

Urban Services Planning
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Lecture - 04
Municipal Management and Finance: Part I

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Welcome back, in lecture 4, we will talk about municipal management and finance and this is part one of the lecture.

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So, the different concepts that we will cover are our municipal management and service provision, organizational structure of different municipalities, service planning responsibilities, and finally, we will look into a case study.

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Municipal management and service provision

Urban management and management of urban services

Major objectives:

- Planning, implementing and maintaining urban areas' infrastructure, facilities and services
- Ensuring the financial and organizational health of the urban local body

- Detail planning for design of urban infrastructure and services.
- Delivery of urban services towards improving QOL
- Inter-department, Inter-agency and Inter-ULB coordination
- Engagement with formal and informal sectors
- Ensuring community participation and engagement with private organizations, NGOs and civil society organizations
- Monitoring and management of projects and programs
- Enhance institutional capacity
- Efficient administration and governance

The diagram illustrates the 'Scope of Urban Management' as a central hub connected to seven key areas: Economic Development, Environment & Resource Management, Urban Land, Infrastructure, Health management, Recreational Aspects, and Social Service.

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So, once we have talked about the governance structure of municipalities in the previous lecture, so, now, we can talk about the detailed management or the framework or the organizational structure of municipalities. The major objectives of municipalities is planning, implementing and maintaining urban areas. Infrastructure facilities and services so, that is the primary objective, but at the same time they municipalities have to ensure the financial and the organizational health of the overall urban local body.

So, that means that we are not only providing services, but at the same time we have to make sure that we are having adequate finances to provide those services we have to make sure that we are able to generate revenue and at the same time the overall service provision is not only just service provision, the requirement for service provision, all these things changes over time. So, the municipality also have to grow it has to also change, it has to also evolve.

So, the organizational health or the way the municipality is covered, all this thing also needs to be updated from time to time and there are a lot of functions in regards to that, that also has to be taken care of. So, that is why it is not only planning of the infrastructure facilities or, maintaining

those kind of infrastructure and facilities is the primary goal, there are so many other aspects that the municipality has to look into.

So, look into the detail works taken up by the municipality these are detailed planning for design of urban infrastructure services, this is the primary work. Delivery of urban services and the delivery should be such that the quality of life of the people whom we are serving that should gradually improve. Then interdependent, inter-department, inter-agency and inter-ULB coordination has to be looked into. So, that means within the municipality, there are some departments there has to be coordination among the departments, we will show you in a case study.

Then inter-agency that is along with the municipality, there may be some other agencies or other like the municipal sanitation, the state sanitation board, which are also working in the same area. So, there has to be coordination. And finally, also there is this inter-ULB coordination that means, if there are 2 ULB's, which are side by side, 2 municipalities, which are side by side in that case, they need to cooperate in many in regards to many infrastructures provision of any service provision.

So, these are the things that also the municipality has to work on. Then in the engagement with formal and informal sectors. So, there are both formal parts of the economy, informal parts, there are formal employment sectors, informal employment. So, all this has to be taken together because urban area includes all. Then, community participation, engagement with private organizations, nongovernmental organizations, civil society organizations, who cares for the urban area, who works for the urban area, who are also engaged in the urban area, so, there has to be coordination with them.

