Tools and Resources Kit (TRK)

for preparation of

Status Report on Urban Reforms (SRUR)
(for a particular state)

Urban India Reforms Facility
School of Habitat Studies
Tata Institute of Social Sciences

Tools and Resources Kit (TRK) for Status Report on Urban Reforms (SRUR)-*For a particular state*

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List of Abbreviations

74th CA: 74th Constitutional Amendment
BSUP: Basic Services to Urban Poor
CSOs: Civil Society Organisations
DMA: Directorate of Municipal Administration
CFC: Central Finance Commission
GoI: Government of India
GoM: Government of Maharashtra
IHSDP: Integrated Housing and Slum Development Programme
JNNURM: Jawaharlal Nehru National Urban Renewal Mission
MHADA: Maharashtra Housing and Area Development Authority
MoHUPA: Ministry of Housing and Urban Poverty Alleviation
MoUD: Ministry of Urban Development
NGOs: Non-Governmental Organisations
PPP: Public-Private Partnerships
SFC: State Finance Commission
SLSC: State Level Steering Committee
UDD: Urban Development Department
UIDSSMT: Urban Infrastructure Development Scheme for Small and Medium towns
UIG: Urban Infrastructure and Governance
UIRF: Urban India Reforms Facility
ULBs: Urban Local Bodies

Chapter 1

Introduction

1.01 The problems associated with momentous urbanization taking place in our country have many dimensions. However, techno-financial approach, certainly one of the dominant school of thought these days, leads many to believe that these problems can be satisfactorily resolved by undertaking massive investments in urban infrastructure projects and induction of better management practices in the functioning of Urban Local Bodies (ULBs), such as computerization of their operations, resorting to outsourcing of services and encouraging Public-Private-Partnerships. However, the deficit in investments in urban infrastructure and poor ULB administration are not the only reasons for discontent simmering among majority of urban citizens in our country. The rising expectations of millions of urbanites about quality and adequacy of urban basic services have also contributed to this restlessness. The situation has further worsened on account of growing demand for decentralization and democratization of urban affairs, which in turn, is the result of expanding consciousness of common citizens and increasing participation of civil society organizations. The 74th Constitutional Amendment (CA), passed by the Parliament in 1992 has, in fact, created a conducive statutory framework to 'reform' the functioning of the ULBs so as to make it more participatory and accountable to its citizens. However, no tangible changes have taken place neither in functioning of ULBs nor in quality of urban services during last 18 years.

1.02 In response to this situation, in December 2005, Government of India while launching a set of mission/schemes[1] hereafter collectively termed as Jawaharlal Nehru National Urban Renewal Mission (JNNURM mission/ schemes or JNNURM Regime or simply JNNURM), has significantly stepped up allocation of funds towards urban infrastructure and sought to pressurize state governments to undertake measures to implement provisions and spirit of 74th CA. It has done so by attaching a 'set of conditionalities' to sanction as well as disbursement of financial assistance from it and introducing a set of model bills, viz., Community Participation Law (CPL) and Public Disclosure Law (PDL). These conditionalities are in the form of 23 Reform Proposals, 13 mandatory and 10 optional. The 13 mandatory 'reforms'[2] are to be implemented by each state (7 no.) and Urban Local Bodies (6 no.) and 10 optional[3] 'reforms' are to be implemented by both of them over a period.

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[1] The Jawaharlal Nehru National Urban Renewal Mission (JNNURM) covers a select group of 65 cities in the country, largely state capitals and cities of historical significance. All the cities / towns, other than these 65 cities are covered under two separate schemes, viz., Urban Infrastructure Development Scheme for Small & Medium Towns (UIDSSMT) and Integrated Housing & Slum Devlopment Programme (IHSDP). Eventhough, the Mission and the Schemes are formulated as distinct documents, presumably because they are being adminsitered by separate Ministries of Government of India, it needs to be noted that all of them have almost identical provisions and more importantly, the set of 23 Reform Proposals stipulated in them are identical for all the states and ULBs in the country. A brief Note is enclosed in *Annexure 1 (A)*

[2] There are in all 23 reform proposals stipulated in the JNNURM regime; 13 of them mandatory and 10 optional to be implemented by the state governments and ULBs; a list of these 23 reform proposals is provided in the *Annexure- 1* (B)

[3] Optional reforms are not 'optional' *per se* since the states/ULBs have to implement these reforms within the mission period; the 'option' is to select any two reforms out of a set of 10 for implementation per year.

1.03 Implementation of urban infrastructure projects is relatively easy as their progress and completion is measurable, by way of physical progress and earmarked funds expended, and are more or less being monitored by the concerned authorities in state and central governments. That is not the case with implementation of 'reform proposals'; many of them are politically sensitive (eg., creation of 'Area Sabha' under CPL or involving private sector in provision of urban services) or have to address sticky issues like work culture in ULBs necessary to introduce modern office practices (eg., accounting reforms or e-governance). Notwithstanding the time-lines prescribed by the central government, it is expected that implementation of 'reforms' will be a long drawn process. Hence, there is a need to monitor progress of urban reforms and assess their impact on common citizens. Further, it is also observed that, in most states, there are no political 'drivers' which will genuinely implement these urban reforms by identifying with the underlying spirit of 'deepening democracy'. Civil Society Organizations (CSOs) have proved to be too weak to counter the resistance from the local political establishment in this regard. Hence, there is a need to create mechanisms and knowledge products to empower all those elements in urban societies which may earnestly take the urban reform agenda forward.

1.04 The 'reform' measures enunciated by JNNURM provide such opportunities and spaces to make governance processes more transparent, participatory, and accountable. It is true that the 'reforms' under JNNURM are being criticised for their 'tokenism' by adopting 'nothing is going to happen' attitude by quite a few public spirited individuals/activists in our country. There are at least three reasons for adopting 'positive' approach towards ongoing urban reforms. First, it is felt that, whether what is being offered by the state is worthy enough or not, is also a function of strength or weakness of platforms representing interests of common citizens and in particular, urban poor. Keeping in mind their weakness, it is suggested that the spaces and opportunities provided by JNNURM regime shall be 'used' by these platforms, to acquire strengths. Second, though these opportunities and spaces are not tailored for poor or their capabilities, improving governance processes by using these spaces often provide immediate relief and/or benefits to poor and disadvantaged. Third, the expectations and apprehensions, aroused by the JNNURM mission/ schemes among the urban population, indicate at the need for effective public or citizens' control on these reform initiatives. Apart from individual citizens, civil society organizations and local academic institutions are also seen as the main instruments for making governance transparent, participatory, and accountable provided they are equipped with appropriate knowledge products and analytical tools.

Institutional Response from TISS

1.05 Tata Institute of Social Sciences (TISS), Mumbai, over last few decades, has been providing institutional responses to the societal needs in our country. Accordingly, School of Habitat Studies (SoHS), one of the schools of TISS, has recently set up Urban India Reform Facility (UIRF), with an overall goal of facilitating "increase public control or citizens' effective influence on urban reforms and their outcomes by providing knowledge support and services, mainly to local academic institutions and civil society

organizations". UIRF, in order to achieve this goal, however partially, has undertaken a time-bound 'Project' envisaging preparation of few Knowledge Products (KPs), monitoring the ongoing process of urban reforms and few downstream activities such as advocacy and public education. Status Report on Urban Reforms (SRUR) for a particular state is one of such KPs aimed at providing insight on the ongoing urban reforms process and empower those who are contemplating taking up issues on behalf of common citizens and particularly urban poor.

Need for Status Report on Urban Reforms (SRUR)

1.06 Since, there are indications that the JNNURM mission/ schemes will not only be extended beyond 2012, the original termination year, but will also be extended to more number of cities, it is felt that such documentation of the status of the reforms will also serve as an input for mid-course correction in these mission/ schemes. An academic institution or a civil society organization, enjoying administrative as also financial independence from state or central government machinery, may be best suited to prepare such status report. It is true that utility of the status report, or for that matter any other envisaged KP, will largely depend on richness and authenticity of relevant data and information in a particular state, readily available in public domain. However, if such data/ information is indeed available, it is expected that such status report has the capacity to genuinely serve those individuals/agencies who are keen to take up the cause on behalf of common citizens; such individuals may be found in administration of state governments and ULBs or these agencies will be in the form of local academic institutions/ civil society organizations or even political formations.

1.07 As per our federal Constitution, responsibility of directing and providing resources to ULBs has been entrusted to respective state governments. Accordingly, over the years, each state government, in response to the state-specific situations has enacted laws, formulated policies and procedures, and created institutions to direct and regulate functioning of the ULBs in that state. These factors, on one hand, have resulted in heterogeneity in the statutes, policies, practices, and institutions sponsored by the respective state governments and, on the other, have also been responsible for shaping up quality and representative-ness of participation of the citizens of a particular city / town. Even though, GoI, through JNNURM regime seeks to introduce 'uniformity' in the functioning of these ULBs, it is felt that it will not be an easy task and, even if it succeeds, may require long years. As ULBs will continue to be the responsibility of respective states in foreseeable future, it is necessary that any *status* report pertaining to urban issues, not only covering urban reforms, shall be state-specific.

1.08 There is other, equally strong, argument being made in this respect. Since the present set of reforms have been initiated by the central government and further, the entire set of reforms is identical for all the states and ULBs, one would argue that the status report covering any aspect of JNNURM needs to be a national level document. It is true that the policy makers at the central government will not be able to correct national policies unless they are provided with nation-wide analysis. In order to reconcile these two objectives, i.e., to maintain state-specificity of such status report and decipher nation-wide common features, it has been decided to prepare a compendium of few state-wise

status reports, albeit over a period. This again will not be an easy task. However, it is felt that the same can certainly be achieved by adopting a decentralized approach.

Need to adopt a decentralized model

1.09 Most of the urban problems being faced by majority of urban population in our country have high degree of similarities; inadequacy of drinking water, uncontrolled growth of slums, mismanaged municipal solid waste and sanitation and poor inner city transport, to name a few. Independent of these high degree of similarities, it is felt that the 'resolution' of each urban problem however partial it might be, will be first *state specific* and later *ULB specific* for variety of reasons; few are mentioned below:

State Specific Factors influencing the 'Resolution'

- Resourcefulness to provide Budgetary support to ULBs
- Progressive looking and capable political leadership
- History of urban reforms with at least rudimentary institutional structures to take them forward

ULB Specific Factors influencing the 'Resolution'

- Value added economic activities taking place in the jurisdiction of ULB-decisive for its resource raising capacity
- History of citizens' agitations to force local administration to hear their grievances
- Existence of citizens' forums which will readily and constructively participate in the functioning of ULBs
- A forward looking Chief Executive Officer of the ULB willing to take challenges

1.10 In fact, it is also felt that the resolution of a particular urban problem can not be conceived for the entire jurisdiction of an ULB but will have to be planned for a particular Basti or Ward in that ULB. For example, it is possible that even if there is adequate drinking water available for a city / town, still, a particular Ward/ Basti may have serious grievance in this respect. Similarly, the nuisance created by dumping of solid municipal waste for the residents in its vicinity or poor public health standards on account of lack of sanitation facilities are location specific. Hence, ideally, the analysis of the urban problems needs to be carried out at Basti or Ward level.

1.11 In view of the above, it needs to be noted that the agency preparing state level status report shall have adequate insights about the prevalent socio-political-economic forces, decisive in shaping the affairs of the urban centers in that state. With the same logic, an agency or an individual professional located in a particular city/ town will be in a better position to author a knowledge and analytical product for that town. This is one of the major reasons why it is being proposed that SRUR or even town level reports will be prepared in decentralized manner. It is also felt that the proposed decentralized model will be less resource intensive in terms of human as well as financial resources.

1.12 Based on the above propositions and insights, it is proposed to proceed towards the goal of preparing a national-level-status-report on urban reforms by adopting following steps:

- The first SRUR is being prepared for the state of Maharashtra
- By using the insights acquired while preparing such SRUR, a 'Tool & Resources Kit (TRK) will be prepared.
- By using such TRK similar SRURs will be prepared for other states ensuring capture of state-specific-ness.
- Once a critical mass of such status reports are ready, it is felt, it would be possible to make a nation-wide analysis of the 'successes' and 'failures' in implementation of urban reforms

1.13 To begin with, UIRF Team[4] has prepared a Status Report on Urban Reforms (SRUR) for the state of Maharashtra, with focus of three pro-poor reforms; a copy of the same is enclosed as one of the Resource Booklet. It is proposed that other SRURs, for four other states, will be prepared by SRUR Teams[5], being simultaneously identified by UIRF Team, from respective states.

