided by the Social Justice department in collaboration with Child Development Projects and the State SC Officer</li> </ul> |

|    |   |  |
|----|---|--|
| 10 | Slum improvement and upgradation  | <ul style="list-style-type: none"> <li>17 Notified slums and 15,000 houses to be built.</li> <li>Housing under Central (RAY/PMAY) as well as State (LIFE) govt. schemes</li> </ul>   |
| 11 | Urban poverty alleviation   | <ul style="list-style-type: none"> <li>Combined with Housing under a Project Officer, also to provide food and medical provisions in time of disaster</li> <li>Livelihood centres, Ayengarathi Employment Project, NULM implementation Working Women's Hostels, SHGs, Kudumbashree projects</li> </ul> |
| 12 | Provision of urban amenities and facilities- parks, gardens and playgrounds                 | <ul style="list-style-type: none"> <li>Parks / Gardens maintenance carried out.</li> <li>Fresh up centres provided</li> </ul>  |
| 13 | Promotion of cultural, educational, and aesthetic aspects                                   | <ul style="list-style-type: none"> <li>Schools from class 1-12 are maintained by the Govt.</li> <li>Teachers are paid by the State Govt.</li> </ul>  |
| 14 | Burials and burial grounds, cremations, cremation grounds and electric crematoriums         | <ul style="list-style-type: none"> <li>Electric and traditional sanatoriums provided.</li> </ul>   |
| 15 | Cattle pounds, prevention of cruelty to animals   | <ul style="list-style-type: none"> <li>Not cattle focused.</li> <li>However, veterinarians present for ABC.</li> </ul>   |
| 16 | Vital statistics including registration of births and deaths                                | <ul style="list-style-type: none"> <li>Carried out by the Health department using the Online software Kevana.</li> </ul>   |
| 17 | Public amenities including street lighting, parking lots, bus stops and public conveniences | <ul style="list-style-type: none"> <li>Electricity provided by KSEB but street lights maintained by respective corporations.</li> <li>9 Public toilets operated in Trivandrum.</li> </ul>  |
| 18 | Regulation of slaughter houses and tanneries  | <ul style="list-style-type: none"> <li>Regulated by the Health Section.</li> <li>Provision in the case of Kochi.</li> </ul>  |

|                         |  |                   |  |               |
|-------------------------|--|-------------------|--|---------------|
| City government control |  | Multiple agencies |  | State Control |
|-------------------------|--|-------------------|--|---------------|



## The Mayor

The elected office of the Mayor is the supreme head of the city governments in Kerala. The Mayor acts as the Chief Executive of the Corporation and functions with the support of Deputy Mayor, Secretary and Councilors.

From amongst the Councilors, the Mayor constitutes various Standing Committees as per the Act to oversee various Municipal Functions.

Following are the functions of the Mayor as per various sections of the Act (Section 14 and 15)

- a. Administrative power to discharge all the functions of the city government as laid out by the Act
- b. Convene all the meetings of the council and preside over it
- c. Call Secretary and other functionaries to hold discussions or meetings
- d. Overall supervision and execution of city government's work
- e. Coordinate the functions of Secretary and the various committees
- f. Prepare the Confidential Report of the Secretary and also review the confidential reports made by the Secretary in respect of other employees.
- g. Authorize the payments of the city government
- h. Suspend any municipal officer other than Secretary and Gazetted officers on disciplinary grounds
- i. Refer to the Government any decision of the Council which is taken in an illegal manner or in exercise of the powers in excess of what is permissible under the Act
- j. Give directions for the implementation of the resolutions of the Council or Committees in the discharge of any function of the Municipality and the Secretary shall be bound by such directions.
- k. Order execution of any particular act in an emergency situation for the safety of the public which in ordinary circumstances would require the sanction of the Council and also direct that the expenses for the execution be made from the fund of the Municipality. The steps taken in such emergent situations should be reported in the next meeting of the Council along with approval of the steps.



## Standing Committees

- The Kerala Act stipulates standing committees with clear roles for the various levels of city governments including Municipal Corporations (Sections 20, 21, 22, 286)
- Some of these committees include finance, development, welfare, Town Planning among others and have clearly defined roles.
- The Standing Committees are headed by a Chairman, who is also a Councilor.
- All the elected councilors from a city belong to at least one of the Standing Committees.
- The number of members in each committee is decided by the council.
- The Standing Committees are mandated to meet once a month. Having functional roles at Committee level ensures that domain specific issues are analyzed by the committee before the entire Council deliberates on them.

Functions of the Standing Committee for Finance as mandated by the Act:

- The Standing Committees are mandated to prepare the budget estimates for projects related to their subjects and then submit their proposals to the Finance Standing Committee who then shall prepare the budget estimate of the receipts and expenditure of the Municipality for the next year.
- Supervise the release of grants from the government and utilization of budget grants
- Supervise the assessment and collection of taxes, fees, rents and other sums due to the Municipal Corporation
- Inspect municipal accounts
- Prepare and present the budget estimate before the Council
- Verify if any of the expenditure of the Municipal Corporation is within the budget provisions approved by the Council and if there are sufficient funds for the purpose
- Shall conduct monthly audit of accounts and check the monthly demand, collection and balance and abstract of receipts and expenditure of the preceding month as furnished by the Secretary

**Table 2: Other Standing Committees as per the KMA 1994**

| Standing Committee Name     | Mandated area   |
|-----------------------------|---|
| <b>Development</b>          | Agriculture, Soil, Social Forestry, Animal Husbandry, Dairy Development, Minor Irrigation, Fisheries, Small scale industries, co-operation, institutional finance and development plans                 |
| <b>Welfare</b>              | Welfare of Women and Children, Development of Scheduled Castes and Scheduled Tribes, Social Security Pension, Social Welfare, Financial Assistance, Public Distribution System and Poverty Eradication. |
| <b>Health and Education</b> | Public Health and Health Services, Sanitation, Education and Sports   |
| <b>Works</b>                | Public works, Housing, Electricity and Water Supply, Drainage and Sewerage  |
| <b>Town Planning</b>        | Town planning, Building constructions regulation, environment, urban beautification, promoters of art and culture, preservation of monuments, places, buildings of heritage                             |
| <b>Tax</b>                  | Appeals of Tax as well as levying taxes when undervalued.   |

## Working Groups

Each standing committee also forms Working Groups. A Working Group consists of a Convener, usually, an implementing officer from a department of the municipal corporation and a chairman, who is a Councilor along with other councilors, Civil Society Organizations, experts and citizens as members.

Twice a year, when the Development Seminar (Vikassena) is held, each working group is convened and plans are prepared which are then forwarded to the Planning cell who then forwards it to the Standing Committee for approval. Once the Standing committee approves it, the Ward committees discuss it and it goes to the Council for approval. Once approved by the Council, it awaits permission from the DPC.



## Secretary

- The Kerala Act does not have a position of Municipal Commissioner. Instead, the analogous post is that of a Secretary.
- In deliberative matters of the Council and Standing Committees, Secretary has an advisory role and cannot vote or move a resolution.
- The position of Secretary is accountable to the Mayor.

The following are some of the functions of the Municipal Secretary (Sections 49 and 50):

- Executive officer of the Municipality
- Implement the resolutions of the Council and Standing Committee
- Request the Council and Committees to review their resolution if needed (e.g. if resolution impinges on public safety)
- Create periodical reports to be presented to the council and the standing committees about the progress made in implementing the resolutions of the council or the standing committees
- Implement the directives from the Mayor/Chairperson
- Make payments for all kinds of expenditure authorised by the Municipality, either by cheque or in cash; maintain and keep the accounts as to the receipts and expenditure of the Municipality
- Responsible for the safe custody of the Municipal fund.

## Administrative Departments

Both city governments have seven common departments listed in the table below. Kochi corporation also has The Centre for Heritage, Environment and Development (C-HED), an autonomous institution functioning as the Research and Development wing of the Kochi Municipal Corporation, in the realm of governance, environment, culture and heritage.