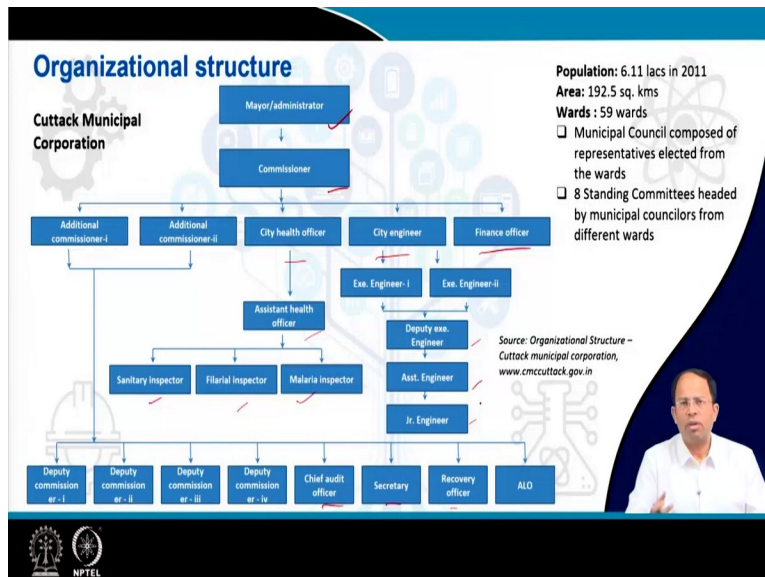
Then monitoring and management of projects and programs. So, once infrastructure is created or certain kinds of programs are implemented based on state government or central government instructions, so, how to carry them over in the urban area, how to monitor them, that is also part of the responsibilities. Then enhance institutional capacity that was gradually improved the way the municipality is capacity to deliver services and of course, efficient Administration and Governance also required some amount of staff to be there in the municipality will look into the administration and the governance part, how to improve that in the municipal area.

So, all these different functions has to be done by different sets of people and to do that efficiently or to do the governance efficiently there has to be a structure that has to be given or there has to be administrative structure that is there in the municipal areas. Now, why this is important, because where do you want to provide goods, services, the entire administrative structure has to be looked into. So, that means, if the structure is bad, the service provision would also be not efficient.

So, when we talk about the different aspects of urban management or the scope of urban management, we can say that the one of the goals of urban management is to improve the economy of that particular urban area. So, economic development is a goal. Environmental and resource management is one goal, urban land conservation or monetizing of urban land, how you can generate income out of urban land that is one goal, infrastructure provision, social service provision, these are other goals and again, these are all interlinked that means, social service provision infrastructure provision is also linked with economic development or the environment and so, on.

Then recreational aspects what sort of recreational facilities I can provide and health aspects how I can improve the health of people in the urban area.

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So, let us take a look in some of the municipal corporations and municipalities how the organization structure looks like how they how the governance takes place. So, we can see that in Cuttack, this 2011 census says, that Cuttack has a population of around 6 lakhs and the area is around 192 square kilometers, the entire city is broken down into 59 wards. And as we have discussed earlier, there are municipal councillors who are elected from each ward and the Municipal Council is actually created based on this municipal councillors and in Cuttack there are 8 standing committees that has been prepared that has been created, which looks into different services.

So, we have said that these are the 2 levels of governance one is the council and then there are the standing committees, standing committees work on specific aspects. Now, coming to the figure, you can see that of course, the head is the mayor, administrator of that particular municipality, and then comes the commissioner who is the executive head you can say, and under the commissioner, there could be multiple additional commissioners, again, this structure is specific to Cuttack, this could vary in other municipalities that we will show.

Then in addition to the... this additional Commissioner, what are their roles, their role is to mostly look into the different kinds of administrative and other kinds of wards, not the ward in the field or in the wards or in the zones, but the administrative work that has to be taken care of with the municipality itself. For example, there is recovery officers, secretaries, audit officers, and then there are other Deputy Commissioner looking into different aspects.

Then in addition to the administrative aspects, there are other kinds of work that has to be done, there is definitely the finance part, which is very, very important. So, we have a finance officer for that, and then there is the city health officer and the city engineer. So, the job of the city health officer is to look into the overall public health of that particular city. And for that, there are several inspectors who actually go and observe or see that if what is the situation in each of these particular zones or wards and accordingly different activities are undertaken.