Tools & Resources Kit (TRK)

1.14 As mentioned above, the set of reforms proposed to be tracked in the SRUR are identical for all the state and ULBs in the country. Further, it also needs to be noted that the objective behind preparing SRUR, is also identical i.e., empowering agencies intending to take up urban issues on behalf of common citizens and in particular, urban poor. While formulating our approach, for preparing SRURs in other states, there is a need to take advantage of this fact. It follows that all SRUR Teams shall undertake their activities in tandem, share insights acquired during this process and leverage the resources invested by other SRUR Teams while preparing the status report for a particular state. One proven method to bring activities of different agencies operating in different states is to evolve a set of General Guidelines to be followed by all SRUR Teams. It is true that the necessity to include 'specificities' of the state and/or ULBs in the status report limits the scope of such generalized Guidelines. Nonetheless, to begin with, such Guidelines will certainly prove to be a useful tool in the hands of SRUR Teams. A set of such General Guidelines are termed as 'Tools & Resources Kit (TRK)' for preparation of SRUR for a particular state.

1.15 Some of the broad objectives for preparing TRK are as under:

- To supplement the capability gaps, if any, at the end of agency preparing SRUR
- To ensure a certain level of quality and consistency in the knowledge product
- To economize on the resources required to be deployed for preparation of SRUR
- To avoid wastage of resources in duplicating the work already accomplished
- To learn from lessons learnt in methodologies adopted and analytical tools used while preparing identical KP for some other state.

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[4] UIRF Team in TISS refers to the team involved in the preparartion of SRUR for the state of Maharahstra
[5] SRUR Team(s) are group of research professionals, in CSO or local academic institutions who are expected to undertake the work of prepartion of SRUR for their respective states and will be primary users of this Tools & Resources Kit (TRK) being presented in this note.

1.16 This TRK for SRUR has been developed on the basis of the experience of UIRF Team while preparing SRUR for the state of Maharashtra. It is conceded, that this TRK, being its first version, will have to be further refined and enriched by recycling the insights and lessons of other SRUR Teams in due course.

1.17 The TRK for SRUR has two components, viz., a set of 'Guidelines' and a set of 'Resources' to be used for preparation of SRUR in other states; they are laid down in Chapter 2 and Chapter 3 respectively.

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Chapter 2

Guidelines for preparing Status Report on Urban Reforms (SRUR)

2.01 The set of 23 Reforms stipulated under JNNURM Regime comprise of 13 mandatory reforms and 10 optional reforms. The 13 mandatory reforms are to be implemented by each state government (7 nos.) and by individual ULBs (6 nos), whereas 10 optional reforms are to be implemented by each ULB together with respective state government. These 23 reforms are identical for the select set of 65 cities eligible for assistance under JNNURM as well all 5000 plus small and medium towns covered under UIDSSMT. As per the terms of JNNURM mission / scheme announced in December 2005, all these 23 reforms, mandatory as well as optional, are to be completed by all the states and all the ULBs within 7 years period i.e. upto December 2012.

Impact of Reforms, only at ULB level

2.02 Even-though, in official literature of JNNURM, the 23 reforms have been broadly divided as 'state-level' reforms and 'ULB-level reforms', it is important to note that the impact of implementation or non-implementation of all the 23 reforms will actually be borne by the ULBs in that state. For example, responsibility of enactment of Community Participation Law (CPL) has been entrusted with the state government; but once enacted, or delayed or enacted in variance from the model CPL issued by the central government, the accruing or deprivation of expected benefits will be borne by the citizens of each city / town in that state. Hence any status report on urban reforms shall *essentially* catch what is the exact impact on ULBs in the context of ongoing reforms. However, the absence of any effective state sponsored mechanisms to gather ULB level data/ information in many states and cost-prohibitive-ness of such data gathering activity for any non-state agencies, make the task of preparation of status report on urban reforms extremely difficult.

Distinction between JNNURM cities and SMTs

2.03 Based on the 2001 Census, the central government has identified 65 cities to be covered under JNNURM. Many of them are either capital cities of states, large industrial cities or with some historical significance. Being state capitals/ large cities, these cities enjoy political patronage, house politically influential middle class and have presence of media. The remaining 5000 plus small and medium towns (SMTs) in the country are being covered by another identical scheme, viz., UIDSSMT. The funds allocated by central government for these SMTs are disproportionately low. These towns are not well represented in the political circles, not found attractive for investment by private corporate and normally not well attended by policy makers. While covering town level reforms in the proposed SRUR, it is felt that, it will be appropriate to group those cities being covered under JNNURM (part of group of 65 cities) and those small and medium towns (SMTs) being covered under UIDSSMT separately.

Need to confine to select group of 'reforms'

2.04 Notwithstanding extremely slow pace of their implementation, it will be prudent to select a set of reforms out of these 23 reforms, instead of assessing status of implementation of *all of them simultaneously* in one single SRUR on account of following reasons:

- All the 23 reform proposals need not be treated on par in terms of their political sensitivity or their potential to impact lives of common urban citizens.
- As the forums representing interests of common citizens are weak and lack requisite resources, they will have to prioritize expending available resources at their disposal.
- The civil society organizations / any other forum may consider taking up only those 'reforms' for detailed scrutiny which they intend to follow up in future by activities such as research based advocacy keeping in view their own strengths and the constituency they represent. For example, it will be a wise proposition for a CSO working within slum dwellers to prepare SRUR focussed only on pro-poor-reforms.

Multi-Version SRURs

2.05 Once it is agreed upon to prepare SRUR for a select set of 'reforms', it is realized that there will multiple versions of SRUR even for one particular state and such SRURs will be prepared based on different themes; an illustrative list is given below:

- The status of implementation of all the 7 mandatory reforms being implemented by the state government.
  Such SRUR will be wide in coverage but shallow in depth of analysis of all their impact at ULB level.
- The status of implementation of a group of reforms, out of these 7 mandatory reforms, with a consistent theme.
  Such SRUR is expected to undertake in depth analysis covering their impact on ULBs. For example governance related reforms like Community Participation Law and Public Disclosure Law can be studied as one set or those related to 'land' can be taken up as another set.
- The status of implementation of 6 mandatory reforms in those cities in that state which are being covered under JNNURM.
  As the number of JNNURM cities in a state is handful, it will be easy to cover all these cities exhaustively.
- The status of implementation of 7 mandatory reforms in small and medium towns covered under UIDSSMT or the status of implementation of all or a group of the 10 optional reforms in the ULBs in that state.
  As number of such towns will not only be more but will also be located at distant places all over the state, it will be difficult to analyze situation in each of these town individually.
- A SRUR for a particular state exclusively devoted to one single reform.
  For example, in view of much-hyped initiatives being taken by many state governments to 'Encourage Public-Private-Partnership' in urban service sector,

one of the 23 reforms under JNNURM Regime, it will be worthwhile to undertake an in depth study of all the ULBs in a particular state which are resorting to PPP models.

2.06 It may be seen that, the SRUR for a particular state will have two dimensions, one geographical unit (a state or a town or a group of towns) and another, a set of reforms (single reform or a group of reform) as indicated in a matrix below:

Table- 2.06
Geographical Unit Vs Reforms

	Types of Reforms being covered	
	Mandatory	Optional
Geographical Unit		
Entire State	All 6 mandatory reforms – broad coverage	All 10 optional reforms – broad coverage
Entire State	A set of theme based reforms- in depth analysis	A set of theme based reforms- in depth analysis
JNNURM Cities	All the 7 mandatory reforms- each city individually covered	All the 10 optional reforms- each city individually covered
Small and Medium Towns	All the 7 mandatory reforms- statistical profile	All the 10 optional reforms- statistical profile
A Group of Small and Medium Towns– may be based on region-wise or (say) size of annual Budget.	All the 7 mandatory reforms- exhaustive analysis	All the 10 optional reforms- exhaustive analysis

National scenario- as a backgrounder

2.07 Even-though, any version of SRUR is proposed to confine itself to the administrative boundaries of a particular state, there is also a need to emphasis the importance of keeping abreast relevant and updated information on the national level status of those reforms being covered by the SRUR. There are two main reasons for this proposition. One, all the 23 reform proposals, procedural aspects and other terms and conditions to be complied with under JNNURM are being uniformity applied to all the states and all the ULBs in the country. Second, it is felt that the performance of a single state in implementation of urban reforms needs to be assessed in relation to its peer group in the country and not in isolation. For example, while assessing performance of a mega city (population of more than 40 lakhs) in a particular state, it will be appropriate to compare it with the performance of other mega-cities in the country in this respect. Presenting such nation-wide information will set a right backdrop against which SRUR for a particular state / town/ or group of towns can be evaluated.

Objectives of SRUR: Guiding the Activities

2.08 While formulating 'Guidelines for preparation of SRUR', it would be pertinent to keep in view the broad objectives behind preparing SRUR as given below. This set of objectives are not 'given', but will have to be revised and refined in future, in light of the experiences of SRUR Teams in using it as a tool for some down-stream activities.

- Assess the status of implementation of reforms after a lapse of reasonable period of 5 years after introduction of JNNURM.
  Such exercise will be a useful input for a mid-course review of JNNURM..

- Flag off areas for future action by the CSO/ activists by making use of insights acquired during the preparation of SRUR.
  The SRUR is expected to identify spaces for intervention so as to correct the course of implementation of reforms; such intervention can be initiated by the state government or ULB administration or by CSOs.

- Identify structural issues in the JNNURM frame which need to be addressed for taking forward the urban reforms.
  Since its introduction, many critiques have identified structural issues within the JNNURM regime and have cautioned that unless they are addressed, the urban reforms will not yield the desired results.

Broad Activities while Preparing SRUR

2.09 The abovementioned 'Objectives' lead us to a set of probable activities to be undertaken while preparing SRUR. It may be mentioned that it is not necessary that all these activities are required to be undertaken in the same order as given below. In fact, they will have to be undertaken iteratively. For example, it will be necessary to shortlist a set of reforms for detailed study before deciding exact nature of data and information to be collected. However, it is very likely that the set of such reforms will have to be revised in light of availability or lack of availability of relevant data and information. Similarly, in order to ensure a more insightful assessment of urban reform, there will be a need to undertake fresh round of collection and studying of relevant background material.

- Collecting and Studying Background Material for SRUR
- Select a set of Reforms (out of 23 stipulated under JNNURM)
- Collect data and information
- Assess the status of Reforms

Activity-wise Guidelines

2.10 In order to make them more comprehensible, the set of guidelines for preparation of SRUR have been grouped based on the four activities mentioned above. It is very likely that there will be few overlaps in these guidelines; a particular guideline included for a particular activity may also be found to be useful for some other activity too. These guidelines are laid down in following pages.

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A. Guidelines for Collecting and Studying Background Material for SRUR

Rationale for this Guideline

2.11 The background material is essential for acquiring insights regarding urban reforms in a particular state. The background material will help to understand the broad canvas of a particular reform both at national and state level. The state government agencies as also ULBs compiling information on urban reforms may not provide any insight about the processes facilitating or hindering implementation of these reforms. Such reasoning will have to be structured in by insights acquired through related but altogether different literature. Unless, SRUR Team has acquired such insight about socio-political-economic aspects of its state, there is a danger of the exercise of preparation of SRUR getting reduced to mere compilation of data, collected from the government sources.

Set of Guidelines

Let the Short-listed Reforms Decide on What Kind of Material to be studied

2.12 It is true that all the major processes taking place in the urban centers in our country are influenced by variety of factors, eg. statutory changes, demographic trends, political forces, social changes, economic policies etc. And it will be difficult to pin point one-to-one correlation between the 'cause' and 'effect'. Hence, while collecting background material for preparing SRUR, it is suggested that the shortlist of reforms prepared at the beginning of the exercise may be used to decide what kind of background material to be looked for. Otherwise, there is a danger that the exercise of collecting background material will get swamped in unrelated material.

Strike a Balance between Volume of Material to be Collected and Resources Available

2.13 Even-though there is paucity of relevant ground-level data/ information on a specific urban reform, there is no dearth of literature on urban problems in general. Hence there is a need to strike a balance between the volume of background material to be collected and the man-power and timelines available for such exercise.

Not all the information / analysis collected will find a place in SRUR

2.14 The emphasis of this activity is more on facilitating self study of the SRUR Team than collecting inputs for the final document. Accordingly, the idea of collecting and studying the background material is to acquire an insight into the socio-political-economic milieu in which ongoing urban reforms are taking place. Hence, it is not necessary that contents of all the background material collected in this activity shall find a mention in the final version of SRUR.

No need to pre-determine Geographical Boundaries for the Background Material

2.15 Even-though, the SRUR proposed to be prepared is for a particular state, it has been observed that literature pertaining to identical urban reforms for other Indian state and even city/ town proves to be useful in acquiring insight about the issues involved. For example, when one studies governance related reforms in his own state, the models and

experiments implemented in the state of Kerala will provide a good insight. Similarly, for municipal budget and accounting reforms, the experience of the state of Tamilnadu will be very useful. Hence, there is no need for any artificial constraint on the geographical boundaries for the background material to be collected.