**Table 3: Administrative Departments**

| Department                          | Function   |
|-------------------------------------|--|
| <b>Engineering Department</b>       | <ul style="list-style-type: none"> <li>• Construction and O&amp;M of roads and other public works</li> <li>• Overseeing construction of major civil projects e.g. malls</li> <li>• Enforcing Master Plan regulations</li> <li>• Sanctioning building plans</li> </ul>  |
| <b>Health Department</b>            | <ul style="list-style-type: none"> <li>• Conservancy service</li> <li>• Sanitation facilities</li> <li>• Solid waste management</li> <li>• Other public health duties</li> </ul>   |
| <b>General Administration Dept.</b> | <ul style="list-style-type: none"> <li>• Manage staff postings and transfers</li> <li>• Define staff duties and responsibilities,</li> <li>• Prepare administration reports</li> <li>• Communication between departments and the Council</li> </ul>  |
| <b>Council Department</b>           | <ul style="list-style-type: none"> <li>• Manage records of Council meetings</li> <li>• Records resolutions undertaken by the Council</li> </ul>  |
| <b>Accounts Department</b>          | <ul style="list-style-type: none"> <li>• Manage finances and monitor the use of allocated funds for different schemes</li> <li>• Help in formulation of the budget</li> <li>• Supervising the financial transactions of the city government</li> <li>• Advising the Secretary on all internal financial matters,</li> <li>• Maintain records of financial receipts and expenditure,</li> <li>• Internal audit of all bills for payment, audit clearances,</li> <li>• Preparation of annual financial statements</li> <li>• Preparation of Demand Collection and Balance Statement (DBC)</li> </ul> |
| <b>Revenue Department</b>           | <ul style="list-style-type: none"> <li>• Collecting municipal taxes</li> <li>• Issuing notices for recovery of taxes</li> <li>• Monitoring revenue collections of city governments</li> </ul>  |
| <b>Urban Poverty Alleviation</b>    | <ul style="list-style-type: none"> <li>• It is in the form of Urban Poverty Cell</li> <li>• Administers the state/national schemes on urban poverty</li> </ul>   |



Table: Kochi Municipal Corporation: Elected Officials

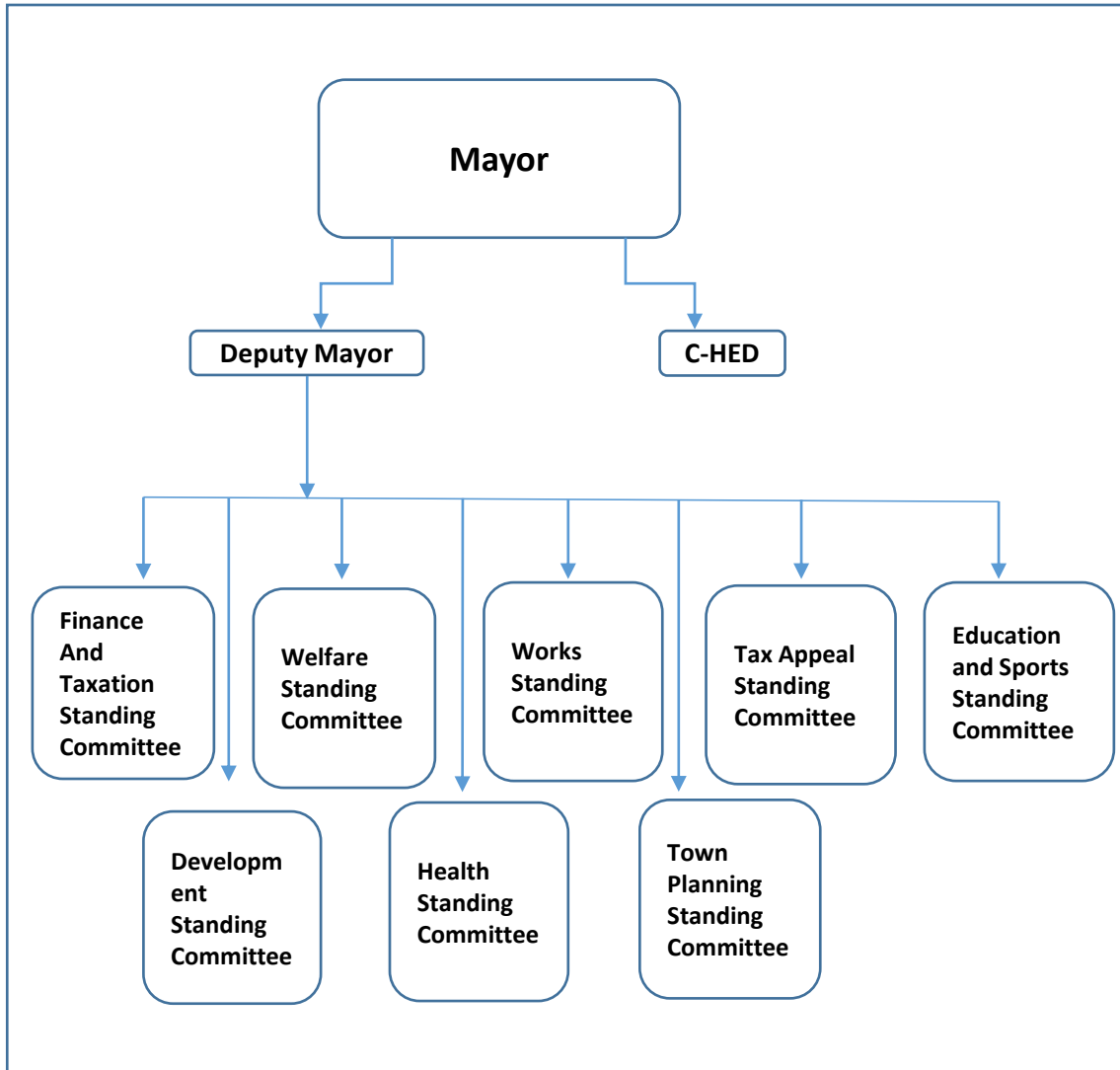
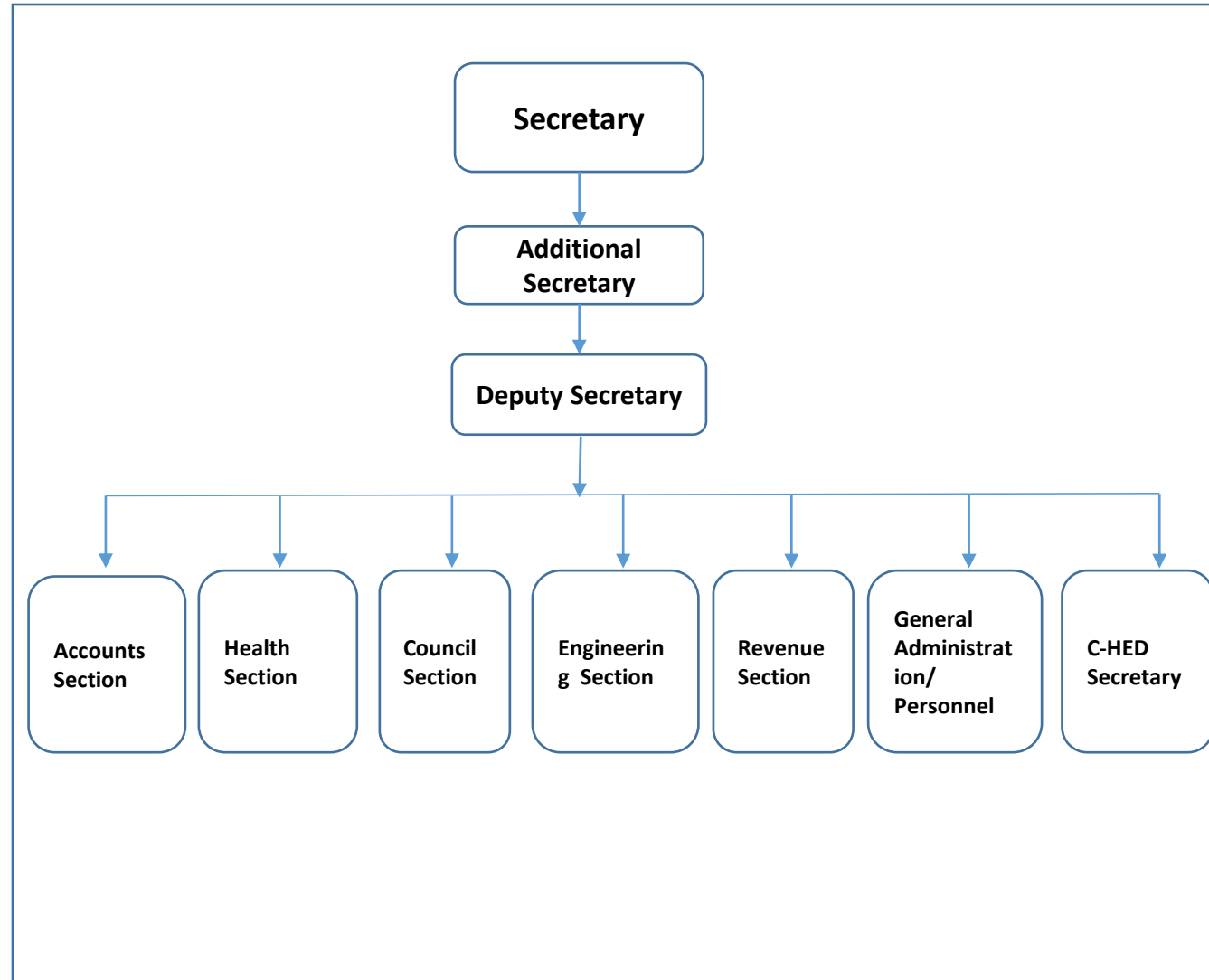


