

Urban Governance and Development Management (UGDM)
Prof. Uttam Kumar Roy
Department of Architecture and Planning
Indian Institute of Technology - Roorkee

Lecture – 02
Introduction to Urban Governance

Welcome to the second lecture of this course Urban Governance and Development Management. In the first lecture, we briefed the overview of the course, how we are going to take the course from lecture 1 to lecture 60 and the basic distribution of the courses in terms of the various modules and the sections and then we discussed the fundamental concepts of the urbanisation and overview of the urbanisation of India, we have seen that.

Indian urban system is one of the very big system in world. Currently one-third of the population living in urban areas and within a very small amount of land. So therefore, we need a better system to govern the urban area. That is why the course is designed and delivered to you. So today, we will discuss some concepts related to urban governance so that we can go further slowly one by one in the more detailed concepts.

So the first lecture and the second lecture is basically introductory in nature so that we get some terminologies, some basic concepts as a common knowledge and then we can develop on our sections.

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Contents Of The Presentation

Concept and Definition
Core values of Urban Governance
Urban Governance index and indicators
Urban Governance in India



So in this lecture, basically we are going to discuss firstly few concepts and definition of the urban governance. Second is the core values of the urban governance, what are the core values. Third, we will see that how urban governance is performed and what are the major indicators and index related to urban governance which is developed by some other organization. And urban governance in India, how it has started.

Even though we will continue this discussion about the India in the next lecture but today, we will just start the discussion. Now the term urban governance, we have heard from many sources, may be your text book, may be your practice and may be you are working in the urban governance or maybe you are teaching in similar subjects where you are dealing this term. Now what do you think about the term urban governance?

Now I tell you my experience. I have talked with many people. Those who are working in the urban governance or the urban sector, even those who are not working in the urban sector but at least they are acquainted with the urban services. Now I did not get any concrete definition or concrete idea from anybody. But everybody has their own perception about the urban governance.

Some people, they explain that urban governance is a better service from the municipal governance. So people, they say that it is the smartness and the mobility of the people, how

people move from one section or one zone to another zone. Some people, they think about the urban governance that the urban governance is a government which will deliver equitable distribution of the resources.

So those kind of different perception is there. But the most relevant and the very near example what I got about the urban governance is like our mother, okay. Now please imagine that when a new baby is born, what is the mother's role, even before the birth of a baby and after the birth of the baby? If you think about that how a mother nurtures a baby from immediately after the birth till a certain point when the baby can take care of his body and the physic itself.

And therefore, for that duration, the mother takes care of each and everything of that baby. So therefore, the care starts from even before the birth. So the mother takes every care, prepare herself for the birth of the baby.

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What is urban governance?

- ✓ Preparedness
- ✓ Selflessness
- ✓ Nurturing — Physical, Mental/Social, etc

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So first point what I feel that the urban governance is that the preparedness. So this particular phenomenon makes an organization whether they are prepared to take care of the people of that area, land of that area, environment of the area to nurture the future population or not. Whether they are prepared to take the responsibility of that area, responsibility of the people or not. It is same, exactly same like a mother, how a mother takes care and she becomes prepared before the baby comes. Now second is that how a mother nurtures a baby is that, it is the selflessness.

Now the selflessness is basically a mother always keeps the baby's priority at the front, at the first. So similarly in an urban governance, the priority or the requirement of the people should be kept at the first. So that is the another very important dimension of the selflessness what I have seen. Third is the nurturing. Nurturing in terms of their physical need, mental or social need and various other needs, one by one.

And after some time, when the children becomes grown up and adult, then they start taking care of their own life. Similarly, so preparedness, selflessness and nurturing, these are very important basic qualities of the urban governance. So it is not only the government, it is beyond government. Earlier there was a time people used to equate the governance with the government.

Basically the meaning of the governance is beyond government and which basically exchange all these qualities of a mother figure to the people or to the land or to the environment of a particular geographical area. So I just wanted to sensitize you about the meaning or about the significance of the term governance. But definitely, I will take you to the indicators or the value system which is worked out by the other people, other scholars or other organization so that you get a concrete idea.

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Definition of governance

Definition → *International organization*

“the exercise of **political** power to manage a nation’s affairs” - World Bank

exercise of political authority and exercise of control in society

“the exercise of political, economic and administrative authority in the management of a country’s affairs at all levels” - UNDP

to the management of its resources for social and economic development - OECD

“the management of all such processes that, in any society, define the environment which permits and enables individuals to raise their **capability** levels, on one hand, and provide opportunities to realize their potential and enlarge the set of available choices, on the other.” - Tenth Five Year Plan 2002-07

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So having said that, let me take you that in this definition, so there are various definitions,

sometimes definitions are given by the international organization or some academics or scholars or professionals. But it is important to make your understanding about the urban governance after studying all the definitions and the benchmarks and the indicator. So let us have a look what are the definitions involved.

