



ANNUAL SURVEY OF INDIA'S CITY-SYSTEMS

2014

SHAPING INDIA'S URBAN AGENDA





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Abbreviations

Ahd	Ahmedabad
ASICS	Annual Survey of India's City-Systems
Bho	Bhopal
Bhu	Bhubaneswar
Blr	Bangalore
CAG	Comptroller and Auditor General of India
Capex	Capital Expenditure
Chd	Chandigarh
Che	Chennai
CPL	Community Participation Law
Deh	Dehradun
Del	Delhi
ELPR	Empowered and Legitimate Political Representation
FRBM	Fiscal Responsibility and Budget Management
GIS	Geographical Information System
GLA	Greater London Authority
Hyd	Hyderabad
JnNURM	Jawaharlal Nehru National Urban Renewal Mission
Jpr	Jaipur
Kol	Kolkata
Kpr	Kanpur
Lck	Lucknow
Lon	London
Lud	Ludhiana
MA	Metropolitan Area
MC	Municipal Corporation
MPC	Metropolitan Planning Committee
Mum	Mumbai
NUSPD	National Urban Spatial Planning & Development Guidelines
NYC	New York City
Pat	Patna
PDL	Public Disclosure Law
PPP	Public-Private Partnership
Pun	Pune
Rai	Raipur
Ran	Ranchi
RTI	Right to Information
SARC	Second Administrative Reforms Commission
SDP	Spatial Development Plan (Master Plan)
SEC	State Election Commission
SFC	State Finance Commission
Sur	Surat
TAP	Transparency, Accountability and Participation
Thi	Thiruvananthapuram
UCR	Urban Capacities and Resources
ULB	Urban Local Body
UPD	Urban Planning and Design
74th CAA	Constitution (Seventy-fourth Amendment) Act, 1992

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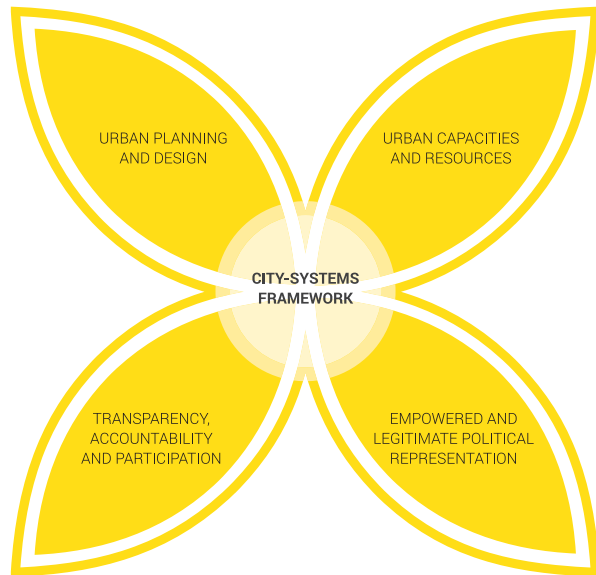
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With the recently-concluded election at the Centre, the time is ripe to reinvigorate our approach towards our cities. Over the years urban residents have become immune to living with overflowing garbage in their backyards, arduous commutes to their workplaces, shabby housing and minimal social or cultural outlets. These day-to-day travails point to a deeper malaise within our cities - that of poorly-resourced city governments and badly managed cities.

It is time to move the lens away from the challenges that we encounter and delve deep into the systemic shortfalls that lie at the root of these inefficiencies. At Janaagraha, we believe that cities should be viewed through a structural construct that we refer to as the City-Systems framework. Depicted through a metamorphosing butterfly with four wings, the City-Systems framework defines four significant aspects of urban transformation - Urban Planning & Design; Urban Capacities & Resources; Empowered & Legitimate Political Representation and Transparency, Accountability & Participation. We believe that fixing India's City-Systems is crucial to fixing our cities and consequently improving the Quality of Life for our citizens.

The Annual Survey of India's City-Systems (ASICS) is built upon this framework and takes a systematic data-driven approach towards evaluating our City-Systems. In its second year in 2014, ASICS has expanded its footprint to 21 cities from the original 11 cities last year. Given the response that it received last year in its Inaugural Edition, we believe that ASICS has become the essential benchmark to evaluate leadership and resources across Indian cities. As the union, state and city governments across the country grapple with urban challenges, band-aid solutions will no longer suffice. India's roadmap of urban reforms is clearly visible by looking at the ASICS scores of India's top 21 cities, and comparing them to the scores of New York and London. Deep systemic reforms that have a coherent canvas are needed - and the City-Systems framework provides such a canvas.

We hope that the Second Edition of ASICS builds upon the expectations from last year and leaves the reader with significant insights into ways to transform Indian cities.

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Swati Ramanathan

Ramesh Ramanathan

Co-Founders, Janaagraha Centre for Citizenship & Democracy

ASICS Jury



Arun Maira

Former Member, Planning Commission of India

Arun Maira is a Former Member of the Planning Commission chaired by the Prime Minister of India. In this ministerial level position, he was responsible for facilitating the shaping of policies and programs related to industrialization, urbanization and tourism. Previously, he was the Chairman of Boston Consulting Group in India and has served on the boards of several Indian companies.



Adi Godrej

Chairman, Godrej Group

Adi Godrej is the Chairman of Godrej Group, one of India's oldest, largest and most respected business houses. Over the last five decades, Mr Godrej has been a key contributor to the development of a variety of industries in India by leading important organizations of trade and commerce. He is the past president of the Confederation of Indian Industry. He is also an active philanthropist.



Baijayant Panda

Member of Parliament

Baijayant Panda is a Member of Parliament from Kendrapara constituency, Odisha. He has been a member of Parliamentary Committees on Energy, Urban Development, Home, Commerce and Human Resource Development and received the award for best parliamentary practices from the Chief Justice of India in 2008. Mr Panda was Chairman of the India-USA Forum of Parliamentarians and has been associated with the Citizens' Alliance Against Malnutrition, an advocacy group.



Dr M Ramachandran

Former Secretary, Government of India

Dr M Ramachandran served 38 years in the IAS holding distinguished positions such as Chief Secretary, Government of Uttarakhand and Secretary to Government of India in the Ministry of Urban Development. Path-breaking initiatives undertaken during his tenure as Secretary include the National Urban Transport Policy, National Urban Sanitation Policy, credit rating of major cities, and introduction of Service Level Benchmarks for six urban services. He was a member of the committees which structured India's urban strategy for the Twelfth Five Year Plan and the next phase of the Urban Renewal Mission.



Ireena Vittal

Former Partner, McKinsey & Co. & Independent Director

Ireena Vittal was Partner, McKinsey & Co. where she worked for more than 15 years and is currently an independent director on the boards of some of India's best known companies. She co-authored McKinsey Global Institute's report titled "India's urban awakening: Building inclusive cities, sustaining economic growth". Ms Vittal is among India's premier experts on the retail business having received her Master of Business Administration from the Indian Institute of Management, Calcutta.

Mayors and Capacities : A story of asymmetry

ASICS 2014 reveals an interesting asymmetry in cities in respect of the position of Mayors and the institutional capacities of cities. We believe that the role of a directly elected Mayor with a five year term is significant in delivering high Quality of Life. However the effectiveness of the Mayor will depend on two key factors - powers devolved to the Mayor and Council and institutional capacities of the ULB including financial management and staffing.

Of the 21 Indian cities, eight cities - Bhopal, Chennai, Dehradun, Jaipur, Kanpur, Lucknow, Raipur and Ranchi - have directly elected Mayors with five year terms. All these cities have Councils that wield very limited powers and functions in respect of their cities. Out of ten critical functions we evaluated cities on, none of these cities handle more than three functions. Additionally, these cities also appear to encounter severe constraints on both financial management and staffing. The average per capita expenditure in these cities on capital infrastructure is approximately Rs 1,400 whereas the average of all cities is in excess of Rs 2,200 and that of Mumbai over Rs 7,500. With the exception of Chennai and Jaipur that have own revenues to total expenditure ratios of 57% and 64% respectively, all other cities with strong Mayors have this ratio at less than 50%. This story repeats on the Staffing front as well. Seven cities have staff strength of 250 or less for 100,000 citizens compared to Delhi and Mumbai with 1,260 and 895 staff per 100,000 citizens respectively. Chennai too does not compare well with less than 500.

Interestingly, larger Indian cities appear to be faced with the converse situation. While Delhi with staff strength close to 140,000 and Mumbai with a budget in excess of Rs 30,000 crores have relatively robust capacities, their Mayors have terms of one year and 2.5 years respectively and are elected indirectly. Other large cities such as Ahmedabad, Surat, Pune and Kolkata, which have relatively stronger capacities also have Mayors with terms ranging between one and 2.5 years, which is hardly reasonable.

Lessons from the above are essentially three fold:

1. The need for strong Mayors in Indian cities
2. The huge gap in cities in financial management and staffing
3. Most importantly, the interconnected nature of many of the City-Systems evaluated in ASICS, which necessitate progress on several fronts by cities to be able to deliver high Quality of life

Strengthening the audit function: Weak design, absolute non-compliance

A robust audit function is a prerequisite for accountability. While internal and performance audits cover internal controls, regulatory compliance and efficiencies in operations, an independent external audit of annual accounts is required to gain assurance on the financial position and financial performance of the ULB. The role of audit is also relevant in building trust among stakeholders as varied as citizens and financial institutions.

Indian cities have scored between 1.4 and 7.1 in Audit pointing to their weak accountability framework. No Indian city mandates an independent, external auditor to audit its annual accounts. Independence is an important attribute of the audit function. Most cities in India are audited by officials of the state government and not by independent Chartered Accountants. As organisations handling significant budgets (the combined budget of the 21 cities is in excess of Rs 60,000 crores), there is no reason for ULBs/cities to not be covered by an audit function that is at least as robust as those of companies. ULBs should in fact have a far more robust audit function given that they handle public funds.

Audit reports of the CAG of India on ULBs are available at a state-level and predominantly cover performance audits. Huge pendency in clearance of audit queries, running into thousands and across several years, substantial backlog

in compilation of accounts and completion of audit are all recurring observations in audit reports of the CAG, across states.

As Indian cities increasingly handle larger sums of money, either generated through their own sources or as grants, effective and timely audits are irreplaceable as an accountability mechanism. The effectiveness of audit function therefore merits mention as a crucial reform agenda.

The Rise of Smaller Cities

Smaller cities have been a surprise package in ASICS 2014. We are using the term smaller cities here to mean cities excluding Mumbai, Delhi, Bangalore, Hyderabad, Ahmedabad, Chennai, Kolkata, Surat and Pune. Four out of the top 10 cities in ASICS 2014 are smaller cities, whereas Hyderabad and Bangalore are laggards at ranks 17 and 18 respectively.

Smaller cities have done well primarily on account of more robust legislations. Bhubaneswar, Jaipur, Patna and Ranchi are covered by comprehensive debt limitation policies that give them greater degree of freedom to raise borrowings without prior approval of the state government in each case. Patna is the only city except Delhi to have significant powers to appoint its own staff and along with Kolkata and Bhopal, among the only three cities to have access to a municipal cadre. Similarly, Bhopal, through its high powered Capital Development Coordination Committee comes across as the only city with some form of formal inter-agency coordination.

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Rajasthan was the first Indian State to exercise the right to recall, though the candidate managed to hold his post

”

While larger cities dominate UPD and UCR, smaller cities have done better in ELPR and TAP. A singular example

in ELPR is the Right to Recall which has been instituted only in smaller cities - Bhopal, Jaipur, Patna, Raipur and Ranchi. Thiruvananthapuram tops the rankings in TAP and is accompanied by five other smaller cities in the top 10.

While it is indeed a positive trend that smaller cities have in certain cases put in place more enlightened laws, their ability to implement their mandate is restricted by capacities, as discussed earlier. The asymmetry referred to earlier needs to be set right for smaller cities to realise their potential, and take advantage of their strengths in certain areas in the same breath, larger cities have much to learn from their smaller counterparts.

Urban Planning: A cause for concern

India's urban population is expected to grow from the current 377 million to close to 600 million by 2030. The number of cities and towns is also likely to witness a significant increase, with the number of million-plus cities expected to increase from the present 53 to close to 80 by 2030. Public service delivery including housing, public transport and other networked infrastructure will need to be built at a much faster rate to cope with this demographic transition. The economic growth of Indian cities and infrastructure development need to be carefully balanced with both environment and equity. This balance requires deliberate interventions in land, planning and design.

The UPD scores indicate a worrying trend that Indian cities are already late in initiating the process of high quality planning, urban design and land-related reforms. Delhi, which leads other cities by a fair distance in urban planning itself scores only 3.5 on 10.