Table: Kochi Municipal Corporation: Administrative Officials/Departments





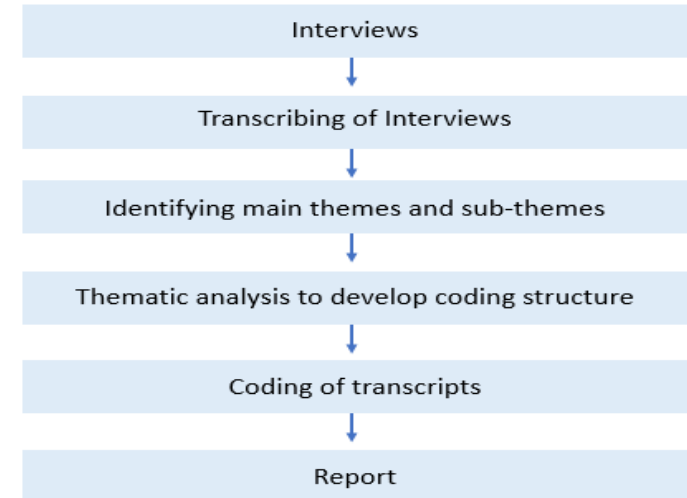
### Objective

The interviews aim to gather evidence on understanding urban governance and development from the view of elected representatives, the city executive and citizens. It explores the relationships between these different groups and identifies the challenges facing Indian cities.

The interviews explore the following themes

1. Governance structures and service delivery;
2. Resources (staff, finance, and skills) available to the Municipal Corporation;
3. Municipal finance and citizen participation.

### Analysis



### Interviews

As second phase of the study, 17 interviews were carried out in Kochi between 17<sup>th</sup> June 2018 to 23<sup>rd</sup> June 2018. The sample included Members of Legislative Assembly (MLAs), city councillors and members of the Executive. The participants were representative of gender and political parties at the state and city level.

The analysis in the next section is based on a sample of 17 participants.

- The interviews were qualitative and the figures indicate the number of people who highlighted a particular issue.
- The percentages shown in the analysis are not mutually exclusive. Participants could have given more than one of the answers.
- The solutions capture the reflections of different respondents, and are not indicative of Praja Foundation's views.

The Interview Questionnaire for MLAs, Councillors and Executive have been added as Annexure.



| Elected Representative | Calculation  | E.g. Ahmedabad | E.g. Bhopal |
|------------------------|--|----------------|-------------|
| No. of MLAs            |  | 16             | 7           |
| No. of councillors     |  | 192            | 85          |
| MLA                    | 10% of total MLAs in the city or a minimum of 2 (whichever is greater)                         | 2              | 2           |
| Councillor             | 10% of the Councillors (or a minimum of 3 Councillors per MLA approached whichever is greater) | 19             | 8           |
|                        | 3 Councillors per MLA approached (or 10% of Councillors whichever is greater)                  | 2 x 3 = 6      | 2 x 3 = 6   |
| <b>Total sample</b>    |  | <b>21</b>      | <b>10</b>   |

- Councillors and MLAs are selected at random. The sample is representative of the gender and party mix.
- Councillors in key positions are approached if they are not covered in the random sample – Mayor/Deputy Mayor, Ward Committee Chair, Standing Committee Chair, Chairs of important statutory committees.
- All Municipal Commissioners are invited to participate + a sample of senior and junior municipal officials selected at random

### STATUS

- Tenure of mayor is 5 years.
- Indirectly elected
- Mayor is head of the corporation
- The commissioner in Kochi is known as Secretary and accountable to council headed by Mayor.
- Earlier the mayor would change every one year, however the state government consciously amended the act to bring in Kerala Municipality Act (1994), to empower the elected head of local bodies.

*"5 years period is good because the mayor can implement, if she is there for a stable period of time she can think of projects, get them implemented."*

MLA

### Levers

- The mayor as the head of the corporation is useful, as she is more connected to local issues.
- Believed if the mayor was not empowered, elections and mandate of the people becomes a futile exercise.
- Believed that the Mayor having a stable 5 year tenure helps in stability of the government and accountability of work.
- Mayor has power to suspend any officials from the service other than secretary in the corporation

### Barriers

- Mayor or deputy mayor cannot recruit officials, engineers whenever required. This puts some constraints on their ability.

### KEY TAKEAWAYS

- **Empowered mayor – Administrative & Executive Powers**
- **Mayor is the head of the corporation**
- **Municipal Stability as mayor's term is for 5 years**

### STATUS

- There are total 74 councillors in Kochi.
- There are around eight standing committees headed by councillor.
- Each councillor of the city is part of particular standing committee.

*"After getting elected, we mainly look after the needs of our particular division. Roadworks, cleaning drainage, removal of waste, etc. These are the fundamental duties of the councillor, looking after the requirements of the people."*

**Councillor**

*"If there is a dispute, it is being discussed in the council and we resolve them. Opposition will bring up issues in council and we will solve them there itself."*

**Councillor**

### Levers

- The Council is a common platform used by all councillors.
- Since every councillor is a member of some standing committee, it allows for active participation of councillors in overlooking specific departments.
- The councillors are available in standing committee offices where they work out of.

*"We have the freedom to ask questions, or ask for interventions from respective Standing Committees, or even directly in the Council. But, I think it is fair to first raise these questions in the Standing Committee, and if they are not redressed, only then go to the Council."*

**Councillor**

Rapport with Administration

- All/100% of the elected representatives and administration said they had good rapport/positive coordination with each other.

### Barriers

- Difficulty in Understanding of the complex administrative processes

### KEY TAKEAWAYS

- **The role of a councillors is to bridge the gap between corporation and citizens.**
- **Councillors look after basic services to be provided to people.**

### STATUS

1. There are total 74 constituencies and 74 ward committees in Kochi which means every ward has ward committee.
2. The ward committees are decentralised at the level of area Sabhas.
3. Ward committee meeting happens once in three months. The mayor can ask for a ward sabha in addition to this.
4. The ward committee meeting in Kochi is held like a Sabha where RWA (residence welfare associations), civil society & other stakeholders participate and express their complaints & recommendations for the development of Wards. This exercise is also popularly referred to as the 'Jankeyasutram' (People's Plan).
5. The plans are submitted by councillors each year, they form as a part of the planned fund given by the state, and these 1 year plan form a part of the 5 year planned fund.