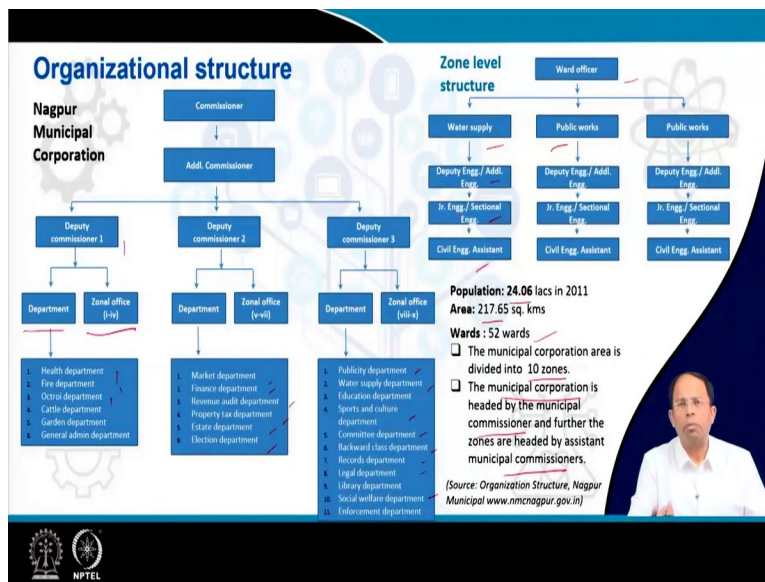
So, you can see that under the city health officer, there could be assistant health officer as well, who looks into different wards and then under them, there could be a sanitary inspector, filarial inspector this filaria, malaria these are different diseases for that there are also different inspectors to see the situation in regards to that. So, what are the programs that could be

implemented to reduce mosquitoes and so on. So, these are the works taken up by this kind of the city health officer.

Now under the city engineer, there could be different city executive engineers and they do different kinds of activities. And each Executive Engineer one Executive Engineer could be in charge of the sanitary sewage system, one of us could be in charge of the solid waste management system and so on. So under Executive Engineer, there are deputy executive engineers, Assistant engineers, and junior engineers, who look into the different engineering and maintenance or of the infrastructure of the services that are there in urban areas.

So this is the structure for Cuttack Municipal Corporation.

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But if I take you to Nagpur Municipal Corporation, that structure is a little bit different. So, as you can see on the Nagpur the size of the city is 24 lakhs, the area is more or less same around 217 square kilometers, there are 52 wards in this particular city and the overall this 52 wards are again different divided into 10 zones. Now, why this is done? This is to ensure that this 10 zones, this is sort of a decentralized governance. So that is why we are dividing the city to 10 zones. And the Municipal Corporation is headed by the municipal commissioner and further the zones are headed by assisted municipal commissioners. So, that means that we have the municipal

commissioner and he under that the work has been decentralized. There are 10 zones and each of these zones are headed by one assistant commissioner.

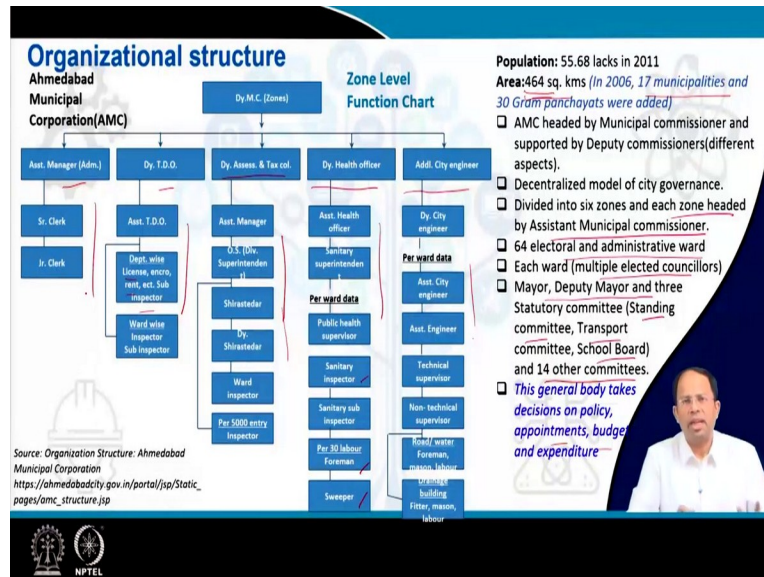
So, under different this Commissioner, there is again Deputy Commissioners who are engaged and each Deputy Commissioner looks into different types of services or different wards that has to be taken up. For example, within the Deputy Commissioner, there is the department and then there is the zonal office. So, zonal office is actually the office which is there in each zone, which is looks into the administrative work or the actual work that is taken up in the zones. And the department is the main office in the main Municipal Corporation. And you can see that under Deputy Commissioner one health department, fire department, Octroi department and now octroi is not there, cattle department, garden department, this sort of departments are under his charge.