Urban planning and land reforms including land titling are long-term processes by their very nature and require high degrees of specialised knowledge currently lacking in the ecosystem. The fact that Indian cities are lagging behind in some of the basic elements in this area is indeed a cause for concern. The NUSPD holds out hope that cities will soon move into the trajectory of systematic spatial development planning and make up for lost time.



Urban Planning & Design

2. Urban Planning & Design

Indian cities typically present a mosaic of chaos with skyscrapers standing cheek-by-jowl with slums, historic monuments lying in decay and green spaces shrinking rapidly. This ground reality is reflected in ASICS 2014, with Indian cities scoring an average of 2.2 out of 10 on Urban Planning and Design.

Cities score relatively better on Planning Acts as legislated by their state governments, but lose out in actual preparation and approval of Spatial Development (Master) Plans. All cities score a zero on implementation of plans explaining the poor shape of Indian cities.

Delhi emerges as the city with the highest scores of 3.5 owing mainly to its devolution of planning processes to the neighbourhood level. Despite being a planned city, Chandigarh scores 0.6, the lowest among the 21 cities analysed, as it has failed to legislate a contemporary Town Planning Act of its own and prepare metropolitan and ward-level plans.

Planning Acts

In this section, we evaluated the robustness of Planning Acts on the premise that a sound legal framework is the first building block in the planning process.

The direction in which Indian cities are growing is still being determined by archaic Planning Acts. Legal provisions of decentralisation to a local level as recommended by the 74th CAA find a mention only in Delhi's Town Planning Act. As pointed out in the NUSPD guidelines, Indian cities seem to have "remained stuck with out-dated hang-over thinking about planning from the days of the Raj, while ironically the British themselves have revised their own Planning Acts multiple times to be more responsive to the times."

As depicted in Table 1.0 Town Planning Acts are stuck in a time warp. Twelve cities depend on Town Planning Acts that go back to anywhere between 1960s and 1980s with some like Hyderabad following an Act that is as archaic as 1920. Planning Acts being followed even by larger cities such as Mumbai, Pune and Ahmedabad don't have provisions such as State Spatial Planning Boards.

The scores clearly reflect the need for Town Planning Acts to be urgently revised to address contemporary challenges of urban development.

Spatial Development Plans

Timeframe for State Town & Country Planning Acts	Cities Covered	Year in which State Act was passed
1920s - 1940s	Hyderabad	1920
1940s - 1960s	Ranchi	1954
	Bhubaneswar	1956
	Delhi	1957
1960s - 1980s	Bangalore	1961
	Mumbai Pune	1966
	Chennai	1971
	Bhopal	1973
	Dehradun	1973
	Kanpur Lucknow	1973
	Raipur	1973
	Ahmedabad Surat	1976
	Kolkata	1979
	1980s to 2000	Jaipur
Ludhiana		1995
2000 to 2014	Patna	2013
	Thiruvananthapuram	2013

Source: Town and Country Planning Acts of individual cities. Please refer to Data Sources for names of Acts. Table 1.0

To begin with we found that 16 of the 21 ASICS cities don't have adequate town planners to anchor SDPs, a human resource crunch that is palpable across various levels of civic governments. We used as benchmarks, standards prescribed in "Planning and Development 2025: Professional and Academic Challenges", a recent paper co-authored by Chief Town Planner J B Kshirsagar which recommends 23 town planners for metropolitan cities and 10 for others.

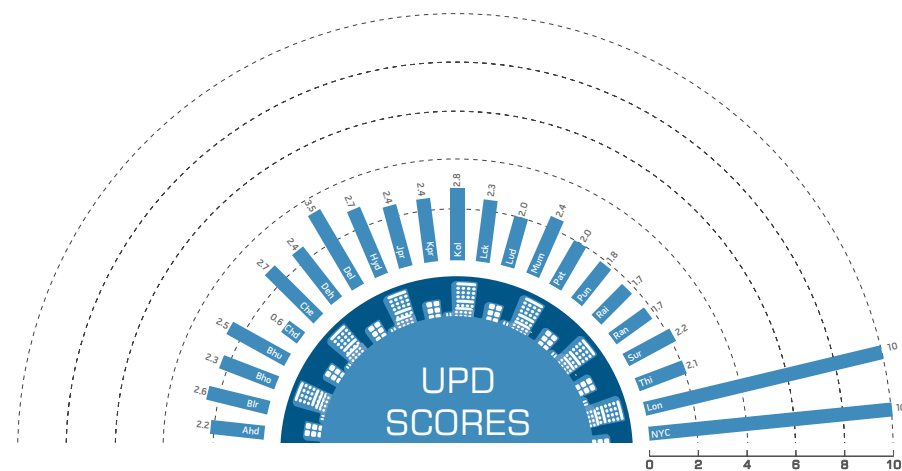
Lack of town planners is not the only shortfall. No city for instance, uses a digital map for planning across its sectors. Even Jaipur which was a leader in conceiving a digital base map through private players way back in 2007, has failed to use it in practice.

Implementation of SDPs

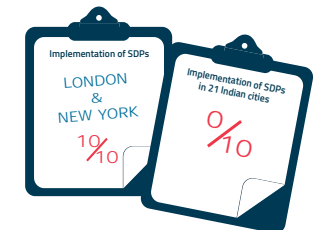
The lack of political will to improve the state of our cities is most evident in the sub-section pertaining to implementation of SDPs (See Annexure 1). All Indian cities have uniformly scored a zero despite being evaluated on basic parameters of planning. London and NYC which are leaps ahead in planning are now grappling with problems such as the availability of affordable housing stock, which have not been analysed here.

In the lack of an evaluative framework for SDPs, there is no mechanism to ensure accountability. Contrast this with NYC where the PlaNYC initiative meticulously sets out long-term planning goals and publicly discloses progress reports to track the delivery of targets.

The fact that all Indian cities further lack enabling land titling policies illustrates that the basic essence of planning is missing.



Integrated SDPs - Metropolitan, Municipal and Ward - are crucial to defining the future of our cities. We have evaluated cities on a host of parameters including the existence of the three levels of SDPs, the congruence in their timelines of validity and the inclusion of progressive provisions such as heritage preservation and urban design standards for projects.



Serial NO.	Questions	Scoring Method	Ahd - Ahmedabad	Blr - Bangalore	Bpl - Bhopal	Bhb - Bhubaneswar	Chd - Chandigarh	Che - Chennai	Deh - Dehradun	Del - Delhi	Hyd - Hyderabad	Jpr - Jaipur	Kpr - Kanpur	Kol - Kolkata	Lkn - Lucknow	Lud - Ludhiana	Mum - Mumbai	Pat - Patna	Pun - Pune	Raj - Rajpur	Ran - Ranchi	Sur - Surat	Thi - Thiruvananthapuram	Lon - London	NYC - New York	
URBAN PLANNING & DESIGN																										
PLANNING ACTS																										
1	Is there a provision for a State Spatial Planning Board with composition, powers and functions defined?	YES =10 NO = 0	0	10	10	10	NA	10	10	10	10	0	10	10	10	10	0	10	0	0	0	0	10	10	10	
2	Are there three levels of SDPs (Master Plans) mandated in the Act?																									
i	Metropolitan SDP	YES =3.34 NO = 0	3.34	3.34	3.34	NA	NA	3.34	NA	3.34	3.34	3.34	3.34	3.34	3.34	3.34	3.34	3.34	3.34	3.34	3.34	3.34	3.34	3.34	3.34	
ii	Municipal SDP	YES =3.33 NO = 0	3.33	3.33	3.33	3.33	NA	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	NA	NA	
iii	Ward SDP	YES =3.33 NO = 0	0	0	0	0	NA	0	0	3.33	0	0	0	0	0	0	0	0	0	0	0	0	0	3.33	3.33	
3	Does the Act define clearly the Objectives and Contents of each level of SDP?	YES =10 NO = 0	10	10	10	10	NA	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	
4	Does the Act have provisions for period of validity of NOTified plans of the three levels - Metropolitan, Municipal, Ward - in a nested and concurrent timeline?	YES =10 NO = 0	0	0	0	0	NA	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	NA	
5	Are there clear provisions in the Act for modifications to NOTified SDPs?	YES =10 NO = 0	10	10	10	10	NA	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	
6	Does the Planning Act conform to constitutional provisions of decentralisation in preparation of the SDPs?																									
i	Is the role of the Metropolitan Planning Authority performed by a statutory MPC?	YES =3.34 NO = 0	0	0	0	0	NA	0	0	0	0	0	0	3.34	0	0	0	0	0	0	0	0	0	3.34	3.34	
ii	Is the role of Planning Authority for the Municipal SDP performed by the Municipality?	YES =3.33 NO = 0	3.33	0	0	3.33	NA	3.33	0	0	0	0	0	0	0	3.33	3.33	3.33	3.33	0	0	3.33	3.33	NA	NA	
iii	Do the Corporators anchor the formulation of the Ward SDP?	YES =3.33 NO = 0	0	0	0	0	NA	0	0	3.33	0	0	0	0	0	0	0	0	0	0	0	0	3.33	3.33	3.33	
7	Is there a clear decentralised procedure for approval of each level of Plans?																									
i	Is the Metropolitan SDP approved by the state government?	YES =3.34 NO = 0	3.34	3.34	0	NA	NA	3.34	NA	3.34	3.34	3.34	3.34	3.34	0	0	3.34	0	0	0	0	3.34	0	3.34	3.34	
ii	Is the Municipal SDP approved by the MPC (state government for small/medium cities)?	YES =3.33 NO = 0	0	0	0	3.33	NA	0	3.33	0	0	0	0	0	0	0	0	0	0	0	0	0	3.33	NA	NA	
iii	Is the Ward SDP approved by the ULB?	YES =3.33 NO = 0	0	0	0	0	NA	0	0	3.33	0	0	0	0	0	0	0	0	0	0	0	0	0	3.33	3.33	

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8	Is there a provision for the establishment of Planning Authorities for notified new towns or special developments?	YES =10 NO =0	10	10	10	10	NA	10		10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	NA	NA
9	Does the Planning Act require the Planning Authority to adhere to public scrutiny, objections, and responses to SDPs?	YES =10 NO =0	10	10	10	10	NA	10		10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
10	Does the Act facilitate approval development projects that conform to the regulations as per the notified SDP?	YES =10 NO =0	10	10	10	10	NA	10		10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
11	Is there adequate institutional capacity to enforce the provisions of the Act?	YES =10 NO =0	0	0	0	0	NA	0		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
12	Is there a decentralised institutional structure prescribed for development approvals, regulatory compliance and conservation enforcement as per the notified SDP?	YES =10 NO =0	0	0	0	0	NA	0		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
Average Score for Planning Acts		10	5.3	5.8	5.6	6.2	NA	6.1		5.9	6.7	5.8	5.0	5.8	6.1	5.6	5.8	5.3	5.8	5.0	4.7	4.7	5.3	6.4	10	10	
SPATIAL DEVELOPMENT PLANS (MASTER PLANS)																											
13	Are planning boundaries for all three levels of plan notified in conformity with political and administrative structures of District or Metropolitan Region / Municipality / Ward?	YES =10 NO =0	0	10	10	10	10	0		10	10	0	0	0	0	10	0	0	0	0	0	0	0	0	10	10	
14	Are there three levels of currently notified SDPs?																										
i	Is there a Metropolitan SDP?	YES =3.34 NO =0	3.34	3.34	0	NA	0	3.34		NA	3.34	3.34	3.34	3.34	3.34	0	0	3.34	0	0	0	0	0	3.34	0	3.34	3.34
ii	Is there a Municipal SDP?	YES =3.33 NO =0	3.33	3.33	3.33	3.33	3.33	3.33		3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	3.33	NA	NA
iii	Is there a Ward SDP?	YES =3.33 NO =0	0	0	0	0	0	0		0	3.33	0	0	0	0	0	0	0	0	0	0	0	0	0	0	3.33	3.33
15	Are the existing SDPs in a concurrent or nested timeline of validity?																										
i	Is the Metropolitan SDP in a concurrent or nested timeline of validity with Municipal SDP?	YES =5 NO =0	5	0	0	NA	0	5		NA	5	5	5	5	5	0	0	0	0	0	0	0	0	5	0	NA	NA
ii	Is the Municipal SDP in a concurrent or nested timeline of validity with the Ward SDP?	YES =5 NO =0	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	NA