Now one definition is given by the world bank as this is the exercise of political power to manage a nation's affair. Second you can have a look; this is given by UNDP. the political, economic, administrative authority in the management of country's affair at all levels starting from the central to the local level. Then it is the use of political authority and the exercise of the central in a society.

It is given by the OECD. Now here they are also mentioning the resources component in this definition and then we have another definition. It is by the Government of India, 10th five-year plan. It is written that management of all such processes, please look this term, the management of all such processes that in society define the environment. So here the society and the environment, this term is important and so environment is important, so that they can raise their capability level, level in one hand and provide opportunities to realize their potential and enlarge the set of available choices.

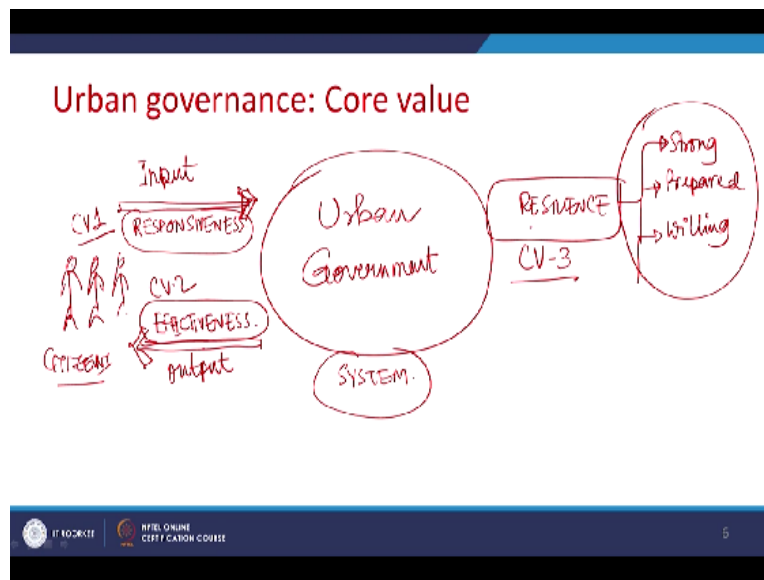
Now if you see all the definitions, you will get some amount of similarities of the examples which I started in the discussion with the mother, how a mother nurtures or cares a baby. So that is the basic essential, that here they have mentioned society, they have mentioned resources, they have mentioned capability, to enhance the capability. They have mentioned environment, they have mentioned the ability to select between the choices, how they create and develop a particular national or particular settlement or particular group of people.

Then after having this formal definitions given by the various organizations at the professional level, at the administrative level, at the researcher or scholars level, let us see that how, is there any core values of the urban governance? What do you think? And what is the meaning of the core value? When we talk about our own life, all of us, we have some core values. Some of us, we value that honesty, integrity, or punctuality or similar kind of values we maintain for our

personal life.

But what could be a core value of an organization. We suppose to deliver a good governance for the people. Now there are also lot of literatures in this but what I have seen and I would like to share with you that if we consider the urban, the organization which is supposed to provide the urban governance like a mother. So if I consider that as a system as I am showing you in this figure.

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Now in this system if I consider this as a system, and one side there are people. So this system always receives some input from the people and definitely, they are supposed to provide some output. Now the core value of this exchanges between the government and the people or the citizens, basically if we discuss with a simple terminology like input and output, the core value here in this input is basically responsiveness.

Then how better you are responsive to the need, to the demand, to the requirement, to the responses of the citizens, that is the core value of an organization in respect to the input which is coming from the citizens. Second, in the output, it is the effectiveness. Now this responsiveness and effectiveness, these 2 are very important key words in the urban governance.