Under Deputy Commissioner 2 there is market department, finance department, revenue audit department, property tax department, estate Department, election department and so on. And the final department and the Deputy Commissioners 3 he has got many departments such as publicity, water supply, education, sports, committee, backward class department, records department, legal and so on, social welfare and so on.

So, that is how this municipality has divided that administrative or different services that are being provided both administrative services, non-administrative services, line services, these are all taken up by different Deputy Commissioners who works under the commissioner and the additional commissioner and this is also taken up at the zone level. So, it is the there are some work is done at the city level some work is done at the zone level. So, at the zone level, there is a ward officer and under the ward officer, we can have 3 kinds of work water supply works, public works and then there are different kinds of public works within under water supply, there is Deputy engineer, Junior engineer, Civil engineer, Assistant civil engineer all these posts are also there, which help in actual day to day operation of water supply or maintenance of water supply systems in that particular zone.

So, this is how the whole service provision or municipal service provision is being administered in case of Nagpur Municipal Corporation.

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Then, coming to Ahmedabad municipal corporation, we can see that Ahmedabad has even a larger population, Ahmedabad in 2011 had around 56 lakh people, the area is also large for 464 square kilometers. And in addition to that, this area as you can understand, gradually the area has grown and in the year 2006, 17 adjacent municipalities and 30 gram panchayats were actually taken up and consolidated and actually all of them became part of the Ahmedabad municipal corporation. So, this is where you can see that the size of the municipal corporation is also very very large.

So this is headed AMC is headed by the municipal commissioner and he is also supported by the Deputy Commissioner for different aspects and particularly each zone is headed by a deputy mayor also like we have got different we have the entire again this decentralized model of city governance is followed and the entire city is divided. The Municipal Corporation is divided into 6 zones and each zone is headed by an assistant municipal commissioner. Now this is the assistant municipal commissioner similarly there is a administrative side also that is the mayor and the deputy mayor accordingly there also divided amongst the different zones. So 64 electoral and administrative wards are there in this particular corporation and each ward there are multiple elected councillors depending on the size of the wards and all. Mayor, deputy mayor and 3 statutory committees standing committee, transport committee and school board. These are the

three major statutory committees which are there. In addition, there are 14 non statutory committees which look into different aspects like health, sanitation, and so on.

So this forms the general body, the legislative body, which takes decision on policy appointments, budget and expenditure for the corporation. So on the left side, you can see that at the zone level, I have not given the broader level, this is the zone level administrative chart, how the zone level administration is carried on and you can see that there is an assistant manager, then there is the Taluka development officer who is in charge of tax collection and all this. So, you can see that licenses, then different encroachment, then all these kinds of things are taken up by this particular officer and then an assistant manager administration looks into the administrative aspects and all.

And then there is sorry this Taluka development officers looks into this license encroachment and so on. Whereas, the assessment of the tax collect tax officer is also there, where you can see that all this tax collection work is taken up by him, then there is the deputy health officer and the city engineer. So, health and city engineering these are 2 separate divisions that we have also seen in case of Cuttack. So, under the health, public health, sanitary inspect public health supervisors, sanitary inspector and then and they also required to do some cleaning and all these things, foreman, sweepers, these are also there. So, this is one aspect and the engineer is actually in part of looking into different aspects where infrastructure has to be maintained, regular maintenance, operation of pumps and all these activities are taken care of by the engineering side.

So, that is engineering side, that is the Health Office public health side, which involves solid waste and all those other stuff, then there is a tax collection side, that is the administrative side in terms of licenses and all this and there is the overall administration of the municipality that also has to be taken up.