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16	Are the current SDPs prepared by the appropriate Planning Authorities as per the constitutional requirements of decentralisation?																										
i	Is the Metropolitan SDP prepared by MPC / Metropolitan Planning Authority?	YES =3.34 NO = 0	3.34	3.34	0	NA	0	0	NA	3.34	3.34	3.34	3.34	3.34	0	0	3.34	0	0	0	0	3.34	0	3.34	3.34		
ii	Is the Municipal SDP prepared by the ULB?	YES =3.33 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	NA	NA		
iii	Is the Ward SDP prepared by the ULB?	YES =3.33 NO = 0	0	0	0	0	0	0	0	3.33	0	0	0	0	0	0	0	0	0	0	0	0	0	3.33	3.33		
17	Is there adequate town planning competence available to Planning Authorities to anchor the formulation of a high quality SDP?	YES =10 NO = 0	0	0	0	0	0	10	0	10	10	0	0	10	0	0	10	0	0	0	0	0	0	10	10		
18	Does the SDP reflect a stated articulation of a future vision and development priorities that can be measured over time?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10		
19	Does the SDP at each level, integrate the plans and priorities of various sectoral public departments and agencies?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10		
20	Is a digital base SDP Map shared among Planning Authorities, and data updated through GIS with fixed periodicity by the relevant sectoral agencies (transport, network infrastructure, land use changes)?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10		
21	Are there progressive recommendations prescribed in the SDP to protect historic and cultural assets in the general public realm?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	10	0	0	0	0	0	0	0	0	0	0	0	10	10		
22	Is the public process of dissemination of the SDP and participation held through formal platforms of Area Sabhas or equivalent structures and processes?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10		
23	Are there prescribed urban design standards to guide the execution of urban projects?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10		
Average Score for Spatial Development Plans (Master Plans)		10	1.4	1.8	1.2	1.4	1.2	2.0	1.4	3.8	2.3	2.3	1.4	2.3	1.2	0.3	1.8	0.3	0.3	0.3	0.3	1.4	0.3	10	10		
IMPLEMENTATION OF SDPs																											
24	Are there enabling policies on land titling?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10		
25	Are there enabling policies on maximising land utilisation for development and financing?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10		
26	Is there a framework to evaluate the success of the SDP on the economy and infrastructure?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10		

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27	Is there a framework to evaluate the success of the SDP on environment and heritage conservation?	YES =10 NO = 0	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10
28	Is there a framework to evaluate the success of the SDP on social development?	YES =10 NO = 0	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10
29	Is there a framework to evaluate the success of the SDP on quality of life in residential neighbourhoods?	YES =10 NO = 0	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10
Average Score for Implementation of SDPs		10	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10
Average Score for Urban Planning & Design		10	2.2	2.6	2.3	2.5	0.6	2.7		2.4	3.5	2.7	2.4	2.4	2.8	2.3	2.0	2.4	2.0	1.8	1.7	1.7	2.2	2.2	10	10



Urban Capacities & Resources

3. Urban Capacities & Resources

Urban Capacities and Resources is a weak link of Indian cities. Across all categories of UCR - Financial Management, Staffing and Institutional Framework - cities have fared equally poorly.

No city scores in excess of 5.0 on 10. Mumbai and Delhi top UCR with scores of 4.3 and 4.0 on the back of strong finances and a large employee base in excess of 1,00,000, and are expected to retain this advantage in the near-term. Patna, Bhopal and Ranchi fall in the top half primarily on account of enabling provisions in terms of greater financial and staffing powers. Hyderabad and Bangalore rank 17th and 18th respectively, exemplifying a theme that runs across this study that cities in general have not focused on synchronized development and reforms across all four critical areas represented in the City-Systems framework.

Financial Management

Under Financial Management, we evaluated the following

- Powers of cities to raise revenues and self-sufficiency of revenues to meet their expenditure
- Independence in raising borrowings and making investments

- Financial strength to make capital investments in the city commensurate with their population
- Existence and effectiveness of Fiscal Responsibility and Budget Management practices

Mumbai, Ahmedabad and Delhi lead the pack being the only cities to score over 5.0 on 10 in this category. While Mumbai, with an annual wallet size in excess of Rs 30,000 crores, is the benchmark for financial strength among Indian cities, both Delhi and Ahmedabad have relatively high levels (>70%) of self-sufficiency in their revenues. Only eight of the larger cities cross even 50% self-sufficiency in own revenues. Combined with weak powers of taxation, low levels of own revenues seriously hinders the ability of Indian cities to make adequate capital investments in infrastructure and service delivery.

Out of the 21 ASICS cities, only six cities have presented realistic budgets with Mumbai, Ahmedabad and Delhi featuring in that group. We have considered budgets to be realistic if variance to actuals has been less than 15%. Seen along with the fact that none of the 21 cities has a Long Term or Medium Term Fiscal Plan, Fiscal Responsibility and Budget Management clearly

emerges as another fundamental area of concern for Indian cities.

PER CAPITA CAPITAL EXPENDITURE OF ASICS 2014 CITIES	
City	Per Capita Capital Expenditure (in Rs.)
TOP 3	
Mumbai	7,587
Thiruvananthapuram	4,262
Pune	4,010
BOTTOM 3	
Ranchi	509
Jaipur	332
Patna	166

Table 2

Staffing

Adequate skilled manpower is a sine qua non for cities. Cities need powers to recruit and manage their own staff, and require adequate number of staff whose skill sets match with the jobs they are assigned. With the exception of Delhi and Patna, no Indian city has significant powers to recruit and manage their own staff. It is the state government that plays a predominant role in the staffing of ULBs. Similarly, with the exception of Delhi and Mumbai, even on a relative basis, all Indian cities have significant shortfalls in staffing levels. (Refer to Annexure 2)

Very few Indian cities have undertaken a serious evaluation of their staffing requirements, both in terms of quantity and quality. This situation is compounded by large number of vacancies in several cities even in the currently existing job roles. For instance, Bangalore has 8,955 vacancies. The shortfalls are evident through global comparisons. Better performing Indian cities such as Delhi and Mumbai have 1,260 and 895 employees per 100,000 population respectively vis-a-vis cities in developed as well as developing countries. Ratios in Indian cities pale in comparison to New York's 5,338, London's 2,961 and Durban's 3, 109 per 100,000 population respectively.

The quality or skill sets component of staffing could not be evaluated in this Edition. It is clearly an area that merits greater attention in terms of ascertaining the manner in which cities currently undertake description of job roles, definition of technical skills, managerial and behavioural competencies.

The significant shortfall in the extent and quality of service delivery in our cities is directly influenced by Staffing. The scores and data of ASICS call urgent attention to Staffing

as a building block reform in transforming India's cities.

Institutional Framework

Institutional framework of capacities spans all four City-System components. Institutions are as integral to UCR as they are to accountability, for instance. The institutional framework category under UCR however specifically seeks to probe institutional mechanisms that relate to

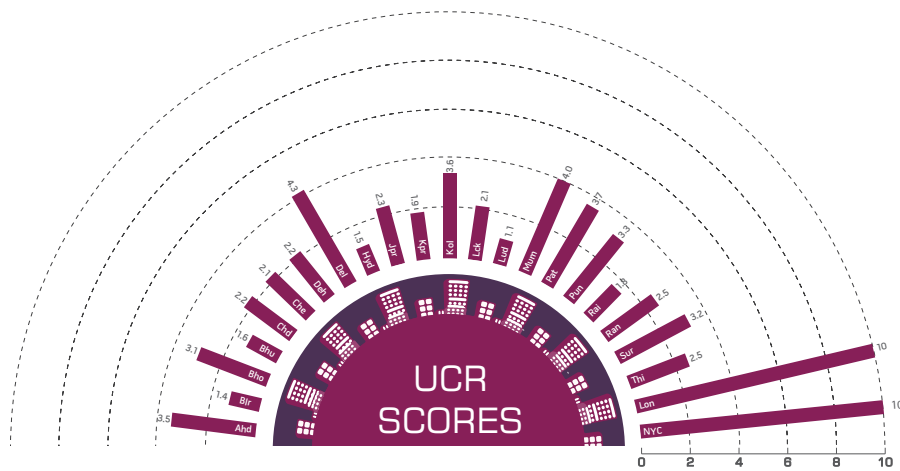
- Financial devolution from States
- Staffing (i.e. Municipal Cadre)
- Inter-agency coordination
- Performance Management
- Digital Governance

The absence of a legal requirement on Performance Management systems and processes in Municipal Corporation Acts is a significant lacuna across states impacting all cities without exception. To test Performance Management not in terms of implementation of a system or process but in terms of a mandatory legal requirement has been a deliberate choice. Performance Management is a fundamental aspect of modern management of institutions and needs to be legally codified to guarantee data-driven decision making, accountability, value spending and performance measurement across different levels of the institution and individuals.

Similarly, with fragmented service delivery and varied institutional design of civic agencies in different states and cities, need for a clearly established framework for coordination with fixed accountability cannot be overemphasized. Indian cities in general have failed to put in place effective frameworks or institutions for inter-agency coordination. Bhopal has been given the benefit of doubt as it has constituted a high powered Capital Development Coordination Committee, early this year.

Another critical institutional arrangement is a municipal cadre that ensures supply of a skilled pool of human resources specialized in municipal services. Only Bhopal, Patna and Kolkata are covered by such an arrangement.

The existence, and where they exist the effectiveness, of institutional frameworks and arrangements that cover staffing, finance, performance management, inter-agency coordination and digital governance are a key driver of organizational effectiveness of ULBs. Any effort to transform Indian cities needs to begin here.



Serial No.	Questions	Scoring Method	Ahd - Ahmedabad	Blr - Bangalore	Bpl - Bhopal	Bhb - Bhubaneswar	Chd - Chandigarh	Che - Chennai	Deh - Dehradun	Del - Delhi	Hyd - Hyderabad	Jpr - Jaipur	Kpr - Kanpur	Kol - Kolkata	Lkn - Lucknow	Lud - Ludhiana	Mum - Mumbai	Pat - Patna	Pun - Pune	Raj - Rajpur	Ran - Ranchi	Sur - Surat	Thi - Thiruvananthapuram	Lon - London	NYC - New York	
URBAN CAPACITIES AND RESOURCES																										
FINANCIAL MANAGEMENT																										
1	Is the ULB empowered to set and collect the following taxes?																									
i	Property tax	YES =2.5 NO = 0	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	2.5	NA	NA
ii	Entertainment tax	YES =2.5 NO = 0	0	0	0	0	0	0	0	0	2.5	0	0	0	0	0	0	0	0	0	0	0	2.5	NA	NA	
iii	Profession tax	YES =2.5 NO = 0	2.5	0	0	0	2.5	2.5	2.5	2.5	0	2.5	2.5	0	2.5	2.5	0	2.5	0	0	2.5	2.5	2.5	NA	NA	
iv	Advertisement tax	YES =2.5 NO = 0	0	2.5	0	2.5	2.5	2.5	2.5	2.5	2.5	0	2.5	2.5	2.5	2.5	0	2.5	0	0	2.5	0	2.5	NA	NA	
2	What is the Percentage of Own Revenues to Total Expenditure for the ULB?	<u>Own Revenues</u> Total Expenditure	7.1	3.7	4.6	3.4	2.1	5.7	0.9	7.7	7.6	6.5	1.5	4.3	3.4	0	6.7	3.2	9.6	3.3	2.4	5.0	2.4	9.1	9.9	
3	Is the ULB authorised to raise borrowings without State Government / Central Government approval?	YES =10 NO = 0	0	0	0	10	0	0	0	0	0	10	0	0	0	0	0	10	0	0	10	0	0	10	10	
4	Is the ULB authorised to make investments or otherwise apply surplus funds without specific State Government/ Central Government approval?	YES =10 NO = 0	10	0	0	0	0	0	0	10	0	0	0	0	0	0	10	10	10	0	10	10	10	10	10	
5	What is the Per Capita Capital Expenditure of the ULB?	<u>Per Capita Capital Expenditure</u> Per Capita Capital Expenditure of Mumbai	4.3	4.8	2.6	0.7	3.4	3.1	1.8	0	2.6	0.4	2.3	2.1	2.0	0	10	0.2	5.3	2.0	0.7	3.6	5.6	10	10	
6	Is the budget of the ULB realistic? I	YES =10 NO = 0 (YES, if difference between budget vs actual <15%)	10	0	0	0	0	10	0	10	0	0	0	10	0	0	10	0	0	0	0	10	0	10	10	
7	Is the ULB required by law to have a Long-Term and/or Medium-Term Fiscal Plan ?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
Average Score for Financial Management			5.2	1.9	1.4	2.7	1.9	3.8	1.5	5.0	2.5	3.5	1.2	3.1	1.8	1.1	5.6	4.4	3.9	1.1	4.4	4.8	4.0	9.9	10	