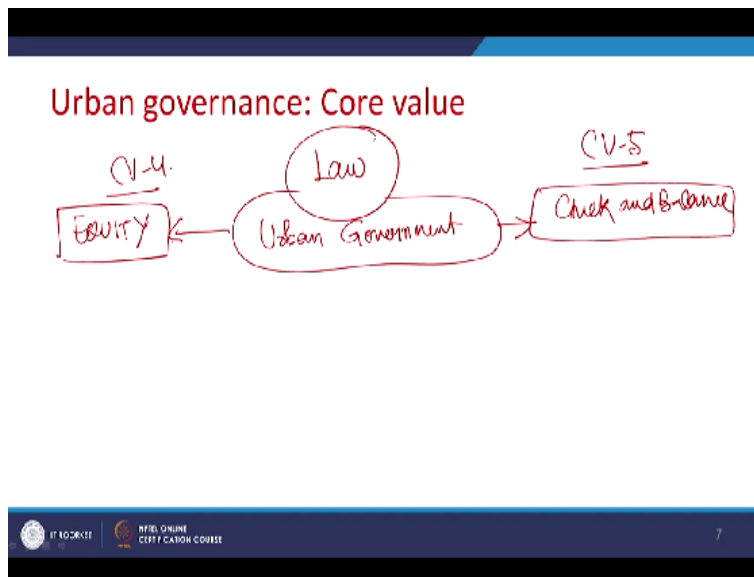
So effectiveness in terms providing the essential service, effectiveness in providing the adequate

care, adequate nurturing like a mother does with the children, with her kid, effectiveness in terms of providing the justice, effectiveness to provide equitable distribution of the resources in response to the input or the demand or the requirement of the citizens. So these 2 are basically input and output related to one organization or we are considering it as a system.

Now this is possible, an organization can be responsive with the input and can be effective in delivering the output if that organization is stronger enough and if that organization is capable enough to deliver those kind of attributes. Now this element is called resilience. So resilience is basically whether an organization is strong enough, prepared enough, willing or not willing. So these are the attributes or some qualities for being resilient or strong or prepared or willing to deliver the effective services for the people.

So where this is the core values, so core value 1, core value 2 and this is the core value which is at the organization level, core value 3, these are the basic core values. Now this is all related to the people. So the responsiveness to people, effectiveness for the people and resilience of the organization. Now these organization when they deal with the people, they deal with the law of the land or law of the people also. Now how they deal the law to execute their services, that is also much more concern.

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Now here another concept of the core value is like when they deal with law because every urban

government, they deal with the law. So here the core value is basically the equity. Whether the dealing of the law of an organization is equitable enough or not. Whether the organization using the law for the equitable justice for each and every section of the society or not, that is the core value 4.

And another very important core value that whether the organization is maintaining a check and balance for the maintaining of the law for the people. So that is the another core value which an organization is supposed to have. So therefore, these core values, now it is very difficult to define each and every body distinctively. If you get some spirit or get some ideas about this terminology about like responsiveness, effectiveness, resilience, equity, check and balance. I hope the purpose is done so that we can go ahead.

So these are the basic core values each and every government should have. It is exactly similar with the mother. Now a mother, if she has several children, she never discriminates between the children. So here, she uses her moral law to distribute the resources equitably to all the children. Similarly, for the urban governance, an urban government is supposed to distribute the resources, take the justice for each and every section of the society.

Now having said that, now there are organizations who have developed certain indicators, certain model for defining urban governance in a better way. For example, united, even habitat, United Nations Habitat, they have developed some kind of indicators and the model, let me show those kind of model also.

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Urban governance: Core value

- UNDP: participation, strategic vision, rule of law, transparency, responsiveness, consensus orientation, equity building, accountability, effectiveness and efficiency
- Council of Europe: twelve principle of Good practice for local governments
- Dutch ministry of Interior and kingdom relations: Seven core quality.



Now as per the UNDP, they are considering the participation, strategic vision, rule of the law, all these terminologies you can see which we started the discussion. These are all related to all those core values. Then Council of Europe, they have 12 principles of good practices of local governance including what we mentioned. Dutch ministry of Interior and Kingdom relations, they have 7 core qualities.

Now these are few examples. There are many such examples. Every country or every organization, they customize or they contextualize the certain indicators of the good governance.

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Un Habitat seven principles of good urban governance

- Sustainability in all dimensions of local development.
- Subsidiarity of authority and resources to the closest appropriate level consistent with efficient and cost-effective delivery of services.
- Equity of access to decision-making processes and the basic necessities of community life.
- Efficiency in the delivery of public services and in promoting local economic development.
- Transparency and Accountability of decision-makers and all stakeholders.
- Civic Engagement and Citizenship with all men and women participating in and contributing to the common good, and
- Security of individual men, women, girls and boys and their living environment.