Incorporate relevant Material / References used in other SRUR

2.16 It is planned that there will be series of SRUR for different states to be prepared by different SRUR Teams in coming days. It is very likely that some sections of SRUR for the state of Maharashtra may prove to be useful for SRUR Team in some other state. For example, poverty alleviation initiatives taken by the central government, which have been already studied and incorporated in the SRUR-Maharashtra, will be a relevant backgrounder for SRURs on the pro-poor reforms to be prepared for other states too, such readily available compilation can be used without expending resources for a repetitive exercise.

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B. Guidelines for Selecting a Set of Reforms

Rationale behind this Guideline

2.17   The objective of SRUR is not to compile state-wide statistical profiles of the individual reforms but to empower academic institutions and/or civil society organizations willing to take up issues on behalf of common citizens, particularly urban poor in their respective cities /town. Such agencies, keeping in view limited resources at their disposal, are quite weak and will not be able to compensate for lack of authentic data/ information by collecting the same by undertaking field level surveys. The proposal to cover all the 23 'reform proposals' in one single status report simultaneously, will result in distribution of available resources, human and financial, thinly.

A set of Guidelines

Apply a set of Criteria

2.18 Keeping the rational behind this guideline in mind, it is suggested that following criteria may be applied while selecting a set of reforms for SRUR, viz.,
- Amenable to monitoring by a civil society organization:
  The reform selected must be amenable to monitoring and assessment by civil society organisations, academic institutes, activists and citizens.
- Amenable to advocacy:
  The selected reform shall be amenable for advocacy either at town or state level.
- Having multiplier effect:
  The selected reform, being an important issue of contemporary relevance in the country, will find its relevance in other ULBs and states too.

Keep in Mind Pace of Implementation of a Particular Reform

2.19 It is widely reported that the implementation of 23 reforms envisaged under JNNURM are progressing quite slowly. While preparing state-wide status report on implementation of urban reforms, there is a need for pre-existence of accumulation of 'critical mass' of data / information for a researcher to draw any meaningful observations. Hence, it is suggested that the SRUR Team shall assess the pace of implementation of reforms before selecting any one of them for detailed scrutiny.

Keep in Mind Availability of Authentic Data/ Information

2.20 While identifying particular set of reforms to be covered in SRUR, availability of adequate data / information *about that reform* shall also be treated as one of the decisive inputs. While deciding on exact contents of a state specific SRUR, there is a need to provide for few of the likely handicaps mentioned below.

- Even 'easy-to-catch' *quantitative* data like expenditures on urban poor is not readily available from ULBs; it will be far more difficult to gather *qualitative* changes in the ULB functioning envisaged in urban reform proposals.

- The formats in which the government agencies, monitoring the urban reforms collect the requisite information are quite sketchy and are not conducive for any analysis of performance or non-performance.
- There are no trustworthy mechanisms, such as social audit or third party inspections, either directly accountable to central government or those initiated by citizens' groups.
- Any thought of creation of an alternative arrangement for collection of ground level data is not only cost-prohibitive but will not serve the purpose as what is required is not one-time but on-line access to the data/ information.

Keep in Mind Available Resources

2.21 The available resources, intellectual, time-lines and financial, will be another major consideration in selecting a set of reforms

- *Intellectual*:
  The SRUR Team will have members from varied academic and field level background. It is suggested that while selecting a set of reforms, in-house expertise available shall be given due weight. For example if the team members have expertise on political science the 'governance' related reforms may be selected and for finance, privatization related reforms the team shall have relevant expertise.
- *Time Lines* :
  It is likely that, the SRUR Team will have to spend non-commensurate time on collecting even a small piece of data/ information. Since preparation of any such document can not be kept an open ended process, it is advisable to lay down a broad time table for each activity.
- *Financial*:
  All the activities as well as their time frame have financial implications. Hence, it will be prudent to breakdown activities and estimate their costs, so as to complete the assignment within the original budget provisions.

Keep in Mind Future Course of Action

2.22 As has been mentioned earlier, the main objective of preparation of SRUR is not merely academic but to empower the citizens' group so that they can take up the urban issues to the appropriate forum for resolution. It is very likely that the SRUR Team itself will already be an active participant, directly or indirectly, in similar activities. It will be wise if SRUR Team keep their future plans in mind while selecting a set of reforms for detailed scrutiny. The civil society organizations / any other forum may consider taking up one or two themes out of these for their future work like research based advocacy depending on the constituency one represents and their own strengths.

Keep in view the Theme-based Classification of 23 Urban Reforms

2.23 It may be seen that all the 23 reform proposals envisaged under JNNURM need not be treated on par it terms of political sensitivity or their potential to impact lives of common urban citizens. For example, at one end of the spectrum there are politically

sensitive reforms aimed at creation of land markets as also encouraging private sector investments in urban infrastructure and on the other, there are almost non-controversial reforms aimed at encouraging 'rain-water harvesting' and 'reuse/ recycling of water'. The Table below has grouped these 23 reforms based on certain themes, which will be useful for selecting a set of reforms for SRUR.

Table-2.23
Classification of Reforms

	Mandatory		Optional
	State Level	*ULB Level*	*State/ ULB*
Pro-Poor Reforms		-Internal earmarking of Budgets -Provision of Basic Services	-Earmark land for poor
Land and/or Real Estate Related	-Repeal ULCA -Reform Rent Control Act -Rationalize Stamp duty -Assign City Planning Functions to ULBs		-Streamline Approval process of Construction -Simplify conversion of agricultural land -Property Title Simplification -Computerization of registration of land / property
Administrative		-Adopt Modern Accounting -E governance	-Structural Reforms -Administrative Reforms (cost reduction measures)
With Economic implications		-Property Tax -User Charges	-Encourage PPP
Governance	-74 th CA -Enact PDL -Enact CPL		
Non-Controversial			-Rain Water Harvesting -Reuse/ Recycle of water

Undergo Iterative Process before finalizing the set of Reforms

2.24 As has been mentioned, collection of data, assessing one's own strength, finalizing the set of reforms for detailed study, all these activities will have to undergo few rounds of iteration. Hence, instead of selecting a set of reforms at the outset, it will be proper if the SRUR Team shortlists 6 to 8 reforms for assessment in the first round of study, and gradually firm up a final set of 3 to 4 reforms to be taken up for assessment. This approach is necessary even from the point of view of optimization of resource deployment. It is very likely that the initial decision of selecting a particular reform for detailed scrutiny will have to be abandoned midway on realization that (say) there is no ground level data available for that reform or it is not compatible with the in-house expertise available. In such situation, it will be very difficult to retrieve the resources already expended on pursuing a particular reform.

Considerations while selecting individual city/ town

2.25 Availability of relevant data/ information and responsiveness of the concerned officials in the ULBs is of prime importance to ensure quality of SRUR proposed to be prepared. It is true that, for quite a few reasons the quality of administration in large city, many of them covered under JNNURM, is better than their counterparts in small and medium towns. But, it has been observed that there are exceptions even in SMTs. There are ULBs in few towns which have organized and maintained the requisite data/ information satisfactorily; this may be on account of some historical legacy or because of an enthusiastic young CEO. Identifying such towns for detailed study for the purpose of SRUR will greatly facilitate collection of data / information

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C. Guidelines for Collection of Data and Information

Rationale behind this Guideline

2.26 For any status report, an updated data/ information on the subject matter, is an essential input; the same is true for SRUR too. The problem of poor quality and non-updated data/ information on ongoing urban reforms, it is learnt that, is common in almost all states in the country. It is likely, that the prevalent information gathering systems in ULBs as also in state governments are not yet reoriented for gathering the kind of information being sought to be generated by these urban reforms. In such a situation, the activity of collection of data / information assumes immense significance. It is felt that, spending adequate time for groundwork even before actual data collection activity is launched will ensure economical use of the resources. The following set of Guidelines are aimed towards this objective.

A set of Guidelines

Identify the Institutions Engaged in Monitoring Urban Reforms under JNNURM Regime.

2.27 The institutions, set up by the respective state government, formally entrusted to monitor the ongoing urban reforms will be a rich source of data/ information for SRUR. UIRF Team, based on its work for the state of Maharashtra, has following insights to share:

- There is a need to first understand the institutional structure prescribed under JNNURM regime (which also includes UIDSSMT and IHSDP schemes for small and medium towns). The JNNURM Regime has stipulated that each state shall designate one state agency as State Level Nodal Agency (SLNA); as such it is expected that each state will have SLNA in operation.
- It is observed that many states have asked its existing institutions to shoulder additional responsibilities under JNNURM. It is likely that a Chief Minster, as has been the case in the state of Maharashtra, desirous to oversee the progress of JNNURM in his state, would have entrusted such task to an institution which is under his administrative control. As a result it is likely that each state has evolved and is practicing altogether different institutional models for monitoring JNNURM progress and there will be more than one SLNA in one state. It is also likely that there will be different SLNAs to track implementation of state-level reforms and ULB level reforms separately.
  For example in Maharashtra, Mumbai Metropolitan Regional Developmental Authority (MMRDA) is the nodal agency for UIG scheme in JNNURM. Directorate of Municipal Administration (DMA) is the nodal agency for UIDSSMT scheme for small and medium towns and Maharashtra Housing and Area Development Authority (MHADA) is the nodal agency for BSUP and IHSDP which are related to housing and basic services for urban poor.
- There is a need to study roles assigned to each of these institutions in the state, their functioning, style and methods of collecting data/ information and all that is necessary to extract relevant data/ information from them.

Visit these Institutions and Interview the key Officials

2.28 Once the government institutions useful for our exercise are identified, there is a need to establish professional relationships with the key officials manning the relevant desks. Following points need to be kept in mind while formulating the approach.

- It will be useful if the SRUR research team leader meets the officials in charge of the departments and nodal agencies and explain to them the idea of SRUR. It needs to be impressed upon them that an independent study by an academic institution in the state will be of great value to the state government.
- An official letter, preferably from one of the high ranking official from the state government, directing the junior officials to cooperate with the SRUR Team greatly facilitates accessing the requisite data/ information. *(A specimen letter written by UIRF Team to the Secretary, Government of Maharashtra and his response is provided in Annexure 5A and 5B respectively).*
- It may be kept in mind that collecting hard or soft copies of the data / information is not sufficient. Many nuances regarding implementation of reforms are not likely to be found in official documents. The information made available in public domain needs to be supplemented by insights into the administrative processes / considerations which can only be acquired through personal interviews with the key officials. (*A brief note prepared by UIRF Team based on its experiences in Maharashtra is provided in Annexure 3*)

Documents for data/info collection

2.29 It is possible that the nomenclature for different internal reports prepared for management information systems will be different in each state. However, it is felt that, an illustrative list given below will be helpful.

- Completed Quarterly Progress Reports (QPRs) prepared by individual urban local bodies as well as state level nodal agencies which will provide the status of reforms implementation and reasons for delays.
- Relevant government orders and resolutions issued by state government both in English and local languages on reforms like institutional framework, norms to be followed in allocation of funds etc.
- Internal circulars and orders issued by State level Nodal Agencies (SLNAs) regarding implementation of reforms such as norms of release of funds, monitoring of reforms etc.

Collection of data/ information at town level

2.30 Each state government has set up SLNA to monitor the progress of urban reforms in the ULBs within that state. These SLNAs are expected to collect required information from all the ULBs under its jurisdiction regularly. Establishing credentials of the exercise of preparation of SRUR supplemented by professional rapport with the junior official will provide an access to the entire data-base. This task is relatively easy.

2.31 However, cross-checking of what has been claimed by the ULB administration in their compliance reports submitted to the respective SLNA and further, to assess achievement of expected 'outcomes' of implementation of urban reforms, will prove to be a difficult task. This is because, the state government monitoring institutions reproduce what has been furnished by the ULB administrations. In such a scenario, SRUR Team will have to resort to innovative but cost-effective ways to get a first hand glimpses of individual cities / towns. Following two/three suggestions can be thought of in this respect:

- As a part of the formal assignment, it is being proposed that each SRUR Team will be entrusted with preparation of 3 detailed town level reports, may be by involving town level collaborators or by members of SRUR Team themselves. It is suggested that SRUR Team shall design the town level activities in such a way that the town level collaborators, in addition to preparation of town level reports, will also provide necessary inputs for the SRUR.
- SRUR Team, being located in the state for which SRUR is being prepared, is expected to be networked with other civil society organizations / academic institutions, working on urban issues and located in different cities/ towns in the state. SRUR Team can make use of services of such friendly/ partner organizations while obtaining necessary inputs for SRUR.
- As regards developments on urban issues taking place in small and medium towns, it has been observed that the district editions of newspapers in vernacular languages provide greater insights than English language newspapers published from large cities. SRUR Team may make use of these sources to find out exact picture in SMTs.

Identify NGOs/CSOs, academic institutions and media houses tracking urban reforms

2.32 There are quite a few CSOs/ NGOs, regional media houses, private agencies and even academic institutions which are tracking developments in the field of urban reforms in an organized way. Establishing contacts with them and accessing their data / information base will prove to be useful.