Serial No.	Questions	Scoring Method	Ahd - Ahmedabad	Blr - Bangalore	Bpl - Bhopal	Bhb - Bhubaneswar	Chd - Chandigarh	Che - Chennai	Deh - Dehradun	Del - Delhi	Hyd - Hyderabad	Jpr - Jaipur	Kpr - Kanpur	Kol - Kolkata	Lko - Lucknow	Lud - Ludhiana	Mum - Mumbai	Pat - Patna	Pun - Pune	Raj - Rajpur	Ran - Ranchi	Sur - Surat	Th - Thiruvananthapuram	Lon - London	NYC - New York	
STAFFING																										
8	Does the ULB have the following powers with respect to its employees?																									
i	Appointment	YES =3.34 NO = 0	1.7	1.7	1.7	1.7	0	0	1.7	3.3	0	0	1.7	1.7	1.7	0	1.7	3.3	1.7	1.7	0	1.7	1.7	3.3	3.3	
ii	Disciplinary Action	YES =3.33 NO = 0	3.3	0	3.3	0	0	0	3.3	3.3	0	0	3.3	3.3	3.3	0	3.3	3.3	3.3	3.3	3.3	3.3	3.3	3.3	3.3	
iii	Termination	YES =3.33 NO = 0	3.3	0	3.3	0	0	0	3.3	3.3	0	0	3.3	3.3	3.3	0	3.3	3.3	3.3	3.3	3.3	3.3	0	3.3	3.3	
9	Does the ULB have adequate staff commensurate with its population?	Staff Strength (Staff per 100,000 of Population) Staff Strength of Delhi (Staff per Lakh of Population)	4.7	2.6	1.6	2.1	6.0	3.9	1.8	10	3.0	2.0	1.6	6.4	1.5	3.6	7.1	1.9	5.7	1.9	0.7	3.7	2.2	10	10	
10	Is the staffing data of the ULB available in the public domain?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
Average Score for Staffing			4.4	1.4	3.3	1.3	2.0	1.3	3.4	6.7	1.0	0.7	3.3	4.9	3.3	1.2	5.1	4.0	4.7	3.4	2.4	4.0	2.4	10	10	
INSTITUTIONAL FRAMEWORK																										
11	Have five State Finance Commissions (SFCs) been constituted by the state government?	YES =10 NO = 0	5.0	5.0	7.0	5.0	7.0	7.0	10	7.0	5.0	7.0	7.0	7.0	7.0	7.0	7.0	7.0	7.0	5.0	5.0	5.0	7.0	NA	NA	
12	Has the Action Taken Report of the last SFC been placed before the state legislature before the expiry of six months from the date of submission of the report, as recommended by the SARC?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	10	0	0	0	0	0	0	0	0	0	0	0	0	NA	NA
13	Does the ULB have access to a municipal cadre for its staffing?	YES =10 NO = 0	0	0	10	0	0	0	0	0	0	0	0	10	0	0	0	10	0	0	0	0	0	10	10	
14	Is there an institutional process for coordination between civic agencies, including ULBs and parastatals with clearly defined accountability?	YES =10 NO = 0	0	0	10	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
15	Is the ULB required to put in place a Performance Management Information System/alternate decision-support system that institutionalises performance-based reviews of/decisions in respect of finances and operations?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
16	Has the ULB put in place a Digital Governance Roadmap?	YES =10 NO = 0	0	0	0	0	10	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
Average Score for Institutional Framework			0.8	0.8	4.5	0.8	2.8	1.2	1.7	1.2	0.8	2.8	1.2	2.8	1.2	1.2	1.2	2.8	1.2	0.8	0.8	0.8	1.2	10	10	
Average Score for Urban Capacities and Resources			3.5	1.4	3.1	1.6	2.2	2.1	2.2	4.3	1.5	2.3	1.9	3.6	2.1	1.1	4.0	3.7	3.3	1.8	2.5	3.2	2.5	10	10	



Empowered & Legitimate Political Representation

Serial No.	Questions	Scoring Method	Ahd - Ahmedabad	Blr - Bangalore	Bpl - Bhopal	Bhb - Bhubaneswar	Chd - Chandigarh	Che - Chennai	Deh - Dehradun	Del - Delhi	Hyd - Hyderabad	Jpr - Jaipur	Kpr - Kanpur	Kol - Kolkata	Lkn - Lucknow	Lud - Ludhiana	Mum - Mumbai	Pat - Patna	Pun - Pune	Raj - Rajpur	Ran - Ranchi	Sur - Surat	Thi - Thiruvananthapuram	Lon - London	NYC - New York	
EMPOWERED AND LEGITIMATE POLITICAL REPRESENTATION																										
ELECTIONS																										
1	Has the State Election Commission (SEC) been constituted?	YES =10 NO = 0	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
2	Is the SEC empowered to decide in matters of electoral delimitation of the Council?	YES =10 NO = 0	10	0	0	0	0	0	0	0	0	0	0	10	0	0	10	0	10	10	10	10	10	10	10	10
3	Have elections to the Council been conducted every five years?	YES =10 NO = 0	10	0	10	10	10	10	10	10	0	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10
4	Is the SEC in charge of reservation and rotation of seats in the Council?	YES =10 NO = 0	10	0	0	0	10	0	0	0	0	0	0	10	0	0	10	10	10	10	0	10	10	NA	NA	
Average Score for Elections			10	2.5	5	5	7.5	5	5	5	2.5	5	5	10	5	5	10	7.5	10	10	7.5	10	10	10	10	
VOTING																										
5	Did the city witness a high voter turnout in the last election?	(<40%=0; 40-50%=2.5; 50-60%=5.0; 60-70%=7.5; >70%=10)																								
i	Council	YES =5 NO = 0	1.25	1.25	0	1.25	3.75	1.25	2.5	2.5	1.25	2.5	1.25	3.75	1.25	3.75	1.25	1.25	2.5	0	0	1.25	3.75	NA	NA	
ii	Legislative Assembly	YES =5 NO = 0	3.75	2.5	3.75	0	NA	3.75	3.75	3.75	2.5	3.75	2.5	3.75	2.5	5	1.25	2.5	2.5	3.75	3.75	3.75	3.75	NA	NA	
Average Score for Voting			5	3.8	3.8	1.3	7.5	5	6.3	6.3	3.8	6.3	3.8	7.5	3.8	8.8	2.5	3.8	5	3.8	3.8	5	7.5	NA	NA	
MAYOR																										
6	Does the Mayor of the ULB have a five year term?	YES =10 NO = 0	0	0	10	10	0	10	10	0	10	10	10	10	10	10	0	10	0	10	10	0	10	10	10	
7	Is the Mayor directly elected?	YES =10 NO = 0	0	0	10	0	0	10	10	0	0	10	10	0	10	0	0	0	0	10	10	0	0	10	10	
8	Is there a reservation policy for the position of the Mayor?	YES =10 NO = 0	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	NA	NA	
9	Has the MPC been constituted with the Mayor as an ex-officio member?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	10	0	0	0	0	0	0	0	0	0	10	10	
10	Does the Mayor have the authority to appoint the Municipal Commissioner/Chief Executive of the ULB?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
Average Score for Mayor			2	2	6	4	2	6	6	2	4	6	6	6	6	4	2	4	2	6	6	2	4	10	10	

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COUNCIL																											
11	Is the ULB responsible for providing 10 specific and critical functions and services? (Please refer to Methodology for additional details)	YES =10 NO = 0	5	2	2	1	3	3		1	3	1	2	1	5	1	2	6	3	6	2	3	5	3	10	10	
12	Is there a reservation policy for the Council?	YES =10 NO = 0	10	10	10	10	10	10		10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	NA	NA
13	Are related party interests of the Councillors disclosed on the ULB website?	YES =10 NO = 0	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	0	
14	Do citizens have a Right to Recall their Councillors during the term of the Council?	YES =10 NO = 0	0	0	10	0	0	0		0	0	0	10	0	0	0	0	0	10	0	10	10	0	0	NA	NA	
Average Score for Council			3.8	3	5.5	2.8	3.3	3.3		2.8	3.3	2.8	5.5	2.8	3.8	2.8	3	4	5.8	4	5.5	5.8	3.8	3.3	10	5	
Average Score for Empowered and Legitimate Political Representation			5.2	2.8	5.1	3.3	5.1	4.8		5	4.1	3.3	5.7	4.4	6.8	4.4	5.2	5	5.3	5.3	6.3	5.8	5.2	6.2	10	8.3	

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Performance Indicators
What is performance measurement?
Why is performance measurement important?
How is performance measurement used?
What are the benefits of performance measurement?
What are the challenges of performance measurement?

PERFORMANCE INDICATORS FOR EDUCATION

- The uses of Performance Indicators
 - Quality
 - Efficiency
 - Equity
 - Cost Effectiveness
 - Accountability
 - Transparency
- The need for Information Generation
 - Need of evidence for decision making
 - Need of information for accountability
 - Need of information for transparency
 - Need of information for equity
 - Need of information for cost effectiveness
- The process of information generation
 - Identify the indicators



PROOF



Transparency, Accountability & Participation

5. Transparency, Accountability and Participation

Transparency, Accountability and Participation can be described as a “low investment-high return” City-System component. Indian cities can achieve best-in-class status especially in Transparency with mere administrative initiative and imaginative use of existing technology with additional investments. Given that, the average score of 3.3 in this City-System component is disappointing.

This City-System component was evaluated on

- Open Government
- Citizen Services
- Ombudsman
- Audit
- Participation

Cities have performed relatively better in Open Government and Audit, scoring on an average 4.3 and 4.4 on 10 respectively. While all cities but Thiruvananthapuram have drawn a blank on Ombudsman, cities have scored low on Citizen Services and Participation as well, with average scores of 4.0 and 3.5 respectively.

Open Government

Cities in India can willingly embrace Open Government practices. All data on municipal services can be put out in the public domain with no legitimate barriers to disclosures such as technology, intellectual property, foreign policy, law and order etc. We evaluated cities on the Public Disclosure Law and rules, quality of websites, Open Data practices and e-procurement systems. Bhopal scores 7.2 on the back of a robust PDL. Ahmedabad, Chandigarh, Dehradun, Delhi, Kolkata and Surat have fared poorly due to the absence of a Public Disclosure law. Notwithstanding prevalent practices in

disclosures, a robust law that mandates extensive disclosures with detailed guidelines is required as the least common minimum across cities. Even in cities that have robust Public Disclosure laws, practical implementation of the same has been grossly inadequate, with no Indian city scoring higher than 2.0 on 10, and 17 cities drawing blanks.

Citizen Services

We covered public service guarantee laws, citizen’s charters and single window civic centres under Citizen Services. Results here have been surprising. Raipur scores a perfect 10. Mumbai with a zero and 12 cities including Delhi, Chennai, Kolkata and Hyderabad with a score less than 4.0 prove disappointing. The results in seven cities that have scored between 5.0 and 6.0 could appear to be significantly better than public perception due to the same reason, that this study does not evaluate actual service delivery.

Citizen Services is an aspect that is hard to measure given that practical experience of service delivery gains predominance over laws, policies and institutional mechanisms that facilitate the same.

Ombudsman

We tested the existence of a local body ombudsman as recommended by the Thirteenth Finance Commission. We further checked the powers of the ombudsman to investigate corruption suo motu and resolve inter-agency disputes. Thiruvananthapuram is the only city to be covered by an ombudsman for the ULB. A relevant highlight, though not necessarily a direct comparison, is the fact that the Public Advocate in New York City, who is the equivalent of an Ombudsman, is a directly elected official. (Refer to Annexure 3)

Audit

Audit is one of the most important constituents of accountability, covering both financial and operational accountability. Our evaluation of audit covers internal audit, independent annual audit of financial statements and role of the CAG in technical guidance and supervision. Cities have scored in a range of 1.4 to 7.1. No city has disclosed a full set of audited financial statements in the public domain. Indian cities are also not

mandated to appoint independent, external auditors to carry out the audit of their annual financial statements. Municipal Acts followed by Patna and Ranchi are the only ones to make a mention of an external auditor (from a panel of professional Chartered Accountants), but these Acts do not mandate an independent Audit arrangement. Internal audit reports too have not been disclosed. Overall the audit function and process surfaces as a key area of concern and exposes serious gaps in the accountability structures in place in Indian cities. Add to this the large number of unresolved audit queries over the years, backlog of a number of years in finalizing accounts and having them audited and the lack of seriousness of legislatures in responding to and resolving audit queries placed before them.