### Levers

- Decentralised platform for people to raise issues and give proposals for the development of their wards.
- RWAs (Residence welfare associations) actively participate in ward committees, and serve as important link with citizen demands

*"There are resident welfare associations people come for the ward sabhas. They come up with development projects, issues that people are facing."*

Councillor

- Whatever plan and proposals are discussed in the ward committee are approved in the meeting by the councillors

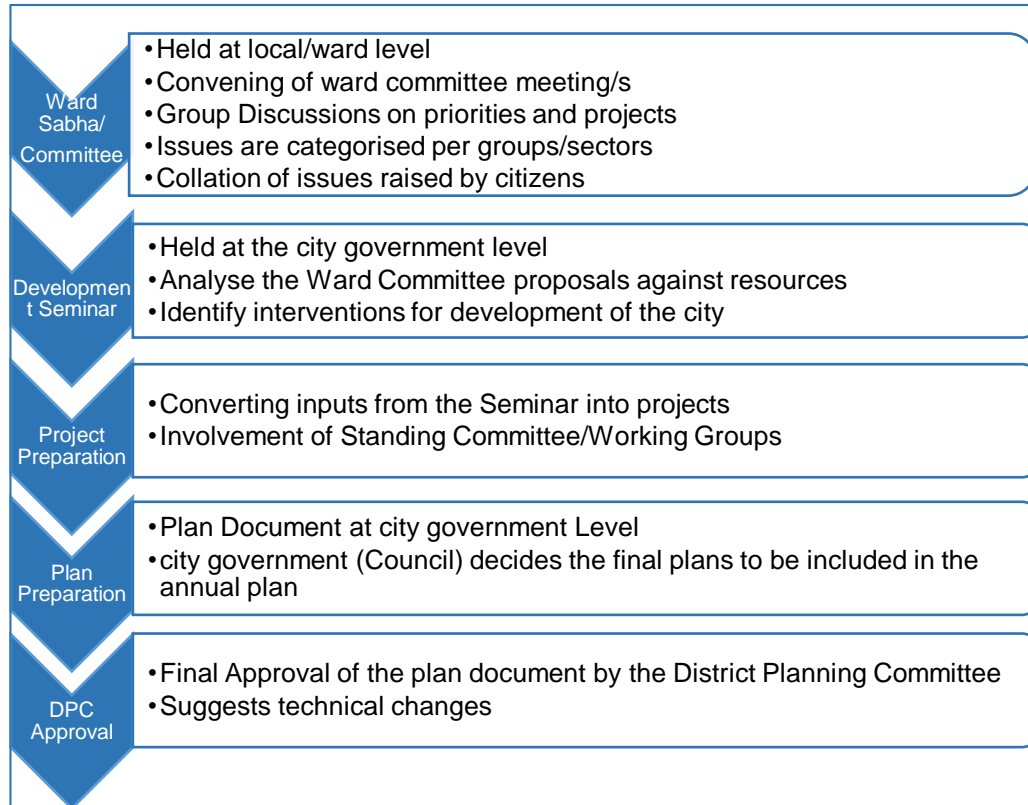
### Barriers

- The corporation does not give the final approval to the Proposals of ward committees through Jankeyasutram. It is DPC (District Planning committee) who is final authority to approve it. It is state government body.

### KEY TAKEAWAYS

- **Ward committees are active in Kochi**
- **Ward committees provide good platform for Public consultation**
- **RWA plays vital role in making people's plan**
- **Mainly local issues are discussed in people's plan**
- **City level vision is lacking**
- **Poor participation of non-RWA citizens**

### Decentralized Planning: People's Plan



#### KEY TAKEAWAYS

- **Good example of Bottom-Top approach**
- **People's suggestions and proposals are taken into consideration**
- **Ward committee does not give final approval and DPC has final say.**

#### STATUS

- Jankeyasutram (People's Plan) is the lowest level at which development plans are initiated. The People's plan campaign was launched in 1996.
- The people's plan campaign anchors six stage planning process undertaken to prepare an annual plan. The stages include: Ward sabhas, development seminars, task forces, plan document, block and district panchayat plans, and, district planning committees.
- The plans are submitted by councillors each year, they form as a part of the planned fund given by the state, and these 1 year plan form a part of the 5 year planned fund.
- However, the corporation does not give the final approval to the Proposals of ward committees through Jankeyasutram. It is DPC (District Planning committee) who is final authority to approve it. It is state government body.

#### Levers

- The People's recommendations and proposals are considered in the development plan.
- Some councillors assured that the plans decided at the ward level are more or less unchanged by the DPC.

*"Whatever plan is discussed and approved in ward sabhas is usually implemented. Usually nothing is cut from people plan by DPC.e Council."*

**Councillor**

#### Barriers

- A critical feedback of this plan is that councillors are often focused on their constituency level projects and issues, and lack a vision for the city at large.

### STATUS

Along with Kochi Municipal corporation there are following agencies involved in service delivery

- KWA (Kerala water authority)
- KSEB (Kerala state electricity board)
- PWD (Public works department)
- TCPO (town and country planning organisation)
- RBDCK( Roads and Bridges Development Corporation of Kerala)

*“We have to coordinate with the agencies. Usually during monsoon, the waterlogging happens so we call for a meeting before the monsoon with all concerned authorities. Then we discuss all issues and solve it. If there are issues, we write and send letters to concerned authority. If they don’t listen to us, then we do approach media as well.”*

Councillor

### Levers

- The mayor plays the role of coordinator on behalf of corporation and calls for meeting with all agencies whenever required.
- Good coordination with state government, regular follow-ups and meetings.
- Whenever necessary councillors directly approach agencies like Kerala Water authority.
- 80% of the administration highlighted that there are regular follow-ups between multiple agencies.

### Barriers

- The officials and councillors mentioned that sometimes there are disputes and corporation face challenges due to multiple agencies.

*“In Kochi, there are two more agencies, for electricity it is KCB and for water it is water supply department. These two agencies should be under local body.”*

Councillor

- Presence of multiple agencies results in delay of work

### KEY TAKEAWAYS

- **There is coordination between Kochi municipal corporation and other agencies**
- **Councillors approach agencies directly whenever necessary**
- **Mayor acts as a nodal officer and calls for meeting among agencies**

### Barriers

#### STATUS

- Smart city mission is ongoing urban reform in Kochi
- Kochi is a part of the smart city mission, an SPV has been created.
- The Mayor and the municipal secretary are on the SPV board as representatives of the corporation.

*"The smart city is good project. But in smart cities mission the proposals are coming from the top. In the smart cities mission committee only mayor and secretary are there. Few more elected members should be there. The local body should have significant role in the any project since it is democratic country."*

Councillor

#### SPV - decision making process

- 33% 1 in every 3 elected representatives believed that the corporation had no say in the decisions made by the SPV under the smart city mission

*"The smart city project is being directly governed by the state government, the corporation has got hardly any role in that."*

MLA

- While the mayor and secretary have been included in the planning process, the projects chosen and their implementation is largely decided by the CEO and the rest of the SPV members who are usually senior IAS officers having served positions like chief secretary, urban development- principal secretary.

#### Focus on only few wards

- A handful of 5-6 wards have been selected to implement smart city projects which has caused resentment amongst other elected representatives.

*"The smart city only concerns with about 5-7 divisions, therefore only 5-6 councillors are concerned with the project, and the other councillors are aggrieved. Their divisions are getting some 100 crores while the others are not getting anything"*

MLA

#### SPV not accountable to councillors or Public

- Councillors from wards feel their demands & proposals are not considered as SPV is not accountable to them.
- Have experimented similar resentment with the AMRUT mission where the hyper-steering committee did not include projects based on local demands.