Using RTI to obtain data

2.33 It is likely that there will be occasions when data and information may not be provided by the government agencies to SRUR Team even when it is available. This can be countered by resorting to the powers conferred on the citizens under Right to Information Act. For better administrative practice, it is suggested that an application under RTI may be filed on behalf of an individual rather than the institution which is preparing SRUR. An internet link to an informative page on Right to Information Act is provided in Section C- Resources for Collection of Data and Information in Chapter-3.

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D. Guidelines for Assessment of Urban Reforms

Rationale Behind this Guideline

2.34 It is felt that, among all the four activities involved in preparation of SRUR, the last one i.e., Assessment of Urban Reforms will be the most unstructured. There are two broad reasons behind this observation. First, a meaningful assessment of urban reforms is solely dependent on to what extent SRUR Team succeeds in collecting a relevant and insightful data / information from its state. Second, it is noticed that there are limitations on formulating general guidelines which will be applicable for assessment of all the reforms available on menu; there has to be a separate set of guidelines for assessing a particular set of reforms. Hence, it has been entirely left to the respective SRUR Team to evolve ways in which the collected data / information can be best analyzed so as to assess the ongoing urban reforms processes. Here, UIRF Team has laid down a set of guidelines for only those aspects of urban reforms which have been covered in the SRUR for the state of Maharashtra; it is felt that this set will help in kick-starting similar exercise within SRUR Teams in other states.

A Set of Guidelines

For State Level Mandatory Reforms

2.35 Few guidelines for assessing State Level mandatory reforms are as under:

- For State Level reforms, it is important to assess the steps taken by state government to implement the reform. These may be in the form of legislations, gazette notifications, orders or resolutions, procedures, policies or institutions.
- A comparison between steps of state government and model guidelines (if any) provided by central government will be useful for assessment of the reform implementation.
- It must also be noted that many state governments are issuing important government resolutions and orders (GRs and GOs) in the state languages. Hence, it will be important for SRUR research team to collect relevant GRs and GOs and translate them, if required.
- The SRUR team will also have to assess the impact of the state level mandatory reform on urban local bodies. In the absence of state-wide data , it is suggested that the Team can highlighted findings from few case studies.

ULB level Mandatory Reforms

2.36 Few guidelines for assessing ULB level mandatory reforms are as under:

- The assessment of mandatory reforms at urban local body level can be done in two parts- a) JNNURM Mission cities and b) Small and medium towns under UIDSSMT and IHSDP. Whereas, status of reform implementation for JNNURM cities are available on websites *(Refer Chapter 3)*, it may not be so for ULBs in small and medium towns. It is expected that SRUR Team will be able to draw this analysis from information collected from nodal agencies and government institutions.

- There is a need to highlight issues emerging during the implementation of reforms from the perspective of common citizens. (*Refer Annexure 4 A and 4B for illustrative formats for assessment of status of implementation of reforms*)

Optional reforms at State and ULB level

- The optional reforms at ULB level can also be assessed separately for JNNURM cities and small and medium towns.
- For many optional reforms, the state governments have to change existing laws or issue orders to change existing administrative procedures. Hence the assessment of optional reforms should be done at state as well as ULB level.
- It is expected that data and information collected from nodal agencies and state government institutions will be useful for preparing this overall status.

General

- It is suggested that assessment of a reform shall also cover background of that particular reform covering history of similar reforms in that state and reasons for its failures if any. This it is felt will provide useful backdrop for the reader. Such Background Notes may be provided either in the form of Annexure or a summarized version may be given in the SRUR itself.
- The team can also highlight special initiatives or issues with regard to urban reforms as case-lets in illustrative boxes. These could be about some innovative initiatives, schemes or policies at the state or town level related to any of the reform that is being assessed in the SRUR for the state.
- The research team must also look carefully to see if there is any pattern emerging in the issues related to implementation of these reforms. This can be a starting point for developing a note on the way forward or future agenda which can be the last chapter of the report
- In order to make SRUR more analytical, it is suggested that SRUR Team may bring in the insights acquired during studying background material as also while interacting with the government officials. Otherwise, it is apprehended that SRUR will get reduced to a mere compilation report.

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Chapter 3

Resources for Status Report on Urban Reforms (SRUR)

Rationale behind providing list of Resources

3.01 The 23 reforms under JNNURM proposed to be studied under SRUR are identical for all the states and ULBs all over the country. Further, the set of other terms and conditions and procedural aspects of JNNURM regime, to which all the states and ULBs are being subjected to, are also identical. On the other hand, the broad objective set out for SRUR Teams i.e., empowering those who intend to take up urban issues on behalf of common citizens, is equally applicable to all the teams. In view of these commonalities, in policy and administrative frame of JNNURM as well as proposed response to it, it would be a wise proposition that all SRUR Teams shall share the methodologies adopted by them, insights acquired and lessons learnt while preparing SRURs for different states. Keeping this spirit of sharing in mind, UIRF Team intends to share the list of 'resources', which were useful when it prepared the SRUR for the state of Maharashtra and which it thinks will be useful for other SRUR Teams when they undertake similar exercise in their respective states.

3.02 As stated earlier, in past many decades, the institutional infrastructure for gathering data/ information from the ULB sector is still in rudimentary stage in our country. Assessment of each urban reform has, broadly, two aspects: quantitative (output) and qualitative (outcomes). The objectives of preparation of SRUR will be better served if qualitative aspects such as outcomes of the urban reform proposal are caught during the data/ information collection exercise. There is a fundamental difference between systems and skill-set required to collect *quantitative* data like budget expenditure and number of beneficiaries and gathering information on *qualitative* aspects, like what is the quality of assets created by expending budgetary funds or whether the beneficiaries are benefited tangibly. ULB level institutional structures are not oriented to gather the qualitative aspects of its functioning. This structural lacunae is not expected to be redressed in foreseeable future. Accordingly, any plan for preparing a data intensive Knowledge Product (KP) like SRUR has to take into account this ground reality; identifying right kind of 'Resources' for inputs for SRUR, will be crucial in ensuring the quality of such status report.

3.03 Many of the prospective agencies volunteering to undertake work of preparation of SRUR are not expected to be 'resourceful'. Many a times, the data/ information gathering activity turns out to be very expensive in terms of travel as also days spend in awaiting promised information by some government agencies. Based on the experience of UIRF Team, it is felt that collection of data/ information may demand considerable man-hours spent in follow up work. In order to save on considerable amounts on travel-related expenditures on data gathering activity, it has been decided that the agency preparing SRUR will be necessarily located within the same state, for which SRUR is being prepared; similarly, it is desirable that the research professional preparing town level reports is a resident of the same city/ town which is proposed to be covered in such SRUR.

3.04 Keeping all the above mentioned considerations in view, it was felt that providing a list of 'Resources' to be used for preparation of SRUR will, at least partially, address these concerns.

Limitations of such compilation

3.05 It is true that there is a high degree of heterogeneity in policy, practices and institutions shaping the functioning of ULBs in each state. The SRUR to be prepared for a particular state, is expected to capture this state-specificity. These expectations from state specific SRUR demands that the SRUR Team shall endeavor, first to identify and then to access, all the 'Resources' which will provide them state-specific insights. Hence, it is rather inappropriate to expect that one set of 'Resources', as provided in this Chapter, will satisfy the needs of all SRUR Teams in all the states; the list of 'Resources' given in this Chapter is only indicative, to provide clues for the SRUR Teams in other states.

Features of the ' Resources'

3.06 The 'Resources' enlisted in this Chapter are predominantly those prepared / collected by state agencies or its affiliates. There have been attempts of compilation of data and information by non-state agencies; however it is observed that data compiled and presented by these independent research institutions also draws heavily from the same government sources.

3.07 The Resources may be broadly classified as statutes (central and state acts, model bills etc.), policy documents (schemes, notifications etc), administrative and procedural documents (organizational reports of monitoring agencies, instructions issued to ULBs etc.), statistics (covering progress of urban reforms) and critical literature (analytical reports, articles by academicians, independent researchers as also committees appointed by the government(s)).

3.08 Almost all the Resources suggested by UIRF Team in this Chapter are based on secondary sources. In the present electronic era, accessing requisite websites is the most economical mode of collecting secondary data/ information. Fortunately, it is observed that in many states, significant number of institutions associated with urban affairs are increasingly resorting to creation and maintenance of websites covering their own operations. Though, there are issues of outdated-ness of such data/ information available on quite a few of these web-sites, it is also noticed that there are attempts made by the hosting agencies to improve their quality. Accordingly, the list of Resources given in subsequent pages is dominated by the addresses of relevant websites. It is strongly recommended that, the SRUR team shall make exhaustive use of internet based Resources.

3.09 Having strongly recommended extensive use of internet based resources, it is also noted that the administrations, either in state or local governments, particularly in backward areas of our country, might not have resources, financial and human, to upgrade their internal systems to make them compatible for presenting web based data bases. In such a situation, the SRUR Team will have to put in extra efforts to identify the

right governmental agency, extract relevant data/ information available in physical forms and then analyze it in-house

3.10 The Resources enlisted in this Chapter have been grouped in *four sections* corresponding to *four activities* laid down in second Chapter; however, it needs to be noted that, a particular source may prove to be useful for more than one activity. The sections in this Chapter are organized as under:

A. Resources for Collecting and Studying Background Material for SRUR

B. Resources for Selecting a Set of Reforms

C. Resources for Collection of Data and Information

D. Resources for Assessment of Urban Reforms

3.11 Apart from the above listed activity-wise 'Resources', the SRUR Team may also keep in mind the importance of 'resources' one can access through across-the-table meetings with the concerned officials in the state or local governments. Confining to downloading of data / information from web-based resources or collecting them in physical forms from the respective offices will not serve the objective behind SRUR. When one intends to provide an insightful interpretation of the same data, there is no escape from undergoing a painstaking process of understanding how the state machinery thinks and works. This can only be accomplished by spending adequate number of hours with the concerned officials.

3.12 In addition to the list of 'Resources' mentioned in the following pages, the 'Resources' also include two separate booklets, viz., 'JNNURM Reforms – An Introduction.' and 'Status Report on Urban Reforms for the State of Maharashtra'.

'JNNURM Reforms – An Introduction.'

In this Booklet an attempt has been made to provide an overview of all the 23 reforms envisaged under JNNURM in one place. The situation prevailing in pre-JNNURM period, the actual reform proposal and likely implications of that reform from the common citizens' point of view have been provided for each of the reform.

'Status Report on Urban Reforms for the State of Maharashtra'.

This Booklet is a copy of the SRUR prepared by the UIRF Team for the state of Maharashtra. In fact, the iterative processes of evolving approaches, methods, formats and analysis, UIRF Team underwent while preparing SRUR-M has been the primary input for preparation of this Tools & Resources Kit.

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A. Resources for Collecting and Studying Background Material for SRUR

Rationale for this set of Resources

The resources given below will certainly help in preparation of some parts of background material for SRUR but its utility is more in acquiring an insight into the historical as well as contemporary context in which the urban reform process is taking place. The resources also include critiques of JNNURM by CSOs and academicians and state level resources for preparing background material for SRUR. It is suggested that the SRUR team may explore these resources for relevant information that can provide a general background to SRUR document as well as reform specific background for the reforms chosen by SRUR team.

Set of Resources

A.1 National Level

Ministry of Urban Development, (MoUD), GoI www.urbanindia.nic.in
MoUD is the nodal ministry responsible for coordinating the sub-mission on Urban Infrastructure and Governance (UIG) for JNNURM cities and Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT) for small and medium towns. This website will provide latest policy decisions on urban reforms, advisories on implementation of reforms, proceedings from workshops conducted by the ministry on reforms besides annual reports and policy documents regarding urban development.

Ministry of Housing and Poverty Alleviation (MoHUPA),GoI www.mohupa.gov.in
MoHUPA is the nodal ministry responsible for coordinating the sub-mission on Basic Services to Urban Poor (BSUP) in JNNURM cities and Integrated Housing and Slum Development Programme (IHSDP) for small and medium towns. It is also responsible for monitoring the 'pro-poor reforms'. The website will provide updates on pro-poor reforms besides the latest policy decisions taken by MoHUPA. It will also have annual reports of the ministry and new policy and programmatic initiatives of MoHUPA especially in housing and basic services for urban poor.

National Institute of Urban Affairs (NIUA) www.niua.org
The National Institute of Urban Affairs (NIUA) is the nodal capacity building agency for JNNURM cities. Besides this role, NIUA has been involved in appraisal of city development plans, evaluation of implementation of JNNURM reforms and preparation of primers for some reforms in JNNURM. The NIUA website has reports, working papers and other studies on JNNURM some of which are provided in this chapter itself.