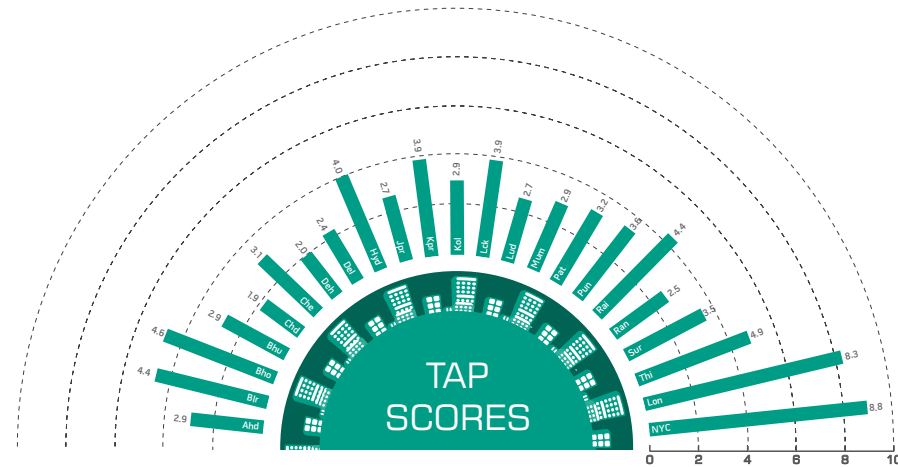
As of July 2011, 126 ULBs in West Bengal had 419 Annual Accounts pending pertaining to years upto 2009-10. Of these, 352 had not been submitted even until July 2011. This is only an illustration of the general state of affairs of the audit of ULBs.

A GOOD START

- **Surat publishes weekly data on budgeted & actuals expenditure**
- **Hyderabad is the only city to have constituted Area Sabhas**
- **Pune runs an annual participatory budgeting process for citizens; discloses its budget**

Participation

Citizen Participation in civic governance is crucial for the health of democratic governance in a city. Besides focusing sharply on the Community Participation Law or the Nagara Raj Bill and its implementation, we also evaluated cities on volunteerism and participatory budgeting. Hyderabad is the only city in India that has implemented the CPL in substance, following it up with constitution of not just Ward Committees but also Area Sabhas. That 14 states have enacted the CPL, has not yet translated into better participation. Pune stands out as the only city in India to have run participatory budgeting in consecutive years for close to a decade now, even though not mandated by law.



Serial No.	Questions	Scoring Method	Ahd - Ahmedabad	Blr - Bangalore	Bpl - Bhopal	Bhb - Bhubaneswar	Cnd - Chandigarh	Che - Chennai	Deh - Dehradun	Del - Delhi	Hyd - Hyderabad	Jpr - Jaipur	Kpr - Kanpur	Kol - Kolkata	Lkn - Lucknow	Lud - Ludhiana	Mum - Mumbai	Pat - Patna	Pun - Pune	Raj - Rajpur	Ran - Ranchi	Sur - Surat	Thi - Thiruvananthapuram	Lon - London	NYC - New York	
TRANSPARENCY, ACCOUNTABILITY AND PARTICIPATION																										
OPEN GOVERNMENT																										
1	Has the State Government enacted the Public Disclosure Law (PDL)?	YES =10 NO = 0	0	10	10	10	0	10	0	0	10	10	10	0	10	10	10	10	10	10	10	0	10	10	10	
2	Have Rules implementing the PDL been notified?	YES =10 NO = 0	0	10	10	0	0	10	0	0	10	0	10	0	10	10	0	0	0	0	0	0	10	NA	NA	
3	Is the State PDL compliant with the Model PDL with respect to:																									
i	Audited financial statement on a quarterly basis	YES =2 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	2	2	0	2	0	0	0	2	
ii	Audited financial statement on an annual basis	YES =2 NO = 0	0	0	2	2	0	0	0	0	2	0	0	0	0	0	2	2	2	0	2	0	2	2	2	
iii	Service level benchmarks	YES =2 NO = 0	0	2	2	0	0	2	0	0	2	0	0	0	0	2	2	2	2	0	2	0	2	2	2	
iv	Particulars of major works	YES =2 NO = 0	0	0	2	2	0	2	0	0	2	0	2	0	2	2	2	2	2	0	2	0	2	2	2	
v	Details of plans, income and budgets	YES =2 NO = 0	0	0	2	2	0	0	0	0	2	0	2	0	2	2	2	2	2	0	2	0	2	2	2	
4	Does the website of the ULB incorporate the following:																									
i	Citizen participation	YES =3.34 NO = 0	1.67	1.67	1.67	1.67	1.67	1.67	1.67	1.67	1.67	1.67	1.67	1.67	1.67	1.67	1.67	1.67	1.67	0	1.67	1.67	0	3.34	3.34	
ii	Basic service delivery	YES =3.33 NO = 0	0	0	3.33	0	0	3.33	0	3.33	0	0	0	0	0	3.33	0	0	0	0	3.33	3.33	3.33	3.33	3.33	
iii	Schemes and services	YES =3.33 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	3.33	3.33	
5	Has the ULB adopted Open Data standards and principles in respect of:																									
i	Annual report of works done last year	YES =2 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	2	
ii	Financial information (budgets) of the corporation and of respective wards.	YES =2 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	2	
iii	Raw and synthesized data on civic works	YES =2 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	2	
iv	Information under Right To Information, Section 4(1) b on minutes of council meetings, rules, regulations and documents of the ULB and its decision-making processes	YES =2 (0.5 for each parameter) NO = 0	0	0	0	0	0	0.5	0	0	0.5	0	0	1.5	0	0	0	0	0	0	0	2	0	2	2	
v	Quarterly audited financial reports	YES =2 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2	2	
6	Does the ULB have an e-procurement system (including vendor registration)?	YES =10 NO = 0	10	10	10	10	10	0	0	10	10	10	10	10	10	0	10	10	10	10	0	10	0	10	10	
Average Score for Open Government			1.9	5.6	7.2	4.6	1.9	4.9	0.3	2.5	6.7	3.6	5.9	2.2	5.9	5.2	5.3	5.3	5.3	3.3	4.2	2.8	5.2	9.6	10	

Serial No.	Questions	Scoring Method	Ahd - Ahmedabad	Bll - Bangalore	Bpl - Bhopal	Bhb - Bhubaneswar	Chd - Chandigarh	Chc - Chennai	Deh - Dehradun	Del - Delhi	Hyd - Hyderabad	Jpr - Jaipur	Kpr - Kanpur	Kol - Kolkata	Lkn - Lucknow	Lud - Ludhiana	Mum - Mumbai	Pat - Patna	Pun - Pune	Rai - Raipur	Ran - Ranchi	Sur - Surat	Thi - Thiruvananthapuram	Lon - London	NYC - New York	
CITIZEN SERVICES																										
7	Has the state mandated guaranteed public service delivery to citizens?	YES =10 NO = 0	10	10	10	10	0	0	10	10	0	10	10	0	10	10	0	10	0	10	10	10	0	NA	NA	
8	Does the city have a Citizen's Charter providing for:																									
i	Services provided by it	YES =2.5 NO = 0	2.5	2.5	2.5	2.5	2.5	2.5	0	0	2.5	0	2.5	2.5	2.5	0	0	0	2.5	2.5	0	2.5	2.5	NA	NA	
ii	Target levels of service	YES =2.5 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2.5	0	0	0	NA	NA	
iii	Timelines for delivery of services	YES =2.5 NO = 0	2.5	2.5	2.5	2.5	2.5	0	0	0	2.5	0	2.5	2.5	2.5	0	0	0	2.5	2.5	0	2.5	2.5	NA	NA	
iv	Protocols for obtaining relief, where service levels are not met?	YES =2.5 NO = 0	0	2.5	2.5	2.5	2.5	2.5	0	0	2.5	0	2.5	2.5	2.5	0	0	0	2.5	2.5	0	2.5	2.5	NA	NA	
9	Does the ULB have single-window civic service centres?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	0	0	0	10	10	
Average Score for Citizen Services			5	5.8	5.8	5.8	2.5	1.7	3.3	3.3	2.5	3.3	5.8	2.5	5.8	3.3	0	3.3	2.5	10	3.3	5.8	2.5	10	10	
OMBUDSMAN																										
10	Does the ULB have an Ombudsman?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	10	
11	Is the Ombudsman authorized to:																									
i	Investigate corruption suo motu?	YES =5 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	5	0	5	
ii	Resolve inter-agency disputes?	YES =5 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Average Score for Ombudsman			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	7.5	5.0	7.5	
AUDIT																										
12	Is the ULB required by its Municipal Act to carry out an Internal Audit within a predetermined frequency, at least annual?	YES =10 NO = 0	10	10	10	10	10	10	10	10	10	10	10	10	10	10	10	0	10	0	0	10	10	10	10	
13	Are the internal audit reports of the ULB available in the public domain?	YES =10 NO = 0	0	0	0	0	0	0	0	10	0	0	0	0	0	0	10	0	0	0	0	10	0	10	10	
14	Are the annual accounts of the ULB mandated to be audited by an independent/external agency?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
15	Are the audited annual financial statements/audited annual accounts of the ULB available in the public domain?	YES =10 NO = 0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
16	Does the governing legislation of the ULB require the auditor to submit its report to the Council and/or the State Legislature?	YES =10 NO = 0	10	10	10	10	10	10	0	10	10	10	0	10	0	10	10	10	10	10	10	10	10	10	10	

Serial No.	Questions	Scoring Method	Ahd - Ahmedabad	Blr - Bangalore	Bpl - Bhopal	Bhb - Bhubaneswar	Chd - Chandigarh	Che - Chennai		Deh - Dehradun	Del - Delhi	Hyd - Hyderabad	Jpr - Jaipur	Kpr - Kanpur	Kol - Kolkata	Lkn - Lucknow	Lud - Ludhiana	Mum - Mumbai	Pat - Patna	Pun - Pune	Raj - Rajpur	Ran - Ranchi	Sur - Surat	Thi - Thiruvananthapuram	Lon - London	NYC - New York	
17	Has the state government transferred technical guidance and supervision over the audit of ULBs to the CAG?	YES =10 NO = 0	10	10	10	10	0	10		0	0	10	10	10	10	10	0	10	10	10	10	10	10	10	10	NA	NA
18	Is the ULB required by its governing legislation to respond to observations raised by its Auditors																										
i	within a specified time period?	YES =5 NO = 0	5	5	0	0	0	5		0	0	0	0	0	0	0	0	0	5	0	0	0	5	0	5	5	
ii	and place it before the Council/State Legislature?	YES =5 NO = 0	5	5	5	0	5	5		0	0	0	5	0	5	0	5	0	5	5	5	5	5	0	5	5	
Average Score for Audit			5.7	5.7	5.0	4.3	3.6	5.7		1.4	4.3	4.3	5.0	2.9	5.0	2.9	3.6	5.7	4.3	5.0	3.6	3.6	7.1	4.3	10	10	
PARTICIPATION																											
19	Has the State Government enacted the Community Participation Law (CPL)?	YES =10 NO = 0	0	10	10	0	0	10		10	0	10	10	10	10	10	10	10	10	10	10	10	0	10	NA	NA	
20	Have Rules implementing the CPL been notified?	YES =10 NO = 0	0	10	10	0	0	0		10	0	10	0	10	10	10	0	0	10	0	10	0	0	10	NA	NA	
21	Have Ward Committees been constituted for all wards of the ULB?	YES =10 NO = 0	10	10	10	0	10	10		10	10	10	0	10	10	10	0	10	0	10	10	0	10	10	10	10	
22	Have Area Sabhas been constituted in all wards of the ULB?	YES =10 NO = 0	0	0	0	0	0	0		0	0	10	0	0	0	0	0	0	0	0	0	0	0	0	NA	NA	
23	Does the ULB harness the spirit of volunteerism among its citizens and provide such opportunities for them?	YES =10 NO = 0	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	10	10	
24	Does the ULB have a participatory budgeting process in place?	YES =10 NO = 0	0	0	0	0	0	0		0	0	0	0	0	0	0	0	0	0	10	0	0	0	0	0	0	
Average Score for Participation			1.7	5.0	5.0	0	1.7	3.3		5.0	1.7	6.7	1.7	5.0	5.0	5.0	1.7	3.3	3.3	5.0	5.0	1.7	1.7	5.0	6.7	6.7	
Average Score for Transparency, Accountability and Participation			2.9	4.4	4.6	2.9	1.9	3.1		2.0	2.4	4.0	2.7	3.9	2.9	3.9	2.7	2.9	3.2	3.6	4.4	2.5	3.5	4.9	8.3	8.8	

GEOGRAPHICAL DISTRIBUTION OF ASICS 2014 CITIES

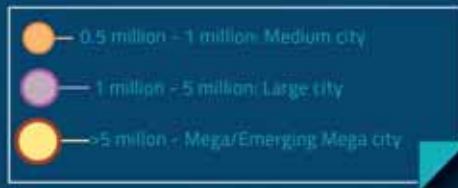


Fig. 1.0
Source: Census of India, 2011
*All populations in millions

6. Methodology

1. Approach

The Second Edition of ASICS 2014 builds on the approach taken in the Inaugural Edition in 2013. It is an objective benchmarking of 21 cities on 83 questions covering 115 parameters and takes a systematic, data-driven approach towards urban governance.