Now UN Habitat, there are 7 principles of good urban governance. These are starting with the

term like sustainability in all dimensions of the local government. Now when we say sustainability, it is the sustainability of the environment, sustainability of the financial capacity, sustainability of the human resources and everything. Then subsidiarity of authority and resources to the closest appropriate level, that means how they are using the resources at various level, at the urban local bodies level and level below that, that level.

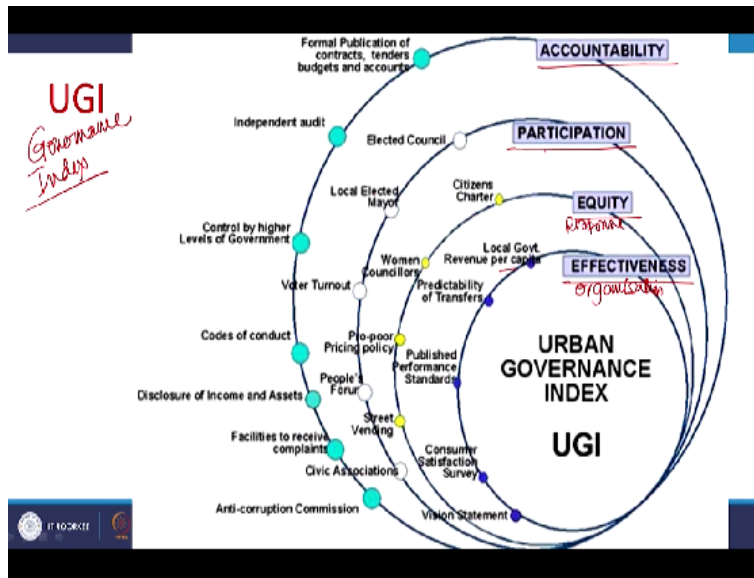
Then equity of the access. Equity I discussed just now. So then efficiency, efficiency and effectiveness, efficiency in delivery of the essential services. Transparency and accountability, okay. Transparency, how the whole process or the work is transparent to the citizens, whether citizens are aware about the conduct of the government, organization or not. Accountability is the ability to deliver service within the committed time within the committed cost.

Those are the very important principle given by the UN Habitat. Then next is the Civic Engagement and Citizenship. Whether the government is adequately engaging the citizens for their policy and decision making or not. These are very important aspect. I tell you that in India also, Indian other, almost all the countries, there was a time when the government organization or the planning organization, they did not involve the people in the planning and the decision making process apart from the general election.

But election happens every 5 years but in between them, that time period, the government, they take time to time lot of decisions for the development. Now the civic engagement and the citizenship has become a mainstream part of the process of the planning and the governance and the governance and the management. Therefore, this is very important part. Next, if the security of an individual men, women, girls, and boys.

A mother provides a secured life for her children. Similarly, government should provide a secured life. The peoples, the citizens should be free to roam around in the city. They should be free to go anytime. Those kind of security measures and secured environment is very essential to bring. Now having said that, now let us see what kind of; now the UN Habitat, they have made an urban governance index.

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So just have a look. The objective of making this index is to make a framework for an urban governance so that the urban government can keep a check and balance on each and every parameter. Now in this index, they have represented these in 4 circles. You can see the first circle is the effectiveness. Second circle is the equity. Third circle is the participation and fourth is the accountability.

And you can see the indicators under every index. For example, local government revenue. Just have a look. I will show the list. So basically in this, the first circle, it is the effectiveness of the organization. Equity towards providing the response to the people. Participation, how they are involving the people and the organization for their day to day activity. And accountability for all level of, their conduct whether they are able to deliver accountable service or not. So if we summarize this in a list, the list will look like that.

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Ranking of indicators (High=100 and above; Moderate= 75 and Low = 50 and less)	Indicators of Participation
	Elected council ✓
	Mayor Selection* ✓
	Voter turnout ✓ (1/2)
	People's forum
	Civic Associations (per 10,000)
Indicators of Effectiveness	Indicators of Accountability
Local government revenue per capita	Formal publication of contracts, tenders, budgets and accounts
Ratio of mandated recurrent & capital budget*	Control by local government:
Ratio of actual recurrent and capital budget	Codes of conduct → <i>Local Govt</i>
Ratio of mandated to actual recurrent budget*	Facility to receive complaints → <i>Formal</i>
Local Government transfers*	Anti-corruption commission → <i>Transparency</i>
Ratio of mandates to actual tax collection	Disclosure of personal income and assets → <i>↑</i>
Predictability of transfers	Regular independent audit
Publishes performance standards	Indicators of Security
Customer satisfaction survey	Crime prevention policy
Vision statement	Crime prevention surveys*
Indicators of Equity	Violence against women
Citizens charter ✓	Police staff per 10,000 people*
Proportion of women councillors ✓	Communities in conflict resolution*
Proportion of women in key positions* ✓	HIV/AIDS policy
Pro-poor pricing policy	
Street Vending	