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Service Planning responsibilities

Solid waste management

Core team:

- Commissioner/CEO:** Plan preparation and implementation
- SWM department Head:** Baseline and Gap Analysis, Coordination with different departments and stakeholders; Alternative options
- Environmental engineer (SWM):** Field level consultations and information
- Town planning department Head:** Viable locations for facilities and land use controls

Heads (water supply, public health or sanitation, and sewerage)

- Accounts department Head:** Revenue and expenditure
- Ward level officers(SWM):** Sanitary inspectors, technical officers, and engineers

Mayor/Chairman and Standing Committee:
Advises on the overall planning and conveys citizen concerns and location specific issues

State/Regional level SWM cell:
Alignment with state policies and programs and opportunities at regional level

The slide also features a small video inset of a man in a white shirt and glasses, and logos for NPTEL and a university at the bottom.

So, now, coming to looking into actual work that is being done, maybe let us take the example of solid waste management in this particular urban area, in an urban area, we can say that in a municipal corporation, if I want to undertake solid waste management, who would be the people who would be responsible for that or what would be the hierarchy of people who would be engaged in this particular ward. So, there is in the main team, of course, there is the commissioner or the CEO. So, they help in plan preparation and implementation, they are in overall charge of this process, then the solid waste management department head, so, each municipality will have a solid waste management department. So, the head of that has to actually take a bigger role.

So, baseline and gap analysis has to be done that what is the current situation now in terms of solid waste management, and what is the gap then coordination with different departments and stakeholders, alternative options, what could be there, which could be also implemented for this particular, for the solid waste management, then along with the solid waste departments, as you can see that there are other departments also which work with the Solid Waste Department.

So, the next other departments are environmental engineer. So, actually, what is the impact of this kind of service provision, what is the impact of a particular alternative and what is the field level information in regards to solid waste, how it is actually being done that comes from the environmental engineer.

So, field level consultations and informations are provided by the Environmental Engineer, then the town planning department head also has to be involved. So, which are the viable locations of facilities, what are the land use controls that has to be implemented that is being conveyed by the town planning department, then heads of water supply public health sanitations, sewerage they also have to be brought in why because their input is also important, for example, like sanitation and sewerage networks and solid waste management, these are there are a lot of overlapping issues, people throw garbage in the municipal trades.

So, of course, the municipal sewerage network or the sanitation system has a lot of issues, a lot of concern should be there, which has to be addressed at the solid waste management level. When we do a solid waste management plan if I do not address those concerns, then probably we will end up with people throwing garbage in that municipal trades. So, these are interlinked problems, there are the infrastructure is sometimes shared a lot of certain kinds of activities are taken together done together like Drain Cleaning, after Drain Cleaning the matter that is brought out of the drain, that has to be taken clean by the Street Sweepers. So these are 2 interlinked activities.

So then comes the account department head. So without revenue without expense, we have to determine what would be the expenditure for solid waste management and we have to also understand what sort of money we can generate by some collection charges or solid waste collection charges could be also set for a particular area and so on. Then ward level officers like sanitary inspectors, technical officers, engineers, who actually do the work in ward, they also need to be brought in, in the decision making process, we have to take their feedback. So, this is the code team, which will determine how the solid waste management plan has to be created for an urban area.

So, the main, so, this is the code team and then now, the role of the legislative body that is the mayor, the chairman or the Standing Committee, they also have a lot of things to say. So, they advices on the overall planning on what should be the direction of the plan. And they also convey citizen concerns and location specific issues for this particular area to the to the technical team or the code team. And they are the voice of the citizen. So, they have to also convey their concerns to the actual solid waste management planning team.

Similarly, along with that, the state or regional level software management cell also has to be consulted. So, we have the Urban Planning Department at the state level. So they have a software management cell. So the kind of programs they want to run, what are their objectives, those has to also be considered, so alignment with state policies and programs and there should be the opportunities at the regional level that has to be explored. Also in this while we prepare this kind of plans.

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Service Planning responsibilities

District magistrate/collector: Land allocation, Regional level strategies

State Pollution Control Board: Compliance with SWM Rules and other statutory provisions

Parastatal agencies: Urban service provision and other planning issues

Advisory Role:
Academicians and practicing professionals
Environmental engineer or planner (in case not engaged with ULB)

Stakeholder groups and Stakeholder committee:
Households, Businesses, Industries, Informal sector, Local government, NGOs, Community-based organisations (CBOs), Self-help groups (SHGs), Women's groups, School and college students.