ASICS does not focus on the dysfunctional aspects of Indian cities that stare out at citizens—the potholed roads, lack of 24x7 water supply, unfettered proliferation of slum settlements or over-stretched public transport, but seeks to highlight the flawed legislations, policies, processes and practices that lie at the root of these issues.

ASICS devises a quantitative assessment that is reflected in individual scores. The scoresheet that is comparable across cities is meant to provide administrators and policymakers with a diagnosis of systemic reforms needed in their respective areas. It also seeks to identify and acknowledge innovations in governance and best practices across cities which could provide valuable peer learning.

The questionnaire is divided into four parts as follows:

Components of the City-Systems framework	Number of Questions
Urban Planning and Design	29
Urban Capacities and Resources	16
Empowered and Legitimate Political Representation	14
Transparency, Accountability and Participation	24

Table 3

2. Key modifications

ASICS acknowledges that urbanisation is a dynamic process. The Second Edition of ASICS has sharpened its approach from last year. Measuring urban governance is complex with regard to laws, policies, practices and institutions and ASICS 2014 has devised a sharper approach to measurement. Accordingly 40 new questions have been added and 22 from the previous year were phased out.

Acknowledging that the contours of urban areas are rapidly changing, we have also expanded our geographical coverage.

3. Selection of cities

The Second Edition of ASICS employs the size (in terms of population) and the geographical distribution of cities as the main selection criteria. In addition to the 11 cities from last year, ASICS 2014 has extended its scope to 10 new cities—Bhopal, Bhuvaneshwar, Chandigarh, Dehradun, Lucknow, Ludhiana, Patna, Ranchi, Raipur and Thiruvananthapuram. They were selected for being the nine state capitals with the largest population. Ludhiana was subsequently added on a recommendation of the ASICS Jury which pertinently pointed out the need to have a city representing Punjab given the rapid pace of urbanization in the state.

Thus the scope of ASICS 2014 comprises five mega-cities (5 million - 10 million or more), 12 large cities (1 million-5 million) and four medium cities (0.5 million-1 million) as depicted in the (Figure 1.0). The 21 ASICS cities constitute 21% of India's urban population.

London and New York were retained as global benchmarks from the previous Edition given that they are cities with functional democracies and widely considered to be offering their citizens a high Quality of Life.

4. Selection of categories and questions

The categorisation of ASICS questions into four parts: Urban Planning & Design, Urban Capacities and Resources, Empowered and Legitimate Political Representation, and Transparency, Accountability and Participation reflects the City-Systems framework of Janaagraha.

The questions used to evaluate cities were drawn from Janaagraha's experience over a decade in urban governance reforms and recommendations of the ASICS Jury. We also used as a basis for framing questions some relevant laws, policies and administrative reports. These included the 74th CAA, Report of the Second Administrative Reforms Commission, Report of the Thirteenth Finance Commission, the NUSPD guidelines and reform conditions from JnNURM. A clear rationale was adopted to ensure that the questions comprehensively represented polices, institutions, processes and aspects of implementation which if fixed could substantially transform the shape of our cities and ensure a better Quality of Life to citizens.

5. Data collection

Data collection spanned a period of six months. Latest amendments in laws and policies have been factored in and we have taken care to ensure that the data collected in the early months was re-checked for its latest available form.

We continuously encountered lack of transparency within government while seeking information as basic as the budgets of ULBs, SDPs and audit reports. We also relied on phone calls to relevant government and ULB officials and opinions of experts such as former Chief Town Planner of the Town and Country Planning Organisation, Government of India, Prof E F N Ribeiro. For a detailed break-up of sources, please refer to **Data Sources on Page 58**.

6. Scoring & Weightage

All questions have been scored on a range of 0 to 10, with 10 being the highest that a city can score. Select questions have been divided into sub-questions and given graded scores to ensure that various facets are captured within a single parameter. For instance, ULBs have been assessed for preparing and implementing SDPs. The sub-questions effectively capture the essence of devolution by specifically evaluating cities on three levels of planning - Metropolitan SDPs, Municipal Plans and Ward SDPs. ASICS presents an overall score only to provide a more holistic representation of the data. We also relied on phone calls

Deviating from the approach taken in ASICS 2013, the team has consciously done away with weighting individual questions. We believe each question probes a defining quality and is equally important towards building a City-Systems framework. Each category within the City-Systems framework was also weighted equally.

7. Explanatory Schedule

We have provided an explanation for some of the questions listed below as their evaluation deserved elucidation beyond the Scoring Method that is carried in the individual scorecards.

UCR

Q 2) What is the Percentage of own revenues to total expenditure for the ULB?

We have evaluated this question by computing the revenues generated by the ULB on its own, as a percentage of the ULBs' total expenditure, from the 2012-13 revised budget estimates of ULBs. This percentage was subsequently reflected into a score on 10.

Q 9) Does the ULB have adequate staff commensurate with the population?

We considered the total number of ULB employees which included permanent staff as well as contractual workers. We subsequently computed the ratio of employees per lakh population and the figure for individual cities was benchmarked against Delhi, which had the highest number of staffers.

Q 11) Have five SFCs been constituted by the state government?

We derived the periodicity for the setting up of SFCs from the 74th CAA. Accordingly, states are required to have constituted five SFCs in the period between 1994 and 2014. We factored in the requirement for newly-formed states such as Chhattisgarh, Jharkhand and Uttarakhand to have only three SFCs. We have scored cities as 10 for constituting all five SFCs, 7.0 if they constituted four, 5.0 if they constituted three, 3.0 if they constituted two, and 1.0 if they constituted one.

ELPR

Q 11) Is the ULB responsible for providing 10 specific and critical functions and services?

We checked whether 10 critical civic functions have been devolved from State list to the ULB. Seven of these parameters (urban planning, planning for economic and social development, roads and bridges, water supply, fire and emergency services, promotion of cultural, educational and aesthetic aspects and urban environment management and heritage) were selected from XIth Schedule functions and the other three (public health, traffic management and civic policing activities) from recommendations of the Second Administrative Reforms Commission. Each function was scored on 1.0.

TAP

Q 9) Does the ULB have single window civic service centres?

We evaluated civic centres on whether they provide services such as issue of birth/death certificates, payment of bills, payment of property tax, complaint redressal and whether they meet the criteria of population coverage of one civic service centre per one lakh population.

8. Additional points

- We have used the term 'city' throughout the report and have considered the ULB and its population for this purpose.
- The three parts of Municipal Corporation of Delhi were evaluated as one. The New Delhi Municipal Council was not considered for Delhi.
- MCD has been given zero for Capex due to the non-availability of the budget. Ludhiana was also scored zero because of non-availability of the budget.
- In UPD, Bhubaneswar and Dehradun having population lesser than one million have been scored as NA. As per the 74th CAA UA/ULB populations greater than one million population are required to have MA demarcated and SDPs to be prepared for the same.

Data Sources

Municipal Corporation Acts	City
Bombay Provincial Municipal Corporation Act, 1949	Ahmedabad, Surat, Pune
Karnataka Municipal Corporations Act, 1976	Bangalore
Madhya Pradesh Municipal Corporation Act, 1956	Bhopal
Orissa Municipal Corporation Act, 2003	Bhubaneswar
Punjab Municipal Corporation Act, 1976	Chandigarh, Ludhiana
The Chennai City Municipal Corporation Act, 1919	Chennai
Uttarakhand Municipal Corporation Act, 1959	Dehradun
Delhi Municipal Corporation Act, 1957	Delhi
Greater Hyderabad Municipal Corporation Act, 1955	Hyderabad
Rajasthan Municipality Act, 2009	Jaipur
Uttar Pradesh Municipal Corporation Act, 1959	Kanpur, Lucknow
Kolkata Municipal Corporation Act, 1980	Kolkata
Mumbai Municipal Corporation Act, 1888	Mumbai
Bihar Municipal Act 2007	Patna
Chhattisgarh Municipal Corporation Act, 1956	Raipur
Jharkhand Municipal Act, 2011	Ranchi
Kerala Municipality Act, 1994	Thiruvananthapuram

Town and Country Planning Acts	City
Gujarat Town Planning and Urban Development Act, 1976	Ahmedabad, Surat
Karnataka Town and Country Planning Act, 1961	Bangalore
Madhya Pradesh Town and Country Planning Act, 1973	Bhopal
Orissa Town Planning and Improvements Trust Act, 1956	Bhubaneswar
Tamil Nadu Town and Country Planning Act, 1971	Chennai
Uttarakhand Urban Planning and Development Act, 1973	Dehradun
Delhi Development Act 1957/Delhi (NCR) Planning Board Act, 1985	Delhi
Andhra Pradesh Town Planning Act, 1920	Hyderabad
Andhra Pradesh Urban Areas Development Act, 1975	Hyderabad
Hyderabad Metropolitan Development Act, 2008	Hyderabad
Jaipur Development Authority Act, 1982	Jaipur
Uttar Pradesh Urban Planning and Development Act, 1973	Kanpur, Lucknow
West Bengal Town and Country (Planning and Development) Act, 1979	Kolkata
Punjab Regional and Town Planning and Development Act, 1995	Ludhiana
Maharashtra Regional and Town Planning Act, 1966	Mumbai, Pune
Bihar Urban Planning and Development Act, 2012	Patna

Town and Country Planning Acts	City
Chhattisgarh Nagar Tatha Gram Nivesh Niyam, 1973	Raipur
Kerala Town and Country Planning Ordinance 2013	Thiruvananthapuram

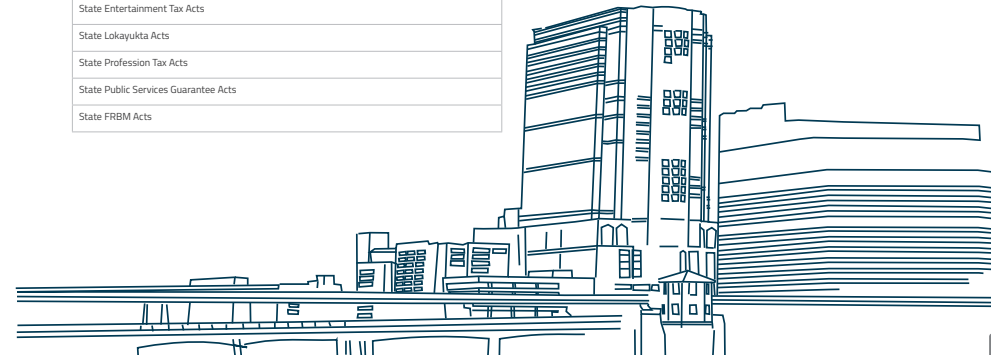
Municipal Budgets (2013-14/ 2012-13)	City
Ahmedabad Municipal Corporation Budget 2013-14	Ahmedabad
Bruhat Bangalore Mahanagara Palike Budget 2013-14	Bangalore
Bhopal Municipal Corporation Budget 2013-14	Bhopal
Bhubaneswar Municipal Budget 2013-14	Bhubaneswar
Chandigarh Municipal Corporation Budget 2012-13	Chandigarh
Chennai Municipal Corporation Budget 2013-14	Chennai
Dehradun Municipal Corporation Budget 2012-13	Dehradun
East Delhi Municipal Budget 2013-14	Delhi
North Delhi Municipal Budget 2013-14	Delhi
South Delhi Municipal Budget 2013-14	Delhi
Hyderabad Municipal Budget 2013-14	Hyderabad
Jaipur Municipal Budget 2013-14	Jaipur
Kanpur Municipal Budget 2013-14	Kanpur
Kolkata Municipal Corporation Budget 2013-14	Kolkata
Lucknow Nagar Nigam Budget 2013-14	Lucknow
Mumbai Municipal Corporation Budget 2013-14	Mumbai
Patna Municipal Corporation Budget 2013-14	Patna
Pune Municipal Corporation Budget 2013-14	Pune
Raipur Municipal Corporation Budget 2013-14	Raipur
Ranchi Municipal Budget 2013-14	Ranchi
Surat Municipal Budget 2013-14	Surat
Trivandrum Municipal Corporation Budget 2013-14	Thiruvananthapuram