So just have a look. The indicators of effectiveness are like local government revenues, ratio of mandated recurrent and capital budget. Then actual recurrent and the capital budget. So there are real hard core facts and data required to define these indicators. Now local government transfers, the ratio of actual recurrent budget. Then ratio of mandates to actual tax collection. Predictability of the transfers, published performance standards, satisfaction survey, vision statement.

Now if you see this indicator, this indicator mostly are measurable and these are basically, time to time, it can be measured, it can be evaluated, it can be improved also. And it is very difficult to camouflage or to avoid these kind of indicators. Second is the indicators of the equity, just have a look. So making citizens charter, proportion of women councillor, that means the participation from all the group proportion of women in key position.

Pro-poor pricing policy and the street vending. So these are few of the indicators, they have provided. May be for our country in addition to that we can add like proportion of the people from the oppressed class or the other class. So those kind of indicators could be contextualized or could be customized for our country. Now here the indicators of the participation, that is elected council, Mayor selection, how the mayor is selected whether by vote or by selection.

Voter turnout in some towns percentage. People's forum, how the people's forum are active. Whether they are participating or not. Civic associations, that is community based organization.

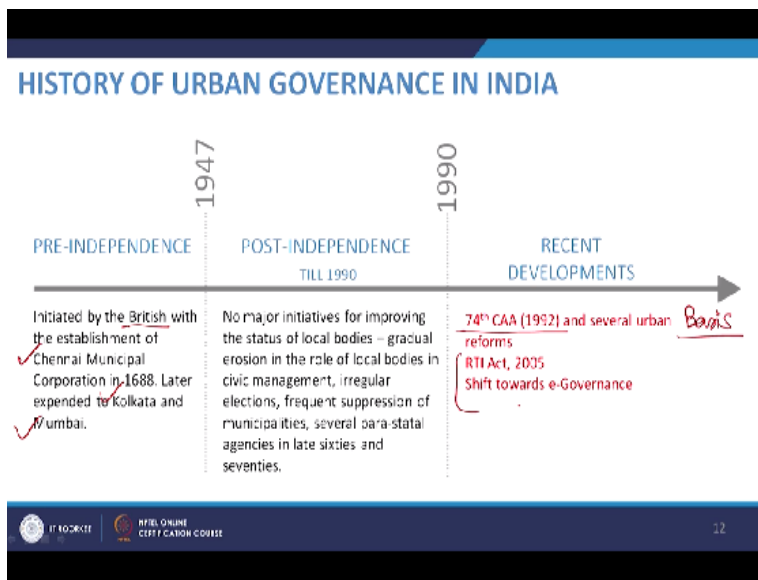
So these are the indicators for the participation. And then indicators of the accountability. The publication of the contracts, tenders, etc., control by the local government, how much extent the control is there by the local government for everyday management of the area.

Codes of conduct, that is the codes of conduct, internal (()) (24:13) for the law and order. Facility to receive the complaints, redressal. Anticorruption commission, so therefore, it is the transparency element. Disclosure of personal income and assets, again transparency. Regular independent audit. So you can see that accountability indicators are also to some extent satisfying the transparency parameter, transparency aspect.

Then indicators related to security. Crime prevention policy, crime prevention surveys, violence against women, police staff, etc., etc. So these are indicators of the security. Now if you see the set of indicators very carefully, you will find that the indicators of the effectiveness, indicators of the equity, indicators of the participation, accountability and security, all are very important. Effectiveness and equity is more about the internal matter of the organization, how an organization is performing.

Indicators of the participation is how the organization is developed. Indicators of accountability, how far the organization, the performance is there in terms of the accountability and transparency. And indicators of security is how the citizens are enjoying the secured environment or not. So these indicators have been given by the UN Habitat. Some of the countries, they are following as it is. Some of the countries, they have definitely contextualized. Now I come to that in Indian situation.