Planning Commission www.planningcommission.nic.in
The Planning Commission is responsible for allocation of funds for JNNURM as the funds are provided as additional central assistance to states and cities/towns. The Planning Commission also conducts mid-term review of JNNURM as it is a flagship

scheme of the central government. The Planning Commission is also involved in preparation of Five-Year plans that have a chapter on housing and urban development. The website of the Planning Commission has reports of working groups formed for specific sectors like urban development and housing as well as studies and reports on aspects of infrastructure, private-public partnerships and governance reforms.

Overview of JNNURM http://www.jnnurm.nic.in/nurmudweb/toolkit/Overview.pdf
This document provides an overview of JNNURM mission including its rationale, objectives, components and reform agenda. The SRUR team can understand important aspects about JNNURM from this resource. This website also provides information on all the components of JNNURM, viz., Urban Infrastructure and Governance, Basic Services to Urban Poor, Urban Infrastructure Development Scheme for Small and Medium Towns and Integrated Housing and Slum Development Scheme including their objectives, components, institutional elements and reforms agenda.

A. 2 State Level Resources

State Government Websites
The State government websites will provide latest government orders and resolutions. This may be also divided department wise and search engines may be available to search for a particular term. There may also be department websites, for example, urban development department which will have its recent initiatives and other government decisions regarding the department.

State Planning Board
The State Planning Board in states are responsible for preparation of annual plans of the state. The annual plans also include chapters on important urban issues such as housing and urban development.

State level training institutions
The State level training institutions for administrative staff may also be involved in capacity building activities for officials and staff of urban local bodies. These institutions would have prepared training materials which could include useful background information and case studies on reforms.

State Level NGOs and CSOs
There may be NGOs and CSOs who work on urban issues across the state or for a particular city. While, those organisations who work within a city will be less useful for SRUR team, CSOs with state level reach and some work in urban sector could have done useful work which may be used for background information.

State Level Academic Institutions
There may be universities, research institutes or colleges in the state that do work on issues in the urban sector. While, they may not do direct work on urban reforms, they may work on issues of urban poverty, governance reforms and housing and slum redevelopment. The SRUR team will need to prepare a list of such institutions in the state and review the relevant literature.

A.3 Critiques of JNNURM

JNNURM – a World Bank Group "program" with GoI "ownership", Vinay Baindur, CASUMM, 28th Dec 2007
http://go2.wordpress.com/?id=725X1342&site=casumm.wordpress.com&url=http%3A %2F%2Fcasumm.files.wordpress.com%2F2008%2F02%2Fworld-bank-media-jnnurm-critique.pdf&sref=http%3A%2F%2Fcasumm.wordpress.com%2F
This is a critical presentation on JNNURM tracing the shifts in urban governance, post liberalisation, increasing role of international financial institutions in urban infrastructure, the pushing of urban reforms agenda by them and negative impact on urban poor. It presents some of the broad areas of criticism and concern on JNNURM.

CIVIC- JNNURM –a critique, 2006
This document is a broad critique of JNNURM from the perspective of urban poor. It also includes a charter of citizen demands on JNNURM prepared under YUVA, a NGO based in Mumbai. Please note that this document was prepared at the start of the JNNURM programme. This document is available with UIRF team in TISS.

NURM and the Poor in Globalising Mega Cities, Darshini Mahadevia, Economic and Political Weekly, Aug 5 2006 at www.epw.org.in/epw/uploads/articles/2296.pdf
It highlights some of the possible negative impacts on urban poor like displacement and loss of livelihoods in mega cities due to infrastructure projects under JNNURM

While many civil society organizations work on urban issues, very few work on urban reforms in a comprehensive manner. The CSO s mentioned below have significant experience of working on urban reforms. However, please note that these organizations work from different political and socio-economic perspectives which will be reflected in the documents and readings materials prepared by them.

CASUMM, Bangalore http://casumm.wordpress.com/
Though, the organisation has officially closed down, this weblink provides a lot of useful notes, articles and presentations on different aspects of urban reforms.

PRIA, New Delhi http://www.pria.org/en/component/content/category/18?layout=blog
PRIA has been doing research studies on impact of JNNURM especially in small and medium towns in some states of North India. The weblink provides access to their urban activities. They also occasionally publish their studies and other informative material.

Centre for Civil Society(CCS),New Delhi http://www.ccsindia.org/jnnurm.asp
This webpage is the JNNURM page of CCS. It provides booklets on JNNURM reforms prepared by CCS along with official documents of JNNURM and links to journal articles and other organizations working on JNNURM.

Janaagraha, Bangalore http://janaagraha.org/node/1877
Janaagraha is a CSO actively involved in JNNURM programme and its founder is a member of the Technical Advisor group of JNNURM. This webpage provides access to further links on their framework, policy areas and interventions for urban reforms.

B. Resources for Selecting a Set of Reforms

Rationale for this set of resources

It is felt that the right choice of set of reforms for detailed study will be decisive in completing a good quality SRUR within available resources. There are websites, few of them have already been mentioned, will provide the SRUR Team a glimpse of what kind of data/ information is being collected by different governmental and non-governmental agencies and how it is being presented. This will be essential before SRUR Team firms up its own list of reforms for further study.

Set of Resources

JNNURM www.jnnurm.nic.in
The JNNURM website, apart from other information, also provides latest status regarding implementation of projects and reforms in JNNURM, status of CDPs, capacity building initiatives and best practices among others.

Indian Urban Portal, *www.indiaurbanportal.in*
This website, developed by NIUA for peer learning between JNNURM cities, has a collection of reports, newspaper articles, academic articles, evaluation studies and so on regarding different aspects of urban sector and also provides all the latest information on JNNURM including status of reforms and presentations related to the mission.

City Development Plans (CDPs) of JNNURM cities
http://www.jnnurm.nic.in/nurmudweb/missioncities.htm
The City development plans form an important element of the JNNURM programme. The cities outline their vision and needs through this plan. Most CDPs of 65 Mission cities are available in this link and have useful information on certain reform specific aspects also. For example, during preparation of SRUR for Maharashtra, status of urban poor in JNNURM cities was useful for assessment of implementation of pro-poor reforms in those cities.

Memorandum of Association (MoAs) of JNNURM cities
http://www.jnnurm.nic.in/nurmudweb/MoA.htm
The cities and states have to sign a MoA which provides the timelines for implementation of state level and ULB level reforms. Most MoAs of 65 Mission cities are available in this link. The timelines provided in the MoA can be used for assessing the status of implementation of reforms.

Reports to Delivery Monitoring Unit, Prime Minister's Office
https://jnnurmmis.nic.in/jnnurm_hupa/jnnurm/DMU_REPORT.pdf

The PMO has set up a delivery monitoring unit for monitoring flagship schemes of the central government including JNNURM. The nodal ministries have to provide status reports on implementation of JNNURM reforms. The status of implementation of JNNURM state level and ULB level mandatory reforms are provided in the first two links. The status of pro-poor reforms coordinated by MoHUPA is provided in the third web link.

C. Resources for Collection of Data and Information

Rationale for this set of resources

The resources given below are mainly information about State level Nodal agencies (SLNAs) for different sub-schemes in JNNURM for different states. We request SRUR research team to confirm whether these institutions continue to be SLNAs. After confirmation, research team can use the contact details to initiate first contact with these nodal agencies. Another resource in this category is state government websites. The research team is expected to make a list of relevant websites of state government agencies and also of nodal agencies.

Set of Resources

As SRUR proposed to be prepared is for a specific state, the SRUR Teams will have to identify agencies/ sources from the respective states, which will provide them requisite data/ information. Since UIRF Team has confined itself to the state of Maharashtra, it is not in a position to list down the 'resources' useful for this activity. Nonetheless, it is suggested that the State Level Nodal Agency of respective state will be one of such resource.

Websites of State Level Nodal Agencies (SLNA)
The websites of SLNA's may provide the latest details regarding JNNURM schemes under their jurisdiction. It may also provide names and other contact details of the officials who are in charge. The websites of nodal agencies from Maharashtra are given below as examples.
Maharashtra Housing and Area Development Authority (MHADA)
http://mhada.maharashtra.gov.in
Mumbai Metropolitan Region Development Authority (MMRDA)
www.mmrdamumbai.org

SLNA on UIG http://www.jnnurm.nic.in/nurmudweb/toolkit/List_Slna.pdf
SLNA on UIDSSMT http://urbanindia.nic.in/programme/ud/uidssmt_pdf/add_slna.pdf
SLNA on BSUPhttps://jnnurmmis.nic.in/jnnurm_hupa/jnnurm/NodalAgency_BS_IH.pdf
The link provides the list of state level nodal agencies for UIDSSMT and BSUP/ IHSDP scheme. The SLNA every state coordinates and monitors the scheme as well as implementation of reforms for small and medium towns under UIDSSMT

Right to Information- Frequently Asked Questions
http://www.righttoinformation.org/faqs.asp
This webpage answers all basic questions on RTI from what the law states to how a RTI application can be filed.

D. Resources for Assessment of Reforms

Rationale for this set of resources

It is true that the same set of factual data/ information can be interpreted in many ways depending upon the point of view of the interpreter. Hence, proposed assessment of urban reforms, an essential ingredient of SRUR, demands firming up of such point of view of the SRUR Team. It is suggested that the while assessing the progress of implementation of urban reforms, the interests of the common citizens and in particular urban poor, shall be the central consideration.

There is an unevenness in the literature available on various reforms envisaged under JNNURM; for example the provisions of 74th CA, in the context of urban reforms, have been debated adequately, there is not much literature on other equally important reforms like community participation and much less on reform proposals like computerization of property titles. In this respect, the Booklet titled, JNNURM Reforms- An Introduction' prepared by UIRF Team and enclosed as one of the Resources, may found to be useful.

The Resources in this section has provided references to 'Primers', for each of the reform, published by Ministry for Urban Development. These 'Primers' have been found quite useful as it provides the governments' rationale for each reform, outlines the steps and processes to be undertaken by states/ULBs for implementing the reforms and possible outcomes of the reform.

Set of Resources

D.1 Mandatory Reforms at State Level

74th Constitutional Amendment Act (74th CAA)

Text of 74th CAA *www.indiacode.nic.in/coiweb/amend/amend74.htm*
The text of 74th CAA is an essential reading for the SRUR team to understand the provisions for strengthening ULBs envisaged by the act.

Growth in Urban India- Issues of Governance, K.C. Sivaramakrishnan. CPR Occasional Papers,2006,http://www.cprindia.org/papersupload/1215102050-KCS_Growth%20in%20Urban%20India.pdf
This paper evaluates the implementation of different provisions of 74th CAA.

Impact of the Constitution (74th) Amendment Act on the Urban Local Bodies: A Review, Dr. M.P. Mathur, Working Paper, April 2007,National Institute of Urban Affairs
http://www.niua.org/Publications/working_papers/74CAA-mpmathur.pdf
This paper is an attempt to review the implementation status of selected mandatory discretionary provision of the CAA. Paper has thrown light on the performance of different states on the compliance/implementation of the Act provisions.

Primer on 74th CAA
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/1-2-Implementation_CAA_Planning.pdf

The primer provides the background of 74th CAA, its specific provisions and steps to be undertaken by steps to implement a reformed municipal act.

Repeal of Urban Land ceiling Act

ULCRA Act is vital for the City's Development- P.K.Das
www.pkdas.com/published/ULCRA.pdf
This is a small note in support of ULCRA written by a famous architect in Mumbai on the need for ULCRA for the development of the city.

Primer on Repeal of ULCRA
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/5-RepealULCRA.pdf
The primer on repeal ULCRA gives the background of the reform. It also provides a rationale for its repeal and steps to implement this reform. An impact assessment of repeal of ULCRA for a set of four states is provided along with measures to achieve outcomes.

Reports on repeal of ULCRA in Maharashtra
http://www.rediff.com/money/2007/nov/30land.htm
http://www.outlookindia.com/article.aspx?236280
These reports explain the possible implications of repeal of ULCRA in Maharashtra. Similar reports may be available for the state for which SRUR is being prepared.

Repeal of Rent Control Laws

Primer on Rent control Act
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/3-RCR.pdf
The primer provides the background of rent control act, rationale for its amendment or repeal and steps to be taken by the state governments to achieve this objective. There is an assessment of this reform which has been carried out in a few states.

Rent Control Laws in India: A Critical Analysis
Dev and Dey, Working Paper, December 2006, National Institute of Urban Affairs
www.niua.org/.../Paper_Rent%20Control%20Laws_Satvik.pdf
The paper looks at the current status of rent control laws in India and what are their main provisions when compared with each other and to the Model Rent Control Law and the experiences with rent deregulation all over the world and what lessons India can glean from these experiences.

Rationalization of Stamp Duty

Primer on Rationalization of Stamp Duty
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/4-Rationalization.pdf
The primer on rationalization of stamp duty outlines the background of this reform, rationale and steps for implementation and measuring outcomes and achievements.

Rationalization of Stamp Duty in Orissa
www.indiaurbanportal.in/.../BP.../rationalisation_of_stamp_duty-orissa.pdf

This note looks at pre-reform situation of stamp duty in Orissa. It explains the rationale for this reform and process of implementation and its outcome. This note has been prepared by Govt. of Orissa.