Stakeholder consultations:

- Stakeholder demands
- Stakeholder attitude regarding new approaches (*source segregation, reuse & recycling, treatment and disposal options, smart systems*)
- Willingness/ability of stakeholders to cooperate
- Willingness to engage with formal and informal waste workers
- Willingness to pay for the services (*mode, frequency*)

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Finally, the district magistrate and collector is involved because he can allocate land, certain levels of government land are in the hands of the district magistrate, he is the one who can allocate, then regional level strategies could be also decided by the district magistrate and all. Then the state pollution control board, they will check for compliance with different solid waste management rules, like if the location of the landfill site is appropriate or not and other statutory provisions also needs to be checked.

Finally, parastatal agencies like the different service providers, like the ministry, the jal boards or the sanitation boards, how they also have to be integrated, their role also has to be considered and their role, they have to be also give their opinion or how they will be integrated with the solid waste management plan for this urban area has to be also considered. Finally, academicians, professionals practicing professionals in that urban area or environmental

engineers or planners who are not part of the ULB Of course, they can also be brought in from outside as advisors during the plan preparation process.

So, that means these are technical people or these are people who really knows the actual problems, they can take us in new directions, they can give us new directions of development. So, these are the experts which whom we can call also we can take their opinion while we prepare the plans. And finally, come the stakeholder groups and the stakeholder committees. Now, as we have discussed earlier without consulting stakeholders, if we prepare a plan, then probably there is high chance the plan will fail.

So, stakeholders are the households of certain areas, maybe the businesses in those areas, industries, informal sector, local government, nongovernmental organizations, community based organizations, self help groups, urban groups, school and college students, these are all the different stakeholders who may have a say in the solid waste management plan preparation for an urban area.

So, these stakeholders when we do stakeholder consultations, we have to consider different aspects for example, what are their demands, what they want, what are the specific demands or specific groups from particular areas, like one community organization can state certain demands, which may be different from another organization. So, we have to bring them all together in the same table and we have to understand what are their demands.

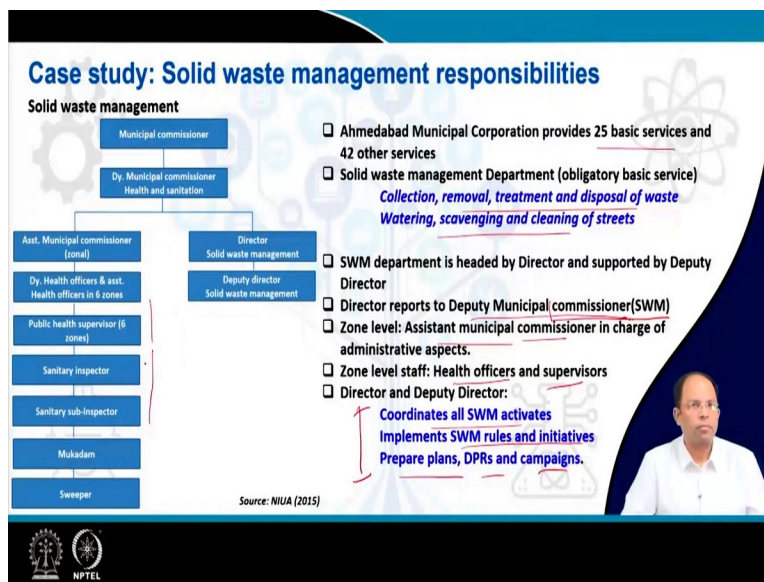
Then stakeholder attitudes regarding new approaches, so, maybe the experts, the engineers will say that, we have to do this, but those may be new for the people. So, for example, if they propose that from now onwards, there has to be segregation of solid waste management at the source level. So, people may not be willing to do that, but to make them do that or to say that this should be part of the, their overall solid waste management plan preparation, because if I have source segregation, then only I can do some sorts of recycling some sorts of treatment like composting and all if it cannot be done, if there is no source segregation. So, this has to be decided. So we have to take this in front of the stakeholders and they can give their opinion.

So reuse and recycle regard in in terms of source segregation, how to reuse and recycle and what order of reuse and recycling treatment and disposal option different technologies integration of

different smart system this we can put in front of the stakeholders and ask their opinion about these things.