Metropolitan/Municipal Master Plans	City
AUDA (Ahmedabad Urban Development Authority) Master Plan 2021	Ahmedabad
BDA (Bangalore Development Authority) Master Plan 2015	Bangalore
BMRDA (Bangalore Metropolitan Regional Development Authority) Master Plan 2031	Bangalore
Bhopal Development Authority Master Plan 2005	Bhopal
Bhubaneswar Comprehensive Development Plan 2030	Bhubaneswar
Chandigarh Master Plan 2031	Chandigarh
CMDA (Chennai Metropolitan Development Authority) Master Plan 2026	Chennai

Metropolitan/Municipal Master Plans	City
Dehradun Development Authority Master Plan 2021	Dehradun
Delhi Development Authority Master Plan 2021	Delhi
Hyderabad Metropolitan Development Authority Master Plan 2031	Hyderabad
Jaipur Development Authority Master Plan 2025	Jaipur
Kanpur Development Authority Master Plan 2021	Kanpur
Kolkata Metropolitan Development Authority Master Plan 2025	Kolkata
Lucknow Development Authority Master Plan 2021	Lucknow
Ludhiana Master Plan 2021	Ludhiana
Mumbai Metropolitan Region Development Authority Master Plan 2011	Mumbai
Patna Master Plan 2021	Patna
Pune Development Plan 2027	Pune
Raipur Master Plan 2021	Raipur
Ranchi Master Plan 2037	Ranchi
Surat Urban Development Authority Development Plan 2004	Surat
Trivandrum Master Plan 2031	Thiruvananthapuram

Government Reports, Other Acts & Rules
National Urban Spatial Planning & Development Guidelines - 2013
Report on Indian Urban Infrastructure and Services, March 2011 by the High Powered Expert Committee (HPEC) for Estimating the Investment Requirements for Urban Infrastructure Services
Report of the Thirteenth Finance Commission
Second Administrative Reforms Commission Report - 'Sixth Report on Local Governance' An inspiring journey into the future'
Audit Reports of the CAG of India
State Advertisement Tax Acts
State Civil Service Rules
State Election Acts/Rules
State Entertainment Tax Acts
State Lokayukta Acts
State Profession Tax Acts
State Public Services Guarantee Acts
State FRBM Acts

websites of Municipal Corporations	City
http://www.egovamc.com/	Ahmedabad
http://bbmp.gov.in/	Bangalore
http://www.bhopalmunicipal.com/	Bhopal
http://bmc.gov.in/	Bhubaneswar
http://mcchandigarh.gov.in/	Chandigarh
http://www.chennaicorporation.gov.in/	Chennai
http://www.nagarnigamdehradun.com/	Dehradun
http://mcdonline.gov.in/	Delhi
http://www.ghmc.gov.in/	Hyderabad
http://jaipurmc.org/	Jaipur
http://fmc.up.nic.in/	Kanpur
https://www.km.gov.in/	Kolkata
http://lmc.up.nic.in/	Lucknow
http://main.mcludhiana.gov.in/	Ludhiana
http://www.mcgm.gov.in/	Mumbai
http://www.patnanagarnigam.in/	Patna
http://www.punecorporation.org/	Pune
http://www.nagarnigamraipur.com/	Raipur
http://www.ranchimunicipal.com/	Ranchi
http://www.suratmunicipal.gov.in/	Surat
http://www.corporationoftrivandrum.in/	Thiruvananthapuram



Annexure 1

UPD: Poor implementation of Spatial Development Plans

Evaluation of parameters like adequate institutional ability to enforce Planning Acts has been difficult due to the lack of government data. But media articles like the one below illustrate the rampant violations of SDPs even in large cities like Bangalore. Time and again such brazenness and unfettered real estate development has come to the fore. A satellite town on the outskirts of Mumbai called Ulhasnagar was in the news in 2005 for over one lakh buildings being illegal. All these illegal structures were regularised a year later.

There are many underlying reasons for such a failure, but there are two main ones that stand out. Existing Town and Country Planning Acts fail to incorporate robust provisions on enforcement of the SDPs. Even where provisions exist, implementing authorities often turn a blind eye to abuse of existing Planning Acts.



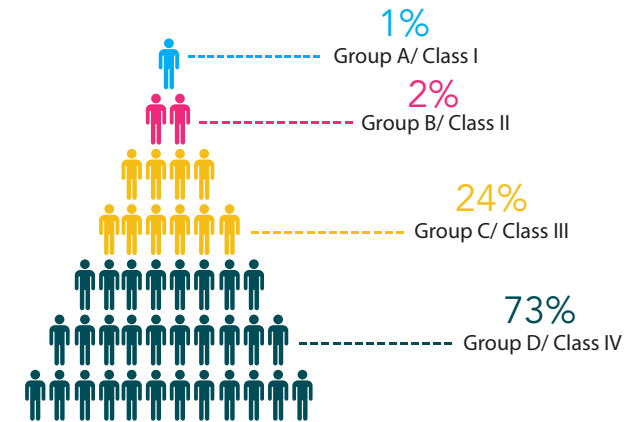
(Source: Bangalore Mirror-Cover Story, May 21, 2014)

Annexure 2

UCR: Need for Destination Organisation Charts

The figure depicts the lopsided staffing pattern in ULBs in India and the acute shortage of senior management personnel. There are merely 1% of Group A (Class I) employees in ULBs, in sharp contrast to the 97% of Group C and Group D employees. The pyramid illustrates the capacity constraints that bind down the efficient functioning of ULBs.

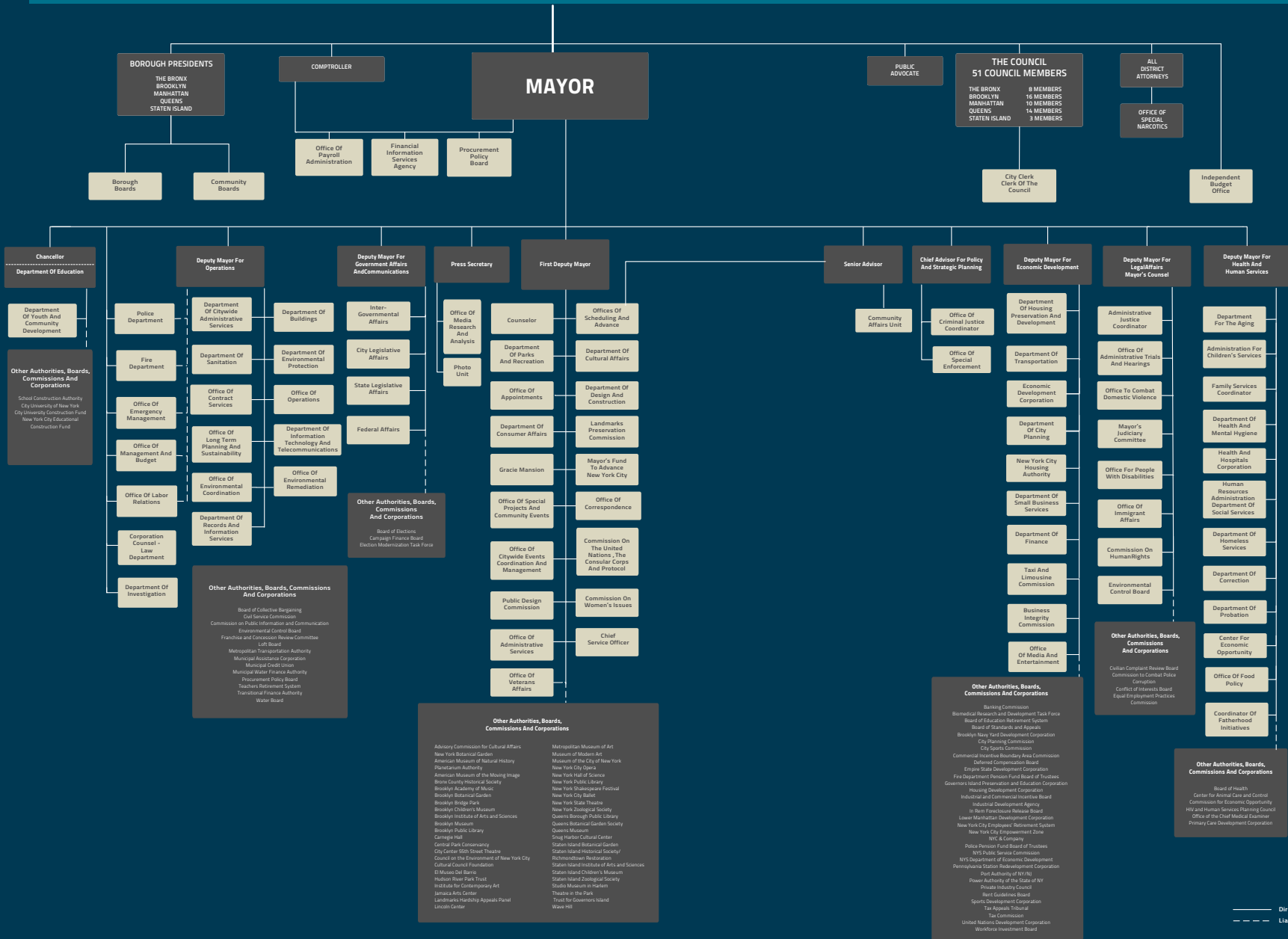
Comprehensive, standardized and well-defined staffing requirements numbers, job specifications and job descriptions across urban services and functions are the need of the hour. Putting in place a destination organization chart with all these facets would help in better identification of gaps in ULBs' staffing needs and help define skill sets at each level of the ULBs' organizational structure. A reform mandating that ULBs create and update their organization charts in a pre-defined periodicity should be put in place at the earliest.



Source: "Capacity Building of ULBs: An urgent imperative", 2009 by PricewaterhouseCoopers

Annexure 3: ELPR - ORGANISATION STRUCTURE OF NYC

- BOROUGH OF THE BRONX, BROOKLYN, MANHATTAN, QUEENS AND STATEN ISLAND



Annexure 4: ASICS 2014 SCORECARD EXPLAINED

OVERALL SCORES FOR ASICS 2014

City	UPD	UCR	ELPR	TAP	AVERAGE SCORE	TOTAL RANK
Ahmedabad	2.2	3.5	5.2	2.9	3.4	10
Bangalore	2.6	1.4	2.8	4.4	2.8	18
Bhopal	2.3	3.1	5.1	4.6	3.7	3
Bhubaneswar	2.5	1.6	3.3	2.9	2.6	20
Chandigarh	0.6	2.2	5.1	1.9	2.5	21
Chennai	2.7	2.1	4.8	3.1	3.2	12
Dehradun	2.4	2.2	5.0	2.0	2.9	16
Delhi	3.5	4.3	4.1	2.4	3.6	5
Hyderabad	2.7	1.5	3.3	4.0	2.9	17
Jaipur	2.4	2.3	5.7	2.7	3.3	11
Kanpur	2.4	1.9	4.4	3.9	3.2	14
Kolkata	2.8	3.6	6.8	2.9	4.0	1
Lucknow	2.3	2.1	4.4	3.9	3.2	13
Ludhiana	2.0	1.1	5.2	2.7	2.8	19
Mumbai	2.4	4.0	4.6	2.9	3.5	9
Patna	2.0	3.7	5.3	3.2	3.6	4
Pune	1.8	3.3	5.3	3.6	3.5	8
Raipur	1.7	1.8	6.3	4.4	3.5	6
Ranchi	1.7	2.5	5.8	2.5	3.1	15
Surat	2.2	3.2	5.2	3.5	3.5	7
Thiruvananthapuram	2.1	2.5	6.2	4.9	3.9	2

- Indian cities score in a range of 2.5 and 4.0
- The average score for all Indian cities is 3.3
- Chandigarh is the city with the lowest scores overall at 2.5. This could be attributed to its weak legislations across sections. It has no contemporary Planning Act, PDL or CPL in place
- Kolkata emerges as city with the highest scores at 4.0 on account of its relative success in both ELPR and UPD. It ranks first in ELPR riding on its sound electoral process, by way of a robust SEC and high voter turnouts and ranks second in UPD for its two levels of planning, as well as adequacy of town planners
- Thiruvananthapuram features at a close second rank to Kolkata overall, with a marginal score difference. It is the only city with a local ombudsman
- London and New York which are selected as benchmarks score 9.6 and 9.3 overall