Enactment of Public Disclosure Law

Model Municipal Disclosure Law
http://www.jnnurm.nic.in/nurmudweb/what%27snew/MunicipalityDisclosureBill.pdf
The MoUD has issued a model disclosure bill for states to help them enact a public disclosure law. This model bill can be used for comparison with state disclosure laws

Primer on Public Disclosure Law
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/7-PDLaw.pdf
The primer provides the background of PDL, processes and steps to be undertaken by state government to enact a public disclosure law.

Orders on public disclosure rules of urban civic bodies hailed-
http://www.thehindu.com/2009/12/27/stories/2009122752500300.htm
Report on public disclosure law in Andhra Pradesh.

Enactment of Community Participation Law

Model Nagara Raj Bill
http://www.jnnurm.nic.in/nurmudweb/what%27snew/NagaraRajBILL.pdf
The MoUD has issued a model community participation bill (Nagara Raj bill) for states to help them enact a public disclosure law. This model bill can be used for comparison with state community participation laws and provisions.

Primer on Community Participation Law
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/6-CPLaw.pdf
The primer provides the background of CPL, processes and steps to be undertaken by state government to enact a community participation law.

Community Participation Law (CPL) *What Participation? Whose Community?*
http://go2.wordpress.com/?id=725X1342&site=casumm.wordpress.com&url=http%3A%2F%2Fcasumm.files.wordpress.com%2F2008%2F02%2Fcommunity-particpation-law.pdf&sref=http%3A%2F%2Fcasumm.wordpress.com%2F
It is a critique of Community Participation Law by CASUMM especially regarding participation of urban poor in urban governance.

City Planning and Delivery functions

Primer on City Planning and Delivery functions
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/1-2-Implementation_CAA_Planning.pdf

The primer for city planning function is same as the primer for 74th CAA. The primer has a section on convergence of urban management functions which is related to city planning and service delivery.

D.2 Mandatory Reforms at ULB level

Accrual based Double-entry accounting system

Primer on Double Entry Based Accounting
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/2-Mun-Acc.pdf
The primer provides the background and rationale for Double entry based accounting system. It outlines the various processes and steps to be undertaken by ULBs to shift to double entry accrual based accounting system.

Citizens Primer on Financial Reforms, Sanjeev Chandorkar, School of Habitat studies, TISS
This primer focuses on financial reforms from the perspective of common citizens and highlights issues involved in implementation of these reforms. This document is available with UIRF team in TISS.

Accounting Reforms in Urban Local Bodies of Karnataka, India Urban Portal
www.indiaurbanportal.in/bestpractice/.../accounting_reforms_Karnataka.pdf
This is an official note prepared by Urban Development Department, Karnataka as a part of peer learning exercise for urban local bodies. It provides the pre-JNNURM situation regarding this reform in the state. The objectives, implementation strategies and achievements are provided briefly in this note.

E-governance using MIS and GIS

Primer on e-governance
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/1-e-governance.pdf
The primer on e-governance explains the rationale for implementing e-governance. It also details the steps and processes to be undertaken by urban local bodies to implement an e-governance system.

Guidelines on National Mission Mode Project (NMMP) on e-governance in Municipalities as a part of JNNURM
NMMP envisaged covering 35 JNNURM cities. The guidelines were issued for the project. It includes objectives, financing pattern, implementation and monitoring, capacity building and hand holding as well as indicators to measure achievements and outcomes.

Property tax reforms with GIS

Primer on property tax reforms
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/3-Property-Tax.pdf

The primer on e-governance explains the rationale for reforming property tax systems in urban local bodies. It also details the steps and processes to be undertaken by urban local bodies to reform the property tax system and make it more efficient.

URBAN PROPERTY TAX POTENTIAL IN INDIA, Mathur, Thakur and Rajadhyaksha, Research study, National Institute of Public Finance and Policy
www.nipfp.org.in/opm_files/opmathur/TFC-Report.pdf
The study estimates the potential of property taxes and suggests how that potential might be realised. The study rests on the postulate and the commonly-held perception that the productivity and performance of property taxes in India as a source of revenue have been poor and that these taxes as an instrument of financing municipal services have not been used optimally. This study focuses on estimating the money value of the potential and on the steps that may be necessary to enhance the role of property taxes in financing municipal services

Internal earmarking for urban poor in ULB budgets

Primer on internal earmarking for urban poor in ULB budgets
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/5-IEFSUP.pdf
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/5-IEFSUP_2.pdf
The primer on e-governance explains the rationale for internal earmarking of funds for poor in budgets of urban local bodies. It also details the steps and processes to be undertaken by urban local bodies to implement this reform.

A new deal for the Urban Poor-Slum Free cities, O.P.Mathur, National Institute of Public Finance and Policy(NIPFP)
www.nipfp.org.in/opm_files/.../Final%20Poverty%20Rep.pdf
The strategy paper is laid out in four sections, beginning with a brief overview which is a snapshot of the current situation and the tasks ahead. This section also summarizes the paper. Section two consists of an assessment of the nature and dimensions of urban poverty in India. Section three reviews the approaches to urban poverty over the successive five year plans and how the approaches and the accompanying urban poverty redressal programmes have unfolded themselves in the context of the changing macro-economic parameters. The final section presents a strategy for poverty reduction. The centre-piece of the proposed strategy is slum-free cities.

Basic services for urban poor

Primer on basic services for urban poor
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/6-PBSUP.pdf
The primer provides a background on basic services to urban poor in India and the need to improve the provision. It highlights the steps that need to be undertaken by ULBs to implement this reform.

Urban Poverty Alleviation Initiatives & The JNNURM: A Critical Assessment,Ruchira Sen and Nakul Kumar, Working paper, November 2006, NIUA
http://www.niua.org/Publications/working_papers/Nakul_Ruchira_Urban_poverty.pdf

The paper attempts to analyze the existing situation of the Urban Poor as mentioned in the City Development plans prepared by various cities eligible for financial aid under the JNNURM, against the backdrop of the Poverty Alleviation strategies employed in India since Independence. The paper also includes a section on the city development strategies that seems to provide a panacea for the errors that might have crept into the CDPs.

Slumdogs and small towns, Kalpana Sharma, City scapes, InfoChange India News Features, April 2009
http://infochangeindia.org/Urban-India/Cityscapes/Slumdogs-and-small-towns.html
Kalpana Sharma, an eminent journalist visited 8 small towns in several North Indian states. This article is the first part of her final report where she outlines various issues facing small towns in India.

Why our small towns are a mess? Kalpana Sharma, City Scapes, Info Change India News Features, May 2009
http://infochangeindia.org/Urban-India/Cityscapes/Why-our-small-towns-are-a-mess.html
The second part of Kalpana Sharma's report.

Levy of user charges

Primer on levy of user changes
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Mandatory/4-UC.pdf
The primer explains the rationale for levy of user charges by urban local bodies. It also details the steps and processes to be undertaken by urban local bodies to estimate user charges and also methods for cross-subsidisation

User Charges in Local Government Finance, Richard M. Bird
http://info.worldbank.org/etools/docs/library/115504/.../t-bird-mod04.pdf

This article provides the rationale for user charges, how to design and price user charges, costs and process of user charges and guidelines for public pricing.

D.3 Optional Reforms

Revision of building bye laws

Primer on revision of building bye laws
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Optional/primers.building.pdf
The primer explains the rationale for revision of building bye laws. It details the procedure to be adopted for implementation of this reform and indicators to measure its outcomes.

Simplification of conversion of agricultural land to non-agricultural land

Primer on simplification of conversion of agricultural to non-agricultural land
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Optional/primer.AGRICULTURAL.pdf

The primer provides the interlinkages of this reform with other JNNURM reforms. It outlines the process framework for this reform and steps for implementing this reform.

Property Title Certification

a) Primer on property title certification
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Optional/primer_LTCS.pdf
The primer provides the rationale for property title certification and the reform components. It prescribes the steps to be followed for implementing the reform and provides indicators for measuring achievements and outcomes.

Earmarking of land for EWS/LIG housing

Primer on earmarking of land for EWS/LIG housing
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Optional/primer_land_poor.pdf
The primer provides the background and rationale for earmarking land for housing for poor. It outlines the reform components and details the steps for implementation of the reform. It also provides the indicators for measuring the achievements and outcomes.

Municipal and Metropolitan Governance: Are they relevant to the Urban Poor?
K.C. Sivaramakrishnan, Paper presented at the "Forum on Urban Infrastructure and Public Service Delivery for the Urban Poor, Regional Asia", sponsored by the Woodrow Wilson International Centre for Scholars and the National Institute of Urban Affairs, New Delhi,24-25 June 2004 accessed at
https://www.wilsoncenter.org/topics/docs/ACF34C4.doc

This paper evaluates the role of local urban governance for urban poor. It traces the history of the role of these institutions in different initiatives for urban poor especially regarding slum upgradation. It also evaluates the implementation of 74th CAA especially those provisions beneficial for urban poor.

Computerised land and property registration

Primer on computerized land and property registration
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Optional/p06.computerised.pdf
The primer provides the rationale for computerizing land and property registration. It outlines the reform components and details the steps for implementation of the reform. It also provides the indicators for measuring the achievements and outcomes.

Mandatory Rain water harvesting

Primer on mandatory rainwater harvesting
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Optional/primer.rainwarter.pdf
The primer provides the rationale for mandatory rain water harvesting. It details the steps for implementation of the reform. It also provides examples regarding implementation of bye-laws in different states.

Recycled water bye-laws

Primer on recycled water bye-laws
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Optional/primer.Reuse.pdf
The primer provides the rationale and benefits from this reform. It details the steps for implementation of the reform. It also provides the indicators for measuring the achievements and outcomes.

Administrative Reforms

Primer on administrative reforms
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Optional/p08.administrative.pdf
The primer provides the context for administrative reforms. It outlines the rationale, impacts and benefits of this reform. It also provides the goals, objectives and components of the reform. It provides a roadmap for implementing the reforms along with indicators for measuring outcomes.

Structural Reforms

Primer on structural reforms
http://www.jnnurm.nic.in/nurmudweb/Reforms/Primers/Optional/primer.structural.pdf
The primer provides the context for structural reforms. It outlines the rationale, impacts and benefits of this reform. It provides a roadmap for implementing the reforms along with indicators for measuring outcomes.

Encouraging Public Private Partnership

JNNURM Primer on Encouraging PPPs
http://jnnurm.nic.in/nurmudweb/Reforms/Primers/Optional/PrimerPPP.pdf (pdf file)
The Primer at its very start provides a cursory introduction to the GoI initiatives for infrastructure development through PPPs and also attempts to lay down the rationale for adopting this PPP route. It states the minimum essential requirements for creating enabling environment for PPPs at state level and also lists the steps to be followed for implementing the reform at the city level. It concludes by briefly discussing the measuring of achievements or outcomes. Annexed to this Primer are: (i) Spectrum of PPP Options and (ii) the Distribution or allocation of roles and responsibilities between the public and private partners during the Project Development phase of any PPP project.

GoI PPP (Portal)
http://www.pppinindia.com/
This portal is hosted by Ministry of Finance, GoI and is reported to act as a virtual marketplace for disseminating information on PPP projects throughout the country (to all stakeholders in particular and citizens/public in general). The different aspects pertaining to PPPs detailed on this website *inter alia* include: Overview, Projects, Approval Committees, Guidelines & Forms, Reports and Policy Documents, Mainstreaming of PPPs, Transaction Advisors, Database, Case Studies, Financing, Developers and Investors, Events, Discussion Papers, Useful Links. At the Central level, it gives information on: (i) Sectors, (ii) PPP Developments projects, initiatives in the central

Govt. and (iii) PPP Officers at Central Government Ministry. At the State level, it gives information on: (i) State Profiles: An overview of the economic & industrial strengths of states, (ii) PPP Developments, projects, initiatives in various states, and (iii) PPP Nodal Officers in States.

PPP Database, Department of Economic Affairs, Ministry of Finance, GoI
http://www.pppindiadatabase.com/
The database contains general information about the project like, location, sector, type of PPP project, status, bidding information (such as contract award method, contract signing date, financial closure etc.), project benefits and costs, legal instruments and financial information about investor holdings and, total debt and equity etc. The database captures all the PPP projects on the sectors below from 1996 in India and is updated regularly with any new development in the existing and under-construction projects. The new projects are updated as and when they are in the public domain. The database covers only those projects that are approved by the Government of India, State governments or local bodies.