Then we have to understand the willingness or the ability of stakeholders to cooperate, that means, can we engage the stakeholders in this process, what is their willingness to be engaged in this, so, or to cooperate in this particular plan preparation process or the actual implementation process that has to be determined. Willingness to engage with formal and informal waste workers. So, this is in case of solid waste this is a big deal, that is there is a lot of informal waste worker, whom we have to engage and we have to see that if they are willing to engage with the ULB and willingness to pay for the services like are people willing to pay for more better services and so, on or better frequency of services or what type of services all this.

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So, in case of Ahmedabad municipal cooperation, around 25, basic services and 42 other services are being provided. So, one of the services of good solid waste management and this is of course, one of the basic services and it includes collection, removal, treatment and disposal of waste, watering of streets, scavenging and cleaning of streets and so on. So, these are the different activities taken up by the corporation and the solid waste management department is headed by a director and he is supported sub by a deputy director and the director reports to the deputy municipal corporation.

So, Commissioner, so, Deputy municipal commissioner looks into the solid waste... the one who looks into the solid waste management aspect, he has to report to that. Then at the zone level, Assistant municipal commissioner is in charge of the administrative aspects as we have discussed earlier the Municipal Corporation divided into different zones and this decentralization is done so that the administration is more effective. So there is a municipal commission assistant municipal commissioner at the zone level. And at the zone level, there are health officers and supervisors who actually see what the what is being carried out and all.

And that director and deputy director is also there for solid waste management. Their job is to coordinate all the different software management activities, implement the software management rules and the new initiatives and also to prepare plans DPRs and campaigns for that particular area. So once that director, Deputy Director, they are the technical people, they will do their plans, they will do their programs, what has to be done and all then they are implemented at the zone level and the administration at the zone level and also some implementation is done by the by the sanitary inspector, the sanitary, the public health supervisors and so on.

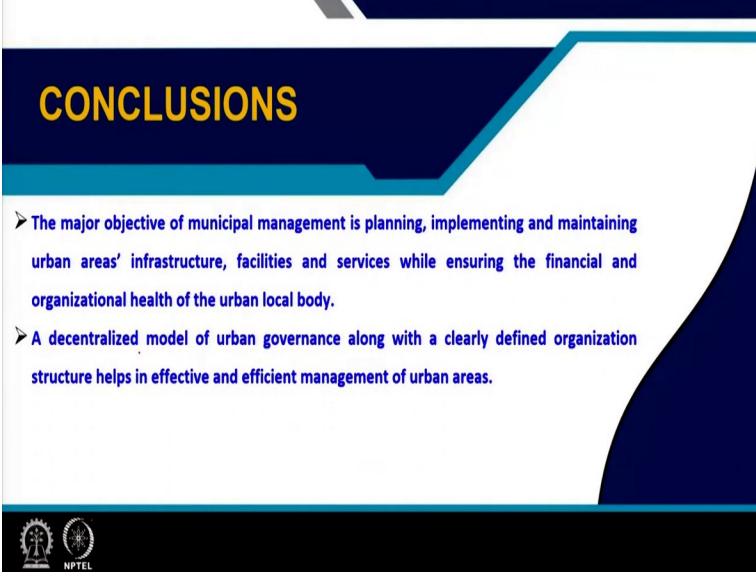
So, that is how the overall structure of administration for services is there in urban areas and overall in solid waste management, we are also seeing how this is being undertaken in Ahmedabad municipal corporation.

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So, these are some of the references.

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CONCLUSIONS

- The major objective of municipal management is planning, implementing and maintaining urban areas' infrastructure, facilities and services while ensuring the financial and organizational health of the urban local body.
- A decentralized model of urban governance along with a clearly defined organization structure helps in effective and efficient management of urban areas.

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To conclude, the major objective of municipal management is planning implementation and maintaining urban areas infrastructure facilities and services while ensuring the financial and organizational health of the urban body. So, a decentralized model of urban governance along with a clearly defined organizational structure helps in effective and efficient management of urban areas. So we have to define this organizational structure for urban areas, and then we have to provide services in urban areas. Thank you.