#### KEY TAKEAWAYS

- SPV has become parallel body to the corporation
- SPV is directly governed by State government
- SPV is not accountable to the Corporation.
- Local demands are not taken into consideration-Public consultation does not take place



### STATUS

- Recruitment authority is with the state government under the urban director. State approval required for hiring including contractual employees.
- Two Executive Engineers control three Zonal Officers, and each Zonal Officer is assisted by one Assistant Executive Engineer.
- Each Assistant Executive Engineer leads 2-3 Assistant Engineers, and each of them oversee 2-3 Building Inspectors.
- clerical wing has Lower Division Clerks, Upper Division Clerks, and Superintendent.
- Their administrative control is under the Additional Secretary of the Corporation, and duty allocation is under Superintending engineer

*“The staff is recruited by the state government. We don't have authority to hire staff, the final approval is the with the state government. Sometimes we feel it is not decentralisation rather centralisation.”*

Councillor

*“There is a lack of manpower, it is very difficult to supply services to the citizens, we are not satisfied with our service. In every division there is insufficient manpower. Our staff strength was formulated 10 years back. There are no vacancies, we do not have enough sanctioned strength that's the problem”*

Admin

### KEY TAKEAWAYS

- Lack of sufficient manpower affecting efficient service delivery
- Corporation has no authority to recruit staff and dependent upon state government
- There is lack of skilled staff and experts in the corporation

### Barriers

#### Shortage of staff

- The Municipal corporation of Kochi is facing challenges when it comes to the manpower to carry out delivery of services.
- 89% of the elected representatives and 60% of the administration, highlighted the issue of inadequate manpower.
- There is particular shortage of health officers followed by engineering department. Some wards don't have health inspectors due to which officials feel there is overburden of work.

#### Insufficient sanctioned positions

- Vacancies are not the only issue, the sanctioned strength itself is inadequate.
- Even if there are vacancies, corporation can't fill vacancies without approval from urban director of state government as recruitment authority is with the state government.
- Also, the IT positions are contract based and there is no IT officer on full time role with the city governments.

*“Manpower is insufficient in the sense that one AEE (Assistant Executive Engineer) has to look after 11 divisions, thus his/her availability is low whenever councillors need AEE to do work in their division.”*

Councillor

#### Regular transfers

- Another issue pointed out by officials and councillors is that officers are being transferred often which affects efficiency in providing services.

#### Old staffing norms

- The old staffing norms of 1967 are followed. Also, at that time there were only 23 wards and now there are 100 wards for the same staff.

#### Underqualified Staff

- Underqualified staff has been hired, i.e. existing health officers are not always MBBS although vacancy is for MBBS doctor. Similarly there is no chief accountant and Urban planner in the corporation. The civil engineers are currently playing the role.
- As per Administration's perspective, there is lack of skilled staff. Training is not given on a regular basis.

#### Lack of Positive Approach towards work

- Staff does not act as trouble-shooter, which is why productivity is less.
- It was believed that officials need moral training about positive approach and attitude towards the service delivery.

1. Need for revising the manpower and estimation of Strength.
2. Need of Qualified and experienced staff as per requirement.
3. Capacity building and regular training is required.



### STATUS

- Total budget is about 970 crores, around 500 crores, is the corporations own revenue, rest is dependent on state grants and aids.
- Under the People's plan campaign, 35% of the plan resources are earmarked for local bodies.
- Councillors get 50-60 lakhs per year as development of ward called as 'division fund'.
- In addition there is general fund, in case of big project or emergency councillors can apply for it.
- Each standing committee prepares estimates of the budget with the help of administrative departments that come under it. Secretary gives proposal to finance committee based on recommendations
- The Deputy Mayor heads the standing committee on finance, which decides the priorities of the city budget. The budget is presented to the council by the Deputy Mayor.
- Council gives final approval to budget
- The property tax, Professional tax, licensing & Building on rent are the major sources of revenue for Kochi municipal corporation
- Tied funds under national/state schemes with limited scope to alter as per city needs

### Levers

#### Councillors participation

- Councillors are able to participate in budget making process and can give suggestions through their standing committee and raise objections in the council as well.

*"Usually standing committee chairperson gives proposals. As a councillor we can also give proposals and suggestions to the standing committee."*

Councillor

### Barriers

#### Budget Adequacy

- There was mixed opinion on adequacy of budget. Many mentioned that resources are getting lower and lower whereas very few were ok with the budget.
- Councillors noted that grant given by the state are not adequate.

*"The budget has no connection with actual realities, all of it is just estimates. We expect something regarding revenues and expenditures, but that is never sufficient or satisfactory for any institution, even for families, leave alone the Corporations."*

Councillor

### KEY TAKEAWAYS

- **Budget is inadequate**
- **Dependency on State Government for funds**
- **Public participation in budget making does not take place.**



### STATUS

- The property tax, Professional tax, licensing & Building on rent are the major sources of revenue for Kochi municipal corporation
- As per the act, city governments can modify the rate of property tax levied after getting approval from the municipal council. However, the lower and upper limit of the tax are fixed by the Act.
- Approximately 35% of Kerala State government planned resources earmarked for local bodies, amounting to almost 1500 crores, which is given to the corporation.

*“Currently state government has control over deciding tax & service rates. Every corporation should be able to stand by their own. There should not be dependency on the state government. Corporation should be given more control.”*

**Councillor**

*“Corporation should be given independent decision making powers, they should be able to decide, without state government’s approval”*

**Councillor**

### Barriers

#### Control over tax rates

- 89% of the elected representatives highlighted that control of corporation over deciding the tax and service rates was limited, and it was largely state controlled

#### Revision of taxes & sources

- There was a opinion amongst corporation members that taxes like property tax should be reviewed. Last revision took place in 1992.
- In 2011, there was order to revise the tax rates, however there were political differences at state.

#### Increase in corporation expenditure

- Officials feel that corporation income has not changed significantly over a period of time whereas administration expenses, project costs and other expenditures have increased rapidly.

#### Inefficiency in Revenue collection

- Elected representatives believe that revenue is not collected efficiently.
- Proper assessment of many building is lacking as same property tax is being collected from some residential and commercial usage.
- According to councillors, all shops need to renew license every year

*“The area for getting revenue is unlimited for the corporation. The problem is they are not collecting efficiently. There are so many buildings from which they collect property tax, but they are not properly assessed. If Rs.100 has to be collected they collect only Rs.35-25.”*

**MLA**

#### Impact of GST

- There was resentment amongst councillors and officials about entertainment and advertisement tax that were taken away from corporation due to GST.

### KEY TAKEAWAYS

- State government has control over deciding tax and service rates
- No revision of Tax rates since long time
- Revenue collection is not done efficiently by the Municipal corporation
- Revenue collection has not increased in the proportion of corporation Expenditure

### STATUS

- Citizen participation is attempted through the 'Jankeyasutram'
- There is an online complaint forum as well.
- Kudumbashree workers voluntarily works as waste collector in the solid waste management .
- Kudumbashree is a community network that covers the entire Kerala.
- Kudumbashree workers get wage rages from 100-250 monthly from each household based on how much waste is collected

*"There is no system, but people know they can directly contact us. We take around 100 calls a day. The citizen need not come here and complain, all councillors are easily accessible and responsible."*

Councillor

### Levers

- Effectively done through the peoples plan component. Utilize the peoples plan to even prioritize distribution of public welfare schemes by state.
- Resident welfare associations, and Kudumbashree are useful means through which the councillors involve citizens.
- Kudumbashree programme provides platform to poor women for their empowerment and poverty eradication.
- Public grievance system available for online complaints, forwarded to concerned officers, however receive only 25-50 complaints/day

### Barriers

- No active participation of people who are not part of RWA or any associations
- No central complaint mechanism, councillors see themselves as a medium of complaint, and find it useful this way, as they can sustain their voters.