Articles on PPPs in Indian context from 'Economic and Political Weekly'
http://epw.in/
Managing Public Private Partnerships", Satish Bagal, Issue : VOL 43 No. 33 August 16 - August 22, 2008
"Public-Private or a Private Public?", Asha Ghosh, Issue : VOL 40 No. 47 November 19 - November 25, 2005
"Urban Water Supply: Reforming the Reformers", Amit Bhaduri, Issue : VOL 40 No. 53 December 31 - January 06, 2006
"Public, Private and Voluntary Agencies in Solid Waste Management", Krithika Srinivasan, Issue: VOL 41 No. 22 June 03 - June 09, 2006
"Public-Private Partnerships for Urban Poor in Ahmedabad", Uttara Chauhan and Niraj Lal, Issue: VOL 34 No. 10 and 11 March 06 - March 19, 1999
Public-Private Partnerships in India: A Case for Reform?", Amrita Datta,
Issue: VOL 44 No. 33 August 15 - August 21, 2009

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Annexure-1(A)
A brief note on JNNURM

Government of India, in December 2005, simultaneously introduced one mission (JNNURM) and two schemes (UIDSSMT and IHSDP) and has committed to provide assistance of Rs.50,000 crores. The duration of all these mission/ schemes is 7 years i.e. upto Dec, 2012. A brief note on each of these is given below:

JNNURM

Jawarharlal Nehru National Urban Renewal Mission (JNNURM) has been formulated by the Government of India in order to cope with the massive problems that have emerged as a result of rapid urban growth. The mission aims for "reforms driven, fast track, planned development of identified cities with focus on efficiency in urban infrastructures and services delivery mechanism, community participation and accountability of urban local bodies (ULBs) and parastatals towards citizens". The mission is divided into two sub-missions, viz., one on Urban Infrastructure and Governance (UIG) and another on Basic Services to Urban Poor (BSUP) which are supervised and administered by Ministry of Urban Development and Ministry of Housing and Urban Poverty Alleviation respectively. 65 cities across 30 states have been chosen as Mission Cities in three categories, viz., (A) All cities having more than 4 million population- 7 cities have been chosen in this category, (B) All cities having 1 million population but less than 4 million – 28 cities have been chosen in this category and (C) All cities that are State capitals and places of tourist or religious importance- 30 cities are under this category.

UIDSSMT

UIDSSMT has been launched by combining then existing schemes of Integrated Development of Small and Medium Towns (IDSMT) and Accelerated Urban Water Supply Programme (AUWSP). The primary aim of the scheme is to ensure planned development of small and medium cities and towns by improving infrastructure and delivery of public services. The scheme applies to all cities and towns as per 2001 census except those covered under JNNURM. However, all the mandatory and optional reforms that are conditionalities to access of funds under JNNURM are also applicable for those cities and towns which are provided funds under UIDSSMT.

IHSDP

The Integrated Housing and Slum Development Programme (IHSDP) combined the existing schemes of VAMBAY (Valmiki Ambedkar Awas Yojana) and National Slum Development Programme (NSDP) for integrated approach to urban slum dwellers and those who do not have houses in cities and towns not included in JNNURM. The objective of the scheme is "to strive for holistic slum development with a healthy and enabling urban environment by providing adequate shelter and basic infrastructure facilities to the slum dwellers of the identified urban areas. Allocation of funds among States will be on the basis of the States' urban slum population to total urban slum population in the country. States may allocate funds to towns/cities basing on similar formula. The State Governments may prioritize towns and cities on the basis of their felt-need. While prioritizing towns, States would take into account existing infrastructure, economically and socially disadvantaged sections of the slum population and difficult areas.The components for assistance under the scheme will include all slum improvement /upgradation/relocation projects including upgradation/new construction of houses and infrastructural facilities, like, water supply and sewerage similar to Sub-mission on Basic Services to Urban Poor.

Annexure-1(B)
A List of JNNURM Reforms

Mandatory Reforms at State Level (7 No)

1.	Implementation of 74th CAA, 1992
2.	Reform of Rent Control Laws balancing the interests of landlords and tenants
3.	Repeal of Urban Land Ceiling and Regulation Act
4.	Enactment of Community Participation Law to institutionalize citizen participation and introducing the concept of Area Sabha in urban areas.
5.	Enactment of Public Disclosure Law to ensure preparation of medium term fiscal plan of urban local bodies/parastatals and release of quarterly performance information to all stakeholders
6.	Assigning or Associating Urban Local Bodies with City Planning
7.	Rationalisation of Stamp Duty to 5 per cent

Mandatory Reforms at Urban Local Body Level (6 No)

1.	Adoption of modern accrual based double entry system of accounting
2.	Introduction of system of e-governance
3.	Increase property tax collection at least to 85 per cent
4.	Collection of Full cost of operation and maintenance or recurring cost
5.	Internal earmarking within local body, budgets for basic services to the urban poor
6.	Provision of basic services to urban poor including security of tenure at affordable prices, improved housing, water supply, sanitation and ensuring delivery of education, health and social security

Optional Reforms at State and Urban Local Body Level (10 No)

1.	Revision of bye-laws to streamline approval process for construction of buildings, development of sites etc.
2.	Simplification of conversion of agricultural land for non-agricultural purposes
3.	Introduction of Property Title Certification system in Urban Local bodies
4.	Earmarking at least 20-25 per cent of developed land in all housing projects for EWS/LIG with cross subsidization
5.	Introduction of computerized process of registration of land and property
6.	To make rain water harvesting mandatory in all buildings and adoption of water conservation measures
7.	Bye-laws for reuse of recycled water
8.	Administrative Reforms
9.	Structural Reforms
10.	Public-Private Partnership

Questionnaire for Pro-Poor Reforms

The SRUR research team will feel that it is necessary to validate data and information received from nodal agencies like MHADA and DMA regarding implementation of status of 'pro-poor reforms'.

These reforms are

1) Internal Earmarking of Funds for Urban Poor (P-budget)

2) Implementation of 7 point charter on provision of basic services to urban poor

3) Earmarking of land /housing for urban poor

To help this process, we have designed a simple questionnaire that will ensure that relevant information can be elicited from documents like DPRs and interviews with officials in easiest manner possible.

The questionnaire is divided into two parts. The first part consists of General Information about different aspects of Urban Local Body. The second part of the questionnaire is about status of reform implementation.

The possible sources of information for each question have been indicated in italics below each question.

Questionnaire for Pro-Poor Reforms

A). General Information

1. Name of the Urban Local Body …………………..

2. Total Population …………………………………….
 (According to Census 2001)

3. Below Poverty Line Population…………………….
(*According to Municipal Surveys, include the year*)

4. No. of Notified Slums if any ……………………….
 (Information to be collected through Interviews with officials in public works division and/or through analysis of IHSDP detailed project report (DPR) prepared by the respective ULB)

5. Total Slum Population …………………………..
(Information to be collected through Interviews with officials in public works division and/or through analysis of IHSDP detailed project report prepared by the respective ULB, if it's a ULB with more than 50000 population, details may be available from Census 2001)

6. Has IHSDP Project been sanctioned, if yes in which year …………………
(Interviews with officials in charge)

a) No. of dwelling units have been sanctioned:…………………
(This information will be provided in the IHSDP DPR)

b) No. of beneficiaries…………………………..
(Information to be collected through Interviews with officials in public works division and/or through analysis of IHSDP detailed project report (DPR) prepared by the respective ULB)

c) Whether in-situ development or relocation site………………………..
(Information to be collected through Interviews with officials in public works division and/or through analysis of IHSDP detailed project report (DPR) prepared by the respective ULB)

If no, the reasons for not proposing /non sanction of IHSDP scheme
(Information to be collected through Interviews with officials in charge)

B). Status of Reform Implementation

1. Internal Earmarking of Funds for Urban Poor (P-Budget)
(*Information to be available from ULB budget documents and interviews with accounts officials)*
Has it been implemented? If yes, since when ……………………….
% of total budget earmarked for urban poor …………………………
Budget heads, the funds for poor are earmarked for …………………
If reform has not been implemented, reasons for non- implementation ………………..

2. Implementation of 7 point charter on Provision of Services to Urban Poor
What is the coverage of the services stated below as a % of population?
(*Through socio-economic survey conducted by ULBs or any other existing survey*)
a) Security of Tenure
b) Affordable Shelter
c) Water Supply
d) Solid Waste Management
e) Sanitation
f) Education
g) Health
h) Social Security

3. Earmarking of Housing for Urban Poor
 (*Information to be collected through Interviews with officials and/or through analysis of IHSDP detailed project report (DPR) prepared by the respective ULB*)
a) Reservations in existing development plan for housing the poor/housing the dishoused in existing DP
1. Whether these have been developed………………

b) Whether ULB has started earmarking land /FSI in new developments (housing colonies and apartments built by private agencies) if yes, how much in terms of %...........................

c) If the reform has not been implemented, reasons for non-implementation

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Sr. No.	Description
1	**DPR**
1.1	Which agency was entrusted with the responsibility of preparing the DPR? [AMC, MJP, Consultant, others]
1.2	If agency is not AMC/MJP, was a competetive-tendering process followed for selection of consultant for DPR preparation? Kindly give details of bids received.
1.3	Were other agencies considered/approached for preparing the DPR?
1.4	Why was only this agency given this responsibility? *(It could have been done by other agency also)*
1.5	How much cost has been incurred on preparing the DPR?
1.6	Kindly indicate how many revisions has the DPR undergone since its first draft as required by Appraising Agency-MJP, Pune
1.7	Any suggestions on how the "DPR preparation" could be improved, based on experience under this UIDSSMT scheme.
1.8	Kindly make available the "final" copy of the DPR
2	**Appraisal Report**
2.1	How much cost has been incurred on getting the DPR appraised by MJP, Pune?
2.2	Any suggestions on how the "DPR Appraisal" could be improved, based on experience under this UIDSSMT scheme.
2.3	Kindly make available the "final" copy of the Appraisal Report
3	**PPP Contractual Agreement**
3.1	Has the PPP Contractual Agreement been (a) drafted; (b) finalized; (c.) entered into?
3.2	Which agency was entrusted with the responsibility of drafting and finalizing the PPP Contractual Agreement? [AMC, MJP, Consultant, MUINFRA (PPP Cell GoM), others]
3.3	Was MUINFRA (i.e., MUIDCL) with the PPP Cell GoM consulted for preparing the PPP Contractual Agreement? If Yes, kindly give details, if No kindly justify.
3.4	Were Model concession Agreements (MCAs) used for developing the Contract?
3.5	How much cost has been incurred due to involvement of MUINFRA for consulting on the PPP Contractual Agreement?
3.6	How much cost has been incurred on preparing and finalizing the PPP Contractual Agreement?
3.7	Were legal experts/advisers on the panel for drafting/finalizing the PPP Contractual Agreement? Kindly give details- government or private legal experts/advisers.
3.8	What is the accountability mechanism in case the PPP contract fails to protect public interest? (Is there a clause where the AMC or GoM can hold an official or institution accountable/responsible for failure, if any?)

3.9	When was the PPP Contract Agreement signed by both the partners?
3.10	Was the PPP Contract Agreement debated/discussed/deliberated over in the AMC meetings?
3.11	Was the PPP Contract Agreement approved by the "General Body" or "Standing Committee" or "some other Committee" of the AMC?
3.12	Kindly make available the AMC Resolution where the PPP contractual agreement was approved.
3.13	Does the PPP Contractual Agreement require the approval of State Government of Maharashtra before being signed?
3.14	Kindly make available the "final" copy of the PPP Contractual Agreement.
3.15	Is the PPP Contractual Agreement available in Public Domain?
3.16	Would AMC make available the PPP Contractual Agreement by filing a Right to Information (RTI) Application?
3.17	Have any RTI applications been received for getting PPP Contractual Agreement in particular and project details in general. Kindly make available a summary sheet.
3.18	Kindly explain the Key Contractual Features
4	**UIDSSMT**
4.1	Kindly give the Status of reforms implementation by AMC since 2005 (especially "Encouraging PPPs"- Optional Reform common to State and ULB), till date (or 31st March 2010).
4.2	Kindly give the value of release of funds (on a timeline) by GoI, GoM and AMC for this Project , till date (or 31st March 2010).
4.3	Kindly give the details of commitment and/or release of funds (on a timeline) by Private player for this Project, till date (or 31st March 2010).
4.4	Any comments on "release of funds linked to progress of reforms implementation.
4.5	Kindly make available a copy of all Quarterly Progress Reports (QPRs) submitted by AMC to DMA, since start of UIDSSMT till date (or 31st March 2010)
5	**PPP Mode of Implementation of Project**
5.1	Kindly explain and give details of the Bidding Process
5.2	Kindly make available the Tender Notice, Tender Document,
5.3	Kindly give details of the no. of parties that submitted Expression of Interest, No. of parties in Pre-bid Conference/meeting, No. of parties Qualified, No. of parties who passed the Technical Stage and Financial Stage, Were all of them consortiums
5.4	Is the consortium that submits a bid, a legal entity or it becomes a legal entity after winning the bid?
5.5	Is private player a registered firm.pvt company/partnership? Kindly give details.
5.6	Any PPP guidelines of GoI or MUINFRA that were followed while preparing this PPP project?
5.7	Kindly explain the roles and responsibilities of different agencies party to this PPP project: MJP, AMC, Financial institutions, Private player, MOUD, M/O Finance, DEA, MUINFRA, others…
5.8	Kindly explain the Rationale for adopting the PPP route.