URBAN PLANNING AND DESIGN : CATEGORY SCORES

City	PLANNING ACTS	SPATIAL DEVELOPMENT PLANS (MASTER PLANS)	IMPLEMENTATION OF THE SDPS	AVERAGE UPD SCORE	RANK
Ahmedabad	5.3	1.4	0.0	2.2	13
Bangalore	5.8	1.8	0.0	2.6	5
Bhopal	5.6	1.2	0.0	2.3	11
Bhubaneswar	6.2	1.4	0.0	2.5	6
Chandigarh	NA	1.2	0.0	0.6	21
Chennai	6.1	2.0	0.0	2.7	4
Dehradun	5.9	1.4	0.0	2.4	8
Delhi	6.7	3.8	0.0	3.5	1
Hyderabad	5.8	2.3	0.0	2.7	3
Jaipur	5.0	2.3	0.0	2.4	7
Kanpur	5.8	1.4	0.0	2.4	9
Kolkata	6.1	2.3	0.0	2.8	2
Lucknow	5.6	1.2	0.0	2.3	11
Ludhiana	5.8	0.3	0.0	2.0	16
Mumbai	5.3	1.8	0.0	2.4	10
Patna	5.8	0.3	0.0	2.0	16
Pune	5.0	0.3	0.0	1.8	18
Raipur	4.7	0.3	0.0	1.7	19
Ranchi	4.7	0.3	0.0	1.7	19
Surat	5.3	1.4	0.0	2.2	13
Thiruvananthapuram	6.1	0.3	0.0	2.1	15

- Indian cities score in a range of 0.6 to 3.5 on UPD
- The lack of planning is evident from the average score for Indian cities which stands at 2.2 out of 10 and the straight zero all cities score on the sub-category on implementation of plans
- Delhi with a score of 3.5 is the city with the best scores on UPD, as it is the only city with Ward SDPs
- Despite being a 'planned city', Chandigarh ranks the lowest on UPD scoring a paltry 0.6. This is mainly because Chandigarh does not have a contemporary Planning Act and prepares SDPs only at the Municipal level, not at the Metropolitan or Ward level
- The contrast is sharpest in UPD as London and New York City score a perfect 10 on account of decentralization in preparation, approval and implementation of SDPs. They also have a thorough process of measuring and evaluating the SDPs after they are implemented, a lacuna across Indian cities

URBAN CAPACITIES AND RESOURCES : CATEGORY SCORES

City	FINANCIAL MANAGEMENT	STAFFING	INSTITUTIONAL FRAMEWORK	AVERAGE UCR SCORE	RANK
Ahmedabad	5.2	4.4	0.8	3.5	5
Bangalore	1.9	1.4	0.8	1.4	20
Bhopal	1.4	3.3	4.5	3.1	8
Bhubaneswar	2.7	1.3	0.8	1.6	18
Chandigarh	1.9	2.0	2.8	2.2	12
Chennai	3.8	1.3	1.2	2.1	15
Dehradun	1.5	3.4	1.7	2.2	13
Delhi	5.0	6.7	1.2	4.3	1
Hyderabad	2.5	1.0	0.8	1.5	19
Jaipur	3.5	0.7	2.8	2.3	11
Kanpur	1.2	3.3	1.2	1.9	16
Kolkata	3.1	4.9	2.8	3.6	4
Lucknow	1.8	3.3	1.2	2.1	14
Ludhiana	1.1	1.2	1.2	1.1	21
Mumbai	5.6	5.1	1.2	4.0	2
Patna	4.4	4.0	2.8	3.7	3
Pune	3.9	4.7	1.2	3.3	6
Raipur	1.1	3.4	0.8	1.8	17
Ranchi	4.4	2.4	0.8	2.5	9
Surat	4.8	4.0	0.8	3.2	7
Thiruvananthapuram	4.0	2.4	1.2	2.5	10

- Indian cities score in a range of 1.1 to 4.3 on UCR
- The average UCR score for the Indian cities is 2.6 as most cities have a very poor institutional framework-poor coordination mechanisms with parastatals and non-existent performance management systems among others
- Delhi scores the highest on UCR at 4.3 as it enjoys relatively better financial management. With a staff of 1,260 per 100,000 population, Delhi has the best staffing strength among Indian cities as well
- Ludhiana ranks the last among the 21 cities on UCR owing to its lack of autonomy over finances and appointment and termination of its employees
- London and New York again score perfect 10 as they have complete autonomy over managing of their finances and handling their staff

EMPOWERED AND LEGITIMATE POLITICAL REPRESENTATION : CATEGORY SCORES

City	ELECTIONS	VOTING	MAYOR	COUNCIL	AVERAGE ELPR SCORE	RANK
Ahmedabad	10.0	5.0	2.0	3.8	5.2	8
Bangalore	2.5	3.8	2.0	3.0	2.8	21
Bhopal	5.0	3.8	6.0	5.5	5.1	11
Bhubaneswar	5.0	1.3	4.0	2.8	3.3	19
Chandigarh	7.5	7.5	2.0	3.3	5.1	11
Chennai	5.0	5.0	6.0	3.3	4.8	14
Dehradun	5.0	6.3	6.0	2.8	5.0	13
Delhi	5.0	6.3	2.0	3.3	4.1	18
Hyderabad	2.5	3.8	4.0	2.8	3.3	19
Jaipur	5.0	6.3	6.0	5.5	5.7	5
Kanpur	5.0	3.8	6.0	2.8	4.4	16
Kolkata	10.0	7.5	6.0	3.8	6.8	1
Lucknow	5.0	3.8	6.0	2.8	4.4	16
Ludhiana	5.0	8.8	4.0	3.0	5.2	8
Mumbai	10.0	2.5	2.0	4.0	4.6	15
Patna	7.5	3.8	4.0	5.8	5.3	6
Pune	10.0	5.0	2.0	4.0	5.3	6
Raipur	10.0	3.8	6.0	5.5	6.3	2
Ranchi	7.5	3.8	6.0	5.8	5.8	4
Surat	10.0	5.0	2.0	3.8	5.2	8
Thiruvananthapuram	10.0	7.5	4.0	3.3	6.2	3

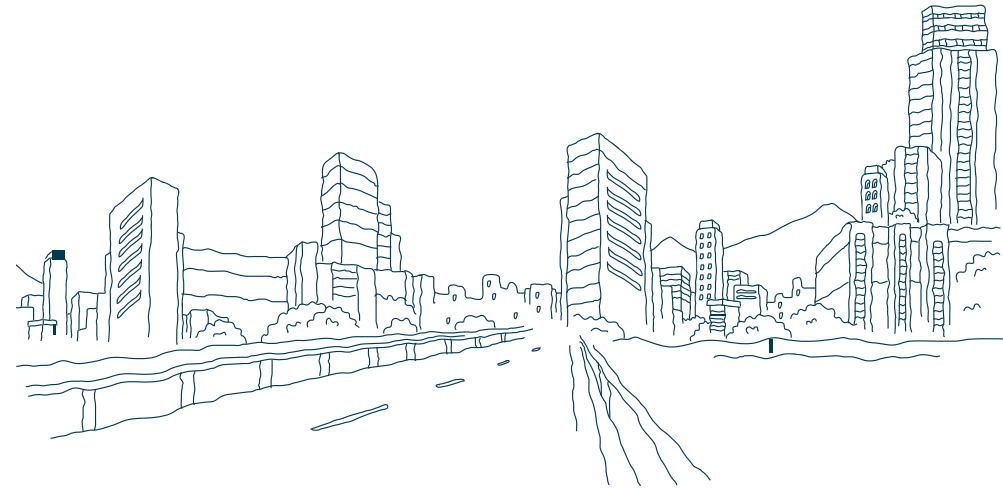
- Indian cities score in a range of 2.8 to 6.8 on ELPR
- With an average score of 4.9, Indian cities do fairly well in ELPR as compared to the other City-Systems components
- Kolkata ranks first in ELPR scoring 6.8 on account of its robust non-partisan election processes and high voter turnouts. It is the only city to have constituted an MPC with the Mayor as an ex-officio member of it
- Bangalore with 2.8 is ranked the last as a major function of conducting elections still lies with state government. It loses out for its indirectly elected Mayor that has a short one year term
- London and New York score 10.0 and 8.3 respectively on ELPR as they have empowered systems related to their Mayor and Council. New York lags behind London here as Councillors aren't required to disclose the conflicts of interests, *suo motu*

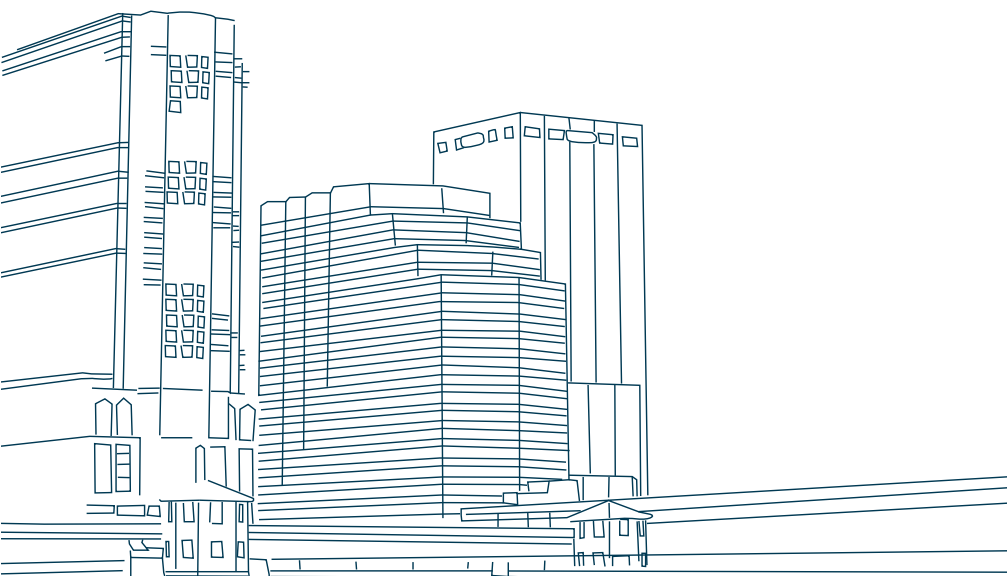
NOTES

TRANSPARENCY, ACCOUNTABILITY AND PARTICIPATION: CATEGORY SCORES

City	OPEN GOVERNMENT	CITIZEN SERVICES	OMBUDSMAN	AUDIT	PARTICIPATION	AVERAGE TAP SCORE	RANK
Ahmedabad	1.9	5.0	0.0	5.7	1.7	2.9	14
Bangalore	5.6	5.8	0.0	5.7	5.0	4.4	3
Bhopal	7.2	5.8	0.0	5.0	5.0	4.6	2
Bhubaneswar	4.6	5.8	0.0	4.3	0.0	2.9	12
Chandigarh	1.9	2.5	0.0	3.6	1.7	1.9	21
Chennai	4.9	1.7	0.0	5.7	3.3	3.1	11
Dehradun	0.3	3.3	0.0	1.4	5.0	2.0	20
Delhi	2.5	3.3	0.0	4.3	1.7	2.4	19
Hyderabad	6.7	2.5	0.0	4.3	6.7	4.0	5
Jaipur	3.6	3.3	0.0	5.0	1.7	2.7	17
Kanpur	5.9	5.8	0.0	2.9	5.0	3.9	6
Kolkata	2.2	2.5	0.0	5.0	5.0	2.9	13
Lucknow	5.9	5.8	0.0	2.9	5.0	3.9	6
Ludhiana	5.2	3.3	0.0	3.6	1.7	2.7	16
Mumbai	5.3	0.0	0.0	5.7	3.3	2.9	14
Patna	5.3	3.3	0.0	4.3	3.3	3.2	10
Pune	5.3	2.5	0.0	5.0	5.0	3.6	8
Raipur	3.3	10.0	0.0	3.6	5.0	4.4	4
Ranchi	4.2	3.3	0.0	3.6	1.7	2.5	18
Surat	2.8	5.8	0.0	7.1	1.7	3.5	9
Thiruvananthapuram	5.2	2.5	7.5	4.3	5.0	4.9	1

- Indian cities score in a range of 1.9 to 4.9 on TAP
- The average of all cities is 3.3 with Indian cities sorely lacking Open Government practices or participatory processes
- Thiruvananthapuram ranks first on TAP for having legislative PDL that is fairly on the lines of the Model Act. It stands apart as the only city with a local body ombudsman to fight corruption at the lowest levels
- Chandigarh comes last in TAP scoring 1.9 owing to its failure to put the PDL and CPL in place
- London and New York are leaps ahead in TAP scoring 8.3 and 8.8 respectively.





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