*"Only 50% marks can be given to the "people's plan". The plan is not fully practical as envisaged in the Act, People are not interested, that's the problem. When it was implemented, in villages people used get some gifts or incentives to attend, but you can't keep encouraging like that."*

MLA

### KEY TAKEAWAYS

- **Ward committees provide platform for people to take part in city governance**
- **Jankeyasutram (people's plan) is taken into consideration**
- **People not linked with any associations hardly participate**



## Annexure 1: City structure and governance status (1/2)

| Reform Areas             | Kochi  | Status in other cities  |
|--------------------------|--|---|
| Interviews Conducted     | <ul style="list-style-type: none"><li>31 total including 11 ER, 17 Executive and 2 CSO</li></ul>   | <ul style="list-style-type: none"><li>Total 86 including in Mumbai, Delhi, Bhopal, Kolkata and Udaipur</li></ul>  |
| <b>Governing Acts</b>    | <ul style="list-style-type: none"><li>Kerala Municipality Act 1994</li></ul>   | <ul style="list-style-type: none"><li>Different acts for different states, cities.</li></ul>  |
| <b>Service Delivery</b>  | <ul style="list-style-type: none"><li>15 of the 18 functions devolved. Fire and Water services as well as Urban Forestry not with city governments. But in practice, devolution in many of these functions isn't complete.</li></ul> | <ul style="list-style-type: none"><li>All functions have been devolved in Mumbai &amp; Bhopal</li></ul>   |
| <b>Municipal Finance</b> | <ul style="list-style-type: none"><li>Budget is adequate. However, revenue collection has impacted due to withdrawal of Advertisement &amp; Entertainment Tax from State due to GST.</li><li>Dependency on state.</li></ul>          | <ul style="list-style-type: none"><li>Mumbai- Budget is adequate rather there is underutilisation of the funds.</li><li>Advertisement &amp; Entertainment Tax given to city government in Bhopal after GST.</li></ul>   |
| <b>Mayoral System</b>    | <ul style="list-style-type: none"><li>Standing committee system. Indirectly elected but Empowered Mayor- has executive powers.</li><li>Tenure of 5 Years.</li></ul>  | <ul style="list-style-type: none"><li>Bhopal and Kolkata have Mayor in council system.</li><li>Directly elected mayor in Bhopal and Mayor has financial powers can approve projects worth 5 crores.</li><li>Right to recall of an elected mayor in Bhopal</li></ul> |



|   | Kochi   | Status in other cities  |
|---|---|---|
| <b>Multiple Agencies</b>                  | <ul style="list-style-type: none"><li>• KWA (Kerala water authority), KSEB (Kerala state electricity board) PWD (Public works department),</li><li>• TCPO (town and country planning organisation).</li><li>• RBDCK( Roads and Bridges Development Corporation of Kerala).</li><li>• Sometimes coordination is a problem.</li></ul> | <ul style="list-style-type: none"><li>• Multiple agencies are creating problems for efficient service delivery in cities like Mumbai, Delhi, Bhopal, Kolkata &amp; Udaipur.</li><li>• Bhopal is working towards making unified body which will have control over all functions. Proposal has been given to the state.</li></ul> |
| <b>Urban Reforms (smart city mission)</b> | <ul style="list-style-type: none"><li>• Participated in the mission. Corporation does not have control over it.</li><li>• Mayor and secretary are member of SPV.</li><li>• Councillors are unable to give proposals</li><li>• SPV- Cochin smart mission limited.</li></ul>  | <ul style="list-style-type: none"><li>• In Udaipur, Commissioner is CEO and Mayor is vice chairman of SPV Board.</li><li>• The corporation has control over the SPV.</li></ul>  |
| <b>Citizen participation</b>              | <ul style="list-style-type: none"><li>• Ward Sabhas are conducted once in three months. People raise their issues and give proposals.</li></ul>   | <ul style="list-style-type: none"><li>• No ward sabhas in other cities like Mumbai, Delhi, Kolkata.</li><li>• Public consultation is lacking.</li></ul>   |



## Annexure 2: Mapping of 74<sup>th</sup> constitutional Amendment functions (1/3)

| Sr. No. | Functions  | Delhi  | Mumbai   | Kochi  | Bhopal  |
|---------|--|--|--|--|---|
| 1       | <b>Urban planning including town planning.</b>                       | <ul style="list-style-type: none"> <li>Urban planning is done by the Delhi Development Authority (DDA) but, with the extension of the 74th Amendment, it will devolve to the municipalities, ward committees, and later, to the local urban bodies.</li> </ul>   | <ul style="list-style-type: none"> <li>MMRDA, MHADA (Maharashtra Housing And Urban Development Authority) and MSRDC (Maharashtra State Road Development Corp) with different agencies oversee urban planning. Town planning and zoning laws barely exist in Mumbai, one of the most populous global cities.</li> </ul> | <ul style="list-style-type: none"> <li>TCPO. KMC has the ownership of the Masterplan but they don't design it. They enforce its regulations. They also don't have a Town Planner position on their rolls.</li> </ul> | <ul style="list-style-type: none"> <li>Town and Country Planning Office; Development Authority: Capital Project Administration (Bhopal); DUDA; BMC</li> </ul> |
| 2       | <b>Regulation of land-use and construction of buildings.</b>         | <ul style="list-style-type: none"> <li>In Delhi the formulation of the land use pattern and building byelaws is left to the DDA, and Municipality is only the executor.</li> </ul>   | <ul style="list-style-type: none"> <li>MMRDA (Mumbai Metropolitan Region Development Authority) oversees regulation of land use and construction of buildings</li> </ul>   | <ul style="list-style-type: none"> <li>TCPO. City government has the power to sanction building plan approvals.</li> </ul>   | <ul style="list-style-type: none"> <li>TCPO; High rise committee for multi storey buildings: Development Authorities; MP Housing Board</li> </ul>             |
| 3       | <b>Planning for economic and social development</b>                  | <ul style="list-style-type: none"> <li>Municipalities have never planned for generation of employment. Empowering them for economic development would require greater funding.</li> </ul>  | <ul style="list-style-type: none"> <li>Task remains with state government. MCGM has partial or no say. Overseen by MMRDA and SRA</li> </ul>  | <ul style="list-style-type: none"> <li>City government; DPC; Ward Committees;</li> </ul>   | <ul style="list-style-type: none"> <li>DUDA; BMC</li> </ul>   |
| 4       | <b>Roads and bridges.</b>  | <ul style="list-style-type: none"> <li>The roads and bridges are generally constructed by the Public Works Department in most States</li> </ul>  | <ul style="list-style-type: none"> <li>Overseen by MCGM</li> </ul>   | <ul style="list-style-type: none"> <li>City government. Roads and Bridges Development Corporation of Kerala (RBDCK)</li> </ul>   | <ul style="list-style-type: none"> <li>PWD; City governments; Traffic Police</li> </ul>   |
| 5       | <b>Water supply for domestic, industrial and commercial purposes</b> | <ul style="list-style-type: none"> <li>The Delhi Jal Board is the responsible agency in Delhi. It is responsible for the functions of water supply, sewerage and sewage disposal and drainage within the National Capital Territory of Delhi. Giving the power to the Municipality would mean curtailing the independence of Board.</li> </ul> | <ul style="list-style-type: none"> <li>Overseen by MCGM</li> </ul>   | <ul style="list-style-type: none"> <li>Kerala Water Authority.</li> </ul>  | <ul style="list-style-type: none"> <li>Water Dept.; BMC for O&amp;M</li> </ul>  |