5.9	How was the decision taken to select the PPP model from several models available? Who took the decision?
6	**Financial Structure**
6.1	What is the Total Initial Investment required and done?
6.2	Kindly give the distribution- Public Investment and Private Investment (over a timeline).
6.3	For each partner: what is the Debt: Equity Ratio?
6.4	Kindly explain the cash-flow and Break-even analyses undertaken by both the partners.
6.5	Kindly give the cost-benefit analyses undertaken by both the partners.
6.6	What is the profit margin of the private player or AMC?
6.7	Is the allowable and pre-determined profit margin explicitly mentioned in the PPP Contract Agreement?
6.8	Has Viability Gap Funding (VGF) been employed for this PPP project? If Yes, kindly give details, if No, kindly justify.
6.9	Has bank guarantee been given by the private player? Kindly give details.
6.10	What are the instalments to be paid by the private player to AMC over a period of time?
6.11	Was the Public Sector Comparator (PSC) computed?
7	**User Charges**
7.1	Who has decided the user-charges?
7.2	What is the process followed for determining the user-charges?
7.3	Kindly make available the detailed technical calculations undertaken for computing the user-charges.
7.4	Was a process of community/public participation undertaken before finalizing the user charges?
7.5	Who would collect the user-charges?
7.6	Who would keep the user-charges?
7.7	Are user-charges specified in the PPP Contract Document?
7.8	Does the private player have the right t amend/increase the user charges over the contract period?
7.9	Any subsidization and/or cross-subsidization amongst user categories and consumption slabs?
8	**Community Participation or Public Participation**
8.1	What steps or measures or mechanisms have been put in place for community/public participation?
8.2	Were Public hearings, consultations organized? Are they planned?
8.3	Were public comments invited on PPP approach or process or contractual agreement?

8.4	If yes, Kindly give details . If No, kindly justify.
9	**Transparency**
9.1	Would the financial statements of the private player be available in public domain (such as: Balance sheet, Profit/Loss A/c, Assets/Liabilities)
9.2	Would the income tax paid by the Private player be disclosed every year to the AMC and general public?
9.3	Would the financial auditing be done by CAG?
9.4	Would the Audit report be published and made available in public domain?
10	**Accountability**
10.1	In a consortium, how is the accountability defined for each member organization of the consortium?
11	**Periodic Reporting by the Private player to AMC**
11.1	Would the private player be mandated to submit its financial details? Also state the frequency -monthly, quarterly, yearly
11.2	Kindly give details of all reporting that the private player is supposed to do the AMC over the contract period.
11.3	Kindly give a copy of all communication between the private player and AMC.
12	**Monitoring and Verifiying/validating the claims of private player**
12.1	What clauses have been put in PPP contract document for monitoring/verifying/validating the claims of private player reported to AMC?
13	**Penalty Clauses**
13.1	Kindly explain the penalty clauses in the PPP Contract Agreement.
14	**Impact Assessment**
14.1	Has Environmental Impact Assessment Been carried out? Kindly give details
14.2	Has Social Impact Assessment been carried out? Kindly give details
15	**Performance of private player till date**
15.1	Prior to this PPP project- what are the credentials of the private player (technical, experience- of individual member organizations)?
15.2	With respect to this PPP project, how has been the Performance of private player till date (or 31st March 2010)
15.3	Is private player registered with MJP, PWD, GoM, and AMC?
16	**Progress of Project**
16.1	What stage is the project currently in?
16.2	How much expenditure has already been incurred on the project till date (or 31st March 2010)?
16.3	How is the actual progress on physical and financial targets when compared to plan? Is it delayed, early or on-time? Is there a supporting document for the same?

17	**Dispute Resolution Mechanism**
17.1	What is the dispute resolution mechanism put in place- between the partners of the contract?
18	**AMC Financial position**
18.1	Does AMC have a Double Entry system of Accounting?
18.2	Does AMC display its Annual financial Statements on its website?
18.3	What is the credit rating of AMC?
18.4	Kindly make available the latest available figures of AMC Budget allocation for this PPP project.
18.5	How has been the lending by commercial banks to AMC over a period of last 5 years?
19	**Feasibility Report**
19.1	Kindly make available the feasibility report prepared (if any) for this PPP project.
20	**Communication**
20.1	Kindly give a copy of all written (postal/email) communication between AMC and DMA-SLNA for UIDSSMT
20.2	Kindly give a copy of all written (postal/email) communication between AMC and MJP- for technical Appraisal
20.3	Kindly give a copy of all written (postal/email) communication between AMC and GoM.
20.4	Kindly give a copy of all written (postal/email) communication between AMC and Interested Private partners (involved in Bidding process)
20.5	Kindly give a copy of all newspaper articles published by AMC in regard to this PPP project

Note for Discussions with State Level Nodal Agency Officials

1. It is necessary that meetings with officials are undertaken after identifying state level nodal agencies for all schemes under JNNURM- UIG, BSUP, UIDSSMT and IHSDP.

2. SRUR/SAP team will need to introduce the partnership with UIRF, TISS and knowledge products that will be prepared for the state and so on. SAPs can leverage the influence they have with state government based on past work.

3. Within each office, it is necessary to collect a list of officials and subjects of their concern.

4. It is necessary to identify the official who will be dealing with implementation of urban reforms. SLNA's may have a special cell for JNNURM schemes.

5. Once an appointment is made with the concerned official, it is best to have an unstructured interview while ensuring that some key points are covered in the interview as given below-:
a) Role and function of the institution in JNNURM
b) The relationship between the institution and ULBs regarding JNNURM schemes and reforms
c) The experience of implementation of different schemes of JNNURM and reforms agenda
d) To get an idea of the official sources of data like quarterly progress reports (QPRs) and who manages them in the institution

6. It is more fruitful to let officials talk without raising questions right in the beginning. Some officials may not talk freely at all. Here, the team is to use their persuasive powers and also if need be refer to meetings that team had with officials at higher level.

7. It is also to be kept in mind that all government offices work on the basis of a hierarchy. Therefore, officials at junior rank will not give any information without getting permission or approval from officials above them. Hence, it is always better for research team to move down from higher officials to junior officials when meeting them in these institutions.

The above given notes have been prepared on the basis of SRUR team's experience of interaction with officials in government institutions in Maharashtra. We think that some of these points will also be applicable in other states. However, the SRUR team can try another approach if that suits their needs better.

Annexure 4 (A)
Formats for Assessment of Reforms in JNNURM cities

ULB level Mandatory Reforms-JNNURM cities in the State

1.	Double Entry Accounting System	JNNURM cities in the state that have accomplished this reform.
2.	E-governance	-do-
3.	Property Tax (85 per cent coverage and 90 per cent collection efficiency)	-do-
4.	User Charges	-do-
5.	Internal Earmarking in ULB budgets	-do-
6.	Provision of Basic Services for urban poor	-do-

The SRUR team can note the JNNURM cities in the state that have accomplished each of the mandatory reforms in the table

ULB level Optional Reforms-JNNURM cities in the State

1.	Regarding approval for constructions	JNNURM cities in the state that have accomplished this reform.
2.	Regarding conversion of agricultural land	-do-
3.	Property title certification System	-do-
4.	Earmarking of land for Urban Poor	-do-
5.	Computerized registration of land/ property.	-do-
6.	Rain-water harvesting	-do-
7.	Reuse of reclaimed Water.	-do-
8.	Administrative reforms	-do-
9.	Structural Reforms	-do-
10.	Encouraging PPP	-do-

The SRUR team can note the JNNURM cities in the state that have accomplished each of the optional reforms in the table.

Summary of ULB level Reforms-JNNURM cities in the state

	Name of the City 1	Name of the City 2			
Mandatory (6)					
Optional (10)					
Total(16)					

Based on the two tables above, a summary of the number of reforms (mandatory and optional) accomplished by each of the JNNURM cities in the state. This table will be useful to identify the 'enthusiasts' and 'laggards' in reform implementation.

ULB level Mandatory Reforms- Small and Medium towns in the State (Non-JNNURM)

	Reform Proposal	Completed	Under Progress	No Action	Total
1.	Double Entry Accounting System				
2.	E-governance				
3.	Property Tax (85 per cent coverage and 90 per cent collection efficiency)				
4.	User Charges				
5.	Internal Earmarking in ULB budgets				
6.	Provision of Basic Services for urban poor				
	Total				T1
	% to the aggregate				

(Note: T1= Number of ULBs x 6 (number of ULB mandatory reforms)
This table will help in assessing the overall status of implementation of ULB level mandatory reforms for small and medium towns in the state. The formula given as a note will help in quantifying the implementation of reforms

ULB level Optional Reforms- Small and Medium towns in the State (Non-JNNURM)

	Reform Proposal	Completed	Under Progress	No Action	Total
1.	Regarding approval for constructions				
2.	Regarding conversion of agricultural land				
3.	Property title certification System				
4.	Earmarking of land for Urban Poor				
5.	Computerized registration of land/ property.				
6.	Rain-water harvesting				
7.	Reuse of reclaimed Water.				
8.	Administrative reforms				
9.	Structural Reforms				
10	Encouraging PPP				
	Total				T2
	% to the aggregate				

(*Note: T2= Number of ULBs x 10 (no. of optional reforms)*
This table will help in assessing the overall status of implementation of optional reforms for small and medium towns in the state. The formula given as a note will help in quantifying the implementation of reforms

Summary of ULB level Reforms- Small and Medium towns in the State (Non-JNNURM)

	Reform Proposal	Completed	Under Progress	No Action	Total
1.	Mandatory (6)				
2.	Optional (10)				
3.	Total(16)				T3
	% to the aggregate				

(*Note: T3= No. of ULBs x 16 (Total No.of reforms)*

This table will help providing a summary of the overall status of implementation of mandatory and optional reforms in small and medium towns in the state.

टाटा सामाजिक विज्ञान संस्थान
TATA INSTITUTE OF SOCIAL SCIENCES

December 30, 2009

To
Shri. T.C. Benjamin
Chief Secretary
State Urban Development Department
Maharahtra, Mumbai

Dear Sir

Sub: Establishment of Urban India Reforms Facility (UIRF) in Tata Institute of Social Sciences

As you may be aware that Tata Institute of Social Sciences (TISS), one of the premier social sciences institution in the country, has, since its inception in 1936, made consistent contributions to civil society and the development sector, through its education, research, field action and extension activities. One of the noteworthy features of its functioning is to provide an *institutional response* to societal needs as and when necessary.

In continuation of this tradition, and in response to the rapid urbanization underway within the country, TISS has recently set up the School of Habitat Studies (SoHS) to respond in focused and comprehensive manner to the knowledge related needs of the society in the habitat sector in general and urban sector in particular. The school offers a 2 years Masters' Course in Habitat Policy and Practices which is aimed at creating professionals which can man different institutions working in urban sector, be it Central and/or State Governments, Para-statal bodies, Private Companies intending to provide urban services under PPPs, NGOs and CSOs.

The school has recently set up an in-house facility, viz., **Urban India Reforms Facility (URIF)**, which envisages 'research work' on wide range of urban issues, but, in immediate future proposes to focus on urban reforms initiated by JNNURM regime. We are also of the view that the Small & Medium Towns (SMTs) in the country are weaker compared to the large cities in terms of their resourcefulness and other capabilities and hence there is need to evolve differentiated approach. Accordingly, UIRF proposes to provide knowledge support and services to the local academic institutions and civil society organizations in few select SMTs, to begin with, in the state of Maharashtra.

As State Urban Development Department plays a vital role in JNNURM Mission, we would like to meet you. Your guidance and co-operation will be valuable for our project.

Please give your appointment as soon as possible.

Chandorkar

Prof. Chandorkar Sanjeev
Associate Professor
School of Habitat Studies
Tata Institute of Social Sciences

Contact No. 022-25525375; M: 9821 20 65 97(Smita Waingankar, Research Officer)

GOVERNMENT OF MAHARASHTRA

No. UD-2010/TISS/UD-1
Urban Development Department,
Mantralaya, Mumbai-400032.
Date: 13th January 2010.

To

*
List attached

   The TATA Institute of Social Sciences is collecting data pertaining to Infrastructural, Administrative, Housing related and Planning related aspects of Urban Local Bodies. Their research findings will be useful for the Government. I therefore, request you to extend necessary help to the TATA Institute of Social Sciences' Team when they approach you for the same.

   Thank you,

          Yours faithfully,

          (T.C. Benjamin)
          Principal Secretary,

Copy to –

Shri Sanjeev Chandorkar, Associate Professor, School of Habitat Studies, Tata Institute of Social Sciences, V.N. Purav Marg, Deonar, Mumbai 400 066.