## Annexure 2: Mapping of 74<sup>th</sup> constitutional Amendment functions (2/3)

| Sr. No. | Functions   | Delhi   | Mumbai   | Kochi  | Bhopal   |
|---------|---|---|--|--|--|
| 6       | <b>Public health, sanitation conservancy and solid waste management.</b>                  | Primarily done by the municipalities.   | Overseen by MCGM   | <ul style="list-style-type: none"> <li>City government; State health department</li> </ul>         | <ul style="list-style-type: none"> <li>BMC for SWM; PHED</li> </ul>                        |
| 7       | <b>Fire services</b>  | Largely taken care of by the Fire Service Department, which is under the Delhi Government.  | Overseen by MCGM   | <ul style="list-style-type: none"> <li>Kerala Fire and Rescue Services</li> </ul>                  | <ul style="list-style-type: none"> <li>BMC</li> </ul>                                      |
| 8       | <b>Urban forestry, protection of the environment and promotion of ecological aspects.</b> | Primarily done through the Department of Environment of Delhi Government.   | Overseen by MMR and MCGM   | <ul style="list-style-type: none"> <li>Forest and Wild life department. City government</li> </ul> | <ul style="list-style-type: none"> <li>Forest Dept. and BMC; Biodiversity Board</li> </ul> |
| 9       | <b>Slum improvement and upgradation</b>   | Primarily done by the Municipality under a separate wing called Slum and JJ Wing of MCD headed by an additional commissioner but in Delhi it is also done by DDA. | Primarily done by Slum rehabilitation authority (SRA), MHADA and MMRDA | <ul style="list-style-type: none"> <li>City government</li> </ul>                                  | <ul style="list-style-type: none"> <li>Dept. of Social Justice; BMC</li> </ul>             |
| 10      | <b>Urban poverty alleviation</b>  | This is done through the central and state government Ministry  | This is done through the central and state government Ministry         | <ul style="list-style-type: none"> <li>Kudumsree. City governments</li> </ul>                      | <ul style="list-style-type: none"> <li>BMC; Slum Clearance Board was dissolved</li> </ul>  |
| 11      | <b>Provision of urban amenities and facilities such as parks, gardens, playgrounds</b>    | Primarily taken care of by municipalities   | Overseen by MCGM   | <ul style="list-style-type: none"> <li>Kudumsree. City governments</li> </ul>                      | <ul style="list-style-type: none"> <li>BMC</li> </ul>                                      |
| 12      | <b>Burials and burial grounds; cremations, cremation grounds</b>                          | Municipalities have to maintain these.  | Overseen by MCGM   | <ul style="list-style-type: none"> <li>City government</li> </ul>                                  | <ul style="list-style-type: none"> <li>BMC</li> </ul>                                      |
| 13      | <b>Cattle pounds; prevention of cruelty to animals</b>                                    | Municipalities have to maintain these.  | Overseen by MCGM   | <ul style="list-style-type: none"> <li>City government</li> </ul>                                  | <ul style="list-style-type: none"> <li>Education Department; Culture Dept.; BMC</li> </ul> |



## Annexure 2: Mapping of 74<sup>th</sup> constitutional Amendment functions (3/3)

| Sr. No. | Functions  | Delhi  | Mumbai   | Kochi           | Bhopal   |
|---------|--|--|--|-----------------|--|
| 14      | <b>vital statistics including street lighting, parking lots, bus stops</b>                                       | The district administration and Municipalities have to maintain the records.   | Overseen by MCGM   | City government | BMC  |
| 15      | <b>Regulation of slaughter houses and tanneries</b>  | Municipalities have to maintain these.   | Overseen by MCGM   | City government | BMC, Animal Husbandry  |
| 16      | <b>Safeguarding the interests of weaker sections of society, including the handicapped and mentally retarded</b> | Department of Social Welfare of Delhi Government and Ministry of Social Welfare of Government of India makes provisions and plans. | Overseen by Social justice and special assistance department- Govt. of Maharashtra and Ministry of Social Welfare of Government of India | City government | BMC  |
| 17      | <b>Promotion of cultural, educational and aesthetic aspects.</b>   | DDA and MCD together ensure its maintenance.   | Overseen by Ministry of cultural affairs- Maharashtra and MCGM   | City government | BMC, Ujjain City Transport Services Limited (UCTSL); Bhopal City Link Limited (BCLL) |
| 18      | <b>Public amenities including street lighting, parking lots, bus stops and public conveniences.</b>              | Municipalities have to maintain these.   | Overseen by MCGM   | City government | UDHD; BMC; Pollution Control Board   |



### Organisational Setup and Service Delivery:

*(Questions applicable for MLA as well)*

#### **I. Role**

- a) How would you define your role as *\*Councillor\** (changes depending on the respondent)?
- b) What would you say are your key responsibilities?
- c) What do the citizens see your responsibility as Councillor/MLA/Administrator?
- d) Are you a part of any statutory committee?
- e) What would you see your role as a member of the said committee?
- f) What are the challenges you face as being a member of the ruling/opposition party? *If in opposition, Is the corporation forum a hurdle or the approach of the bureaucracy?*

#### **II. Service delivery**

- a) Pick one service that you believe the municipal corporation has successfully delivered, and one where it has faced significant challenges.
- b) Why was the delivery of the *\*xx\** service a success?
- c) What mechanism is working to make the service a success? (Probe whether it's the funding priority or the manpower efficiency)
- d) Pick one service that you believe the municipal corporation has faced significant challenges
- e) What challenges do you think the corporation faced and
- f) how did they overcome this to make it a success?

#### **III. Monitoring**

*(Following Questions are not applicable for MLA's)*

- a) How do you to monitor the delivery of schemes, raise issues, and hold the administration to account?
- b) (Did you raise questions in the house? Did you ask for a report? Raise issues at Ward Committee? do you make use of the Municipal Secretary department?)
- c) How do you monitor performance and track the progress of the issued raised? Do you receive reports (audits, data etc.), from the administration?
- d) What is the frequency of these reports?  
A: Daily; B: Weekly; C: Monthly D: Quarterly; E: Biannually; F: Annually
- e) Do you use these reports to raise questions? Y/N
- f) How is your rapport with the administration?



### IV. External agencies

- a) What other agencies/departments were involved in the delivery of these services? (Give a list of agencies/departments)
- b) Why is the process of delivering this service complicated?
  - a) Because of the involvement of agencies
  - b) Because of the lack of leadership
  - c) Lack of Accountability
  - d) Poor communication between agencies
- c) Do you see yourself as having a role in improving the communication between the agencies?
- d) Do you/they hold regular meetings to ensure that its being done?
- e) Who organises it, at what level are they organised?
- f) Is there an escalation process of passing the work, if you face challenges?
- g) When state projects are sanctioned in your constituency do you have a say in the decision making process? Y/N
- h) How do you monitor whether the benchmarks are being met?
- i) (If the city is under Smart City Mission) What is the role and nature of the Special Purpose Vehicle?
- j) What are the key responsibilities of the SPV?
- k) What members of the corporation are a part of the SPV project?
- l) What is your opinion/evaluation on the SPV of the Smart city mission?

### v. Resources:

- a) Do you believe that the corporation has adequate resources in terms of manpower and tools to carry out delivery of services?
- b) Do you believe the municipal staff who work in your jurisdiction have the adequate skills to carry out their functions? (Very Poor/Poor/Average/Good/Very Good/Excellent)
- c) Do you think there is requirement for capacity building of corporation employees?
- d) Do you as a councillor have adequate resources in terms of the following to monitor the delivery of schemes, raise and understand issues, and hold the administration to account?
- e) Do you hire your own staff to support you in carrying out your responsibilities?
- f) If yes, how do you fund hiring your own staff? (Do you fund out of your own pocket (10,000 honorarium) or does the party fund it?)



### VI. Municipal Finance:

- a) What do use your councillor/MLA/MP fund for?
- b) How did you go about deciding where to use this fund?
- c) How did you decide whether it should be funded from your fund or the administration core/sanctioned budget?
- d) Are you able to participate in the budgeting process of the Corporation?
- e) At what level are you able to participate in the budget making process?
- f) Who decides the priorities of the corporation for budgeting?
- g) Does the corporation have adequate budget?
- h) Do you believe it is being utilized?
- i) What are the major sources of revenue, which is the highest source of revenue?
- j) What are the other potential sources of revenue collection?
- k) Is the corporation mostly dependent on the state government for finances?
- l) How much control does the corporation have over deciding the tax and service rates?
- m) What are your views on providing municipal governments with more control over the way they spend their funds?
- n) Are you aware of the State Finance Commission? Whether the reports of the SFC are taken into consideration while reviewing corporation financial powers?
- o) Are recommendations implemented?
- p) What is your opinion on Goods and Services Tax, has it affected municipal finance?

### VII. Citizen Participation

- a) How regularly do you meet citizens in your constituency?
- b) How do citizens approach you- email/phone calls/letters/ in-person?
- c) What is the one service or issue that citizens are most likely to approach you for?
- d) Are you able to direct citizens to the concerned authority, or do you deal with the administration in your own capacity?
- e) Is there is grievance/complaint redressal mechanism where citizens can complaint directly to the administration/corporation?
- f) Do you think citizens are aware about this?



### **VIII. Evaluation of Municipal Government:**

*(Following Questions are applicable for MLA's)*

- a) What is the biggest challenge you face in office?
- b) What would you change in the current system to make it work better?
- c) The balance of responsibilities between the administrative wing and the elected wing?
- d) What is your opinion on mayoral system of your city? Should the mayor have more powers? What are your opinions on mayor in council?
- e) Are you aware about the 74<sup>th</sup> amendment?
- f) Can you name one function under the 74<sup>th</sup> amendment that has been devolved to your satisfaction?
- g) Can you name one function in particular that has not been devolved to your satisfaction?



## Annexure 4: Interview Questionnaire for City Executive

### ***I. Role***

a) How would you define your role as \*Municipal Commissioner\*?

### ***II. Service delivery***

a) Pick one service that you believe the municipal corporation has successfully delivered, and one where it has faced significant challenges.

b) Why was the delivery of the \*xx\* service a success?

c) What mechanism is working to make the service a success? (Probe whether it's the funding priority or the manpower efficiency)

d) Pick one service that you believe the municipal corporation has faced significant challenges

e) What challenges do you think the corporation faced and

f) how did they overcome this to make it a success?

### ***III. Monitoring***

a) How often do you share updates on the delivery of services with municipal councillors?

b) Do councillors approach you for additional data or reports?

c) How is your rapport with the councillors?



### **IV. External agencies:**

- a) What other agencies/departments were involved in the delivery of these services? (Give a list of agencies/departments)
- b) Why is the process of delivering this service complicated?
  - a) Because of the involvement of agencies
  - b) Because of the lack of leadership
  - c) Lack of Accountability
  - d) Poor communication between agencies
- c) Do you see yourself as having a role in improving the communication between the agencies?
- d) Do you/they hold regular meetings to ensure that its being done?
- e) Who organises it, at what level are they organised?
- f) Is there an escalation process of passing the work, if you face challenges?
- g) When state projects are sanctioned in your area/ that affect your department do you have a say in the decision making process?
- h) Once the project is sanctioned, how do you monitor whether the benchmarks are being met?
- i) When projects are delayed or cost overruns happen, are you able to hold responsible authorities accountable?
- j) (If the city is under Smart City Mission) What is the role and nature of the Special Purpose Vehicle?
- k) What are the key responsibilities of the SPV?
- l) What members of the corporation are a part of the SPV project?
- m) What is your opinion/evaluation on the SPV of the Smart city mission?

### **V. Resources:**

- a) Do you believe that the corporation has adequate resources in terms of manpower and tools to carry out delivery of services?
- b) Do you believe the municipal staff who work in your jurisdiction have the adequate skills to carry out their functions? (Very Poor/Poor/Average/Good/Very Good/Excellent)
- c) Do you think there is requirement for capacity building of corporation employees?



### **VI. Municipal Finance:**

- a) Are you able to participate in the budgeting process of the Corporation?
- b) At what level are you able to participate in the budget making process?
- c) Who decides the priorities of the corporation for budgeting?
- d) Does the corporation have adequate budget?
- e) Do you believe it is being utilized?
- f) What are the major sources of revenue, which is the highest source of revenue?
- g) What are the other potential sources of revenue collection?
- h) Is the corporation mostly dependent on the state government for finances?
- i) How much control does the corporation have over deciding the tax and service rates?
- j) What are your views on providing municipal governments with more control over the way they spend their funds?
- k) Are you aware of the State Finance Commission? Whether the reports of the SFC are taken into consideration while reviewing corporation financial powers?
- l) Are recommendations implemented?
- m) What is your opinion on Goods and Services Tax, has it affected municipal finance?

### **VII. Citizen Participation:**

- a) Is there is grievance/complaint redressal mechanism where citizens can complaint directly to the administration/corporation?
- b) Do you think citizens are aware about this?
- c) Are councillors able to communicate the citizen grievances to you, to improve delivery of service?

### **VIII. Evaluation:**

- a) What is the biggest challenge you face in office?
- b) What would you change in the current system to make it work better?
- c) The balance of responsibilities between the administrative wing and the elected wing?
- d) What is your opinion on mayoral system of your city? Should the mayor have more powers? What are your opinions on mayor in council?
- e) Are you aware about the 74<sup>th</sup> amendment?
- f) Can you name one function under the 74<sup>th</sup> amendment that has been devolved to your satisfaction?
- g) Can you name one function in particular that has not been devolved to your satisfaction?



# Annexure 5: Operational Plan for Urban Governance Project

Of the 5 phases, Praja has completed the research and interviews in Phase I, II and will initiate consultations in January 2019



|                   | 2018   |                   |                   |                     |                     | 2019                           |                                       |                    |   |                                    |  |                    |   |                       |                  |                    |                   | 2020   |                    |                        |
|-------------------|--|-------------------|-------------------|---------------------|---------------------|--------------------------------|---------------------------------------|--------------------|---|------------------------------------|--|--------------------|---|-----------------------|------------------|--------------------|-------------------|--|--------------------|------------------------|
|                   | Aug  | Sep               | Oct               | Nov                 | Dec                 | Jan                            | Feb                                   | Mar                | Apr   | May                                | Jun  | Jul                | Aug   | Sep                   | Oct              | Nov                | Dec               | Jan  | Feb                |                        |
| <b>Research</b>   | Completed Delhi<br>Maharashtra<br>Kerala,<br>MP,<br>West Bengal<br>Rajasthan | Gujarat<br>Goa    | Haryana<br>Punjab | Andhra<br>Karnataka |                     | Sikkim,<br>Arunachal,<br>Assam | Tamil<br>Telangana                    | Nagaland           | Tripura,<br>Mizoram +<br>Meghalaya<br>Manipur | Chhattisgarh<br>Bihar              | Jharkhand,<br>Orissa                         | UP<br>JK           | HP<br>Uttrakhand  |                       |                  |                    |                   |  |                    |                        |
| <b>Interviews</b> |  |                   | Gujarat<br>Goa    | Haryana<br>Punjab   | Andhra<br>Karnataka |                                | Sikkim,<br>Arunachal,<br>Assam        | Tamil<br>Telangana |   | Tripura,<br>Mizoram +<br>Meghalaya | Manipur<br>Nagaland<br>Chhattisgarh<br>Bihar |                    | Jharkhand,<br>Orissa                                      | UP<br>JK              | HP<br>Uttrakhand |                    |                   |  |                    |                        |
| <b>Reports</b>    |  | Phase I<br>states |                   |                     |                     | Phase II<br>states             |                                       |                    | Phase III<br>states                           |                                    |  | Phase IV<br>states |   |                       |                  |                    | Phase V<br>states |  |                    |                        |
| <b>State</b>      |  |                   |                   |                     |                     | Rajas,<br>Kerala,<br>MP<br>WB  | Gujarat<br>Goa<br>Andhra<br>Karnataka | Haryana<br>Punjab  |   | Sikkim,<br>Arunachal,<br>Assam     | Tamil<br>Telangana                           |                    | Tripura,<br>Mizoram +<br>Meghalaya<br>Manipur<br>Nagaland | Chhattisgarh<br>Bihar |                  |                    |                   | Jharkhand,<br>Orissa<br>UP<br>JK<br>HP<br>Uttrakhand |                    |                        |
| <b>Regional</b>   | Completed<br>1 <sup>st</sup> Round<br>Table in Apr                           |                   |                   |                     |                     |                                | 2 <sup>nd</sup> RT                    |                    | 3 <sup>rd</sup> RT                            |                                    |  | 4 <sup>th</sup> RT |   |                       |                  | 5 <sup>th</sup> RT |                   |  | 6 <sup>th</sup> RT | National<br>Convention |

Legend

|         |          |           |          |         |
|---------|----------|-----------|----------|---------|
| Phase I | Phase II | Phase III | Phase IV | Phase V |
|---------|----------|-----------|----------|---------|