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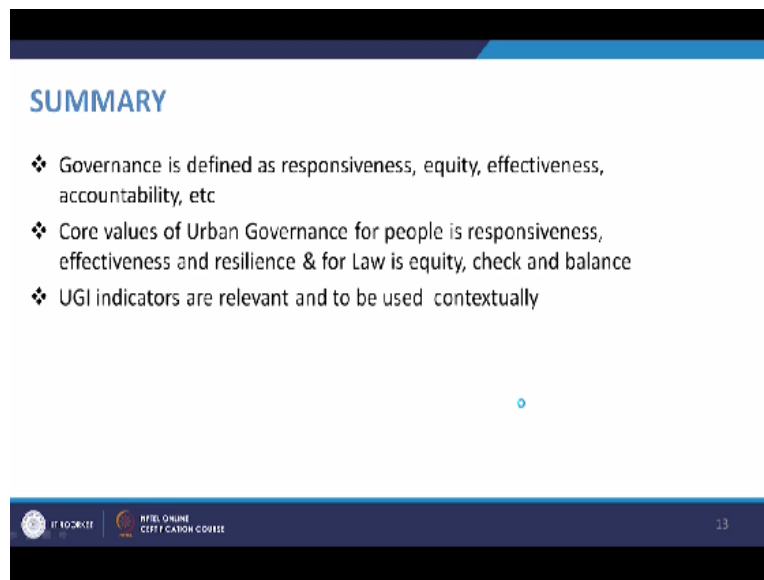
That Indian situation, before the independence, there was not much development in the urban governance except few cities like say Chennai, like Mumbai or Kolkata where the British government, they established the municipal government. But apart from the major cities, the other cities were basically not cared much. After the independence, even though there were some awareness and some preparedness to create the local bodies, but the local bodies were not led by the elected bodies.

There were irregular elections and there were irregular cash flow and the accounting system all those. It continued about 40 years. During 90s government of India, they made definitely a statement that yes, we have to change the way our urban government, they function. Because from the independence, the Indian government, the population of the India was predominantly rural but within 20 to 30 years when they thought that in the 90s about 40% to 50% of the population will be urban within another 10 years, 15 years from now.

So therefore, in 90s government of India, they made a landmark constitutional amendment which is 74th constitutional amendment which came in 1992 which gives the mandate for each and every local government as a elected local government's status so that they will be elected, they will be formed through election and they will be able to make their own rules and regulations. So this 74th constitutional amendment provides the basis for the urban local governance in India.

Then there are few more acts like RTI act and several acts, I am not telling that right now. There will be classes later on. So based on these constitutional amendment act, several municipal state government, they made the state level municipal act to strengthen the functioning and the formation of the local bodies so that they can provide a better governance, good governance to the people. So this is the overview of the urban governance in India.

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SUMMARY

- ❖ Governance is defined as responsiveness, equity, effectiveness, accountability, etc
- ❖ Core values of Urban Governance for people is responsiveness, effectiveness and resilience & for Law is equity, check and balance
- ❖ UGI indicators are relevant and to be used contextually

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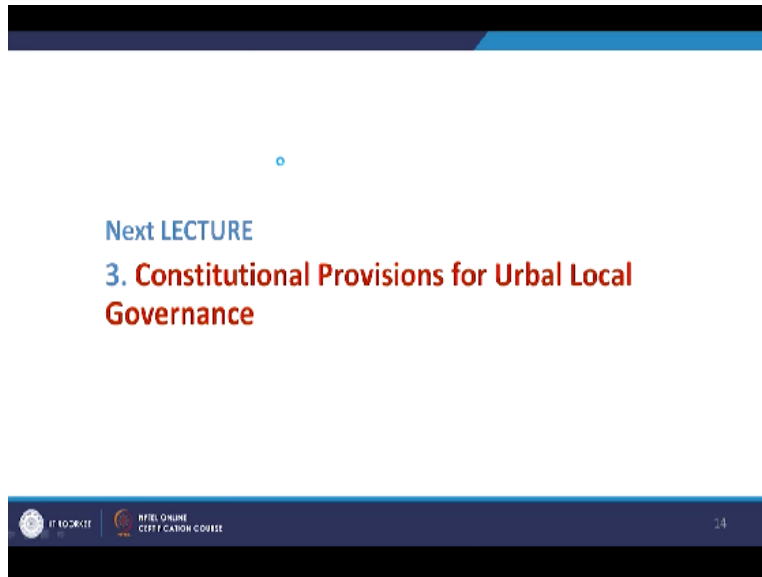
Let us summarize today's lecture. Today's lecture was basically a conceptual discussion on the concept of the urban governance. We told that the perception of the governance is varying. People perceive urban governance differently. I told that urban governance is something or any governance is something which is mostly can be compared with the care and the nurture given by the mother to a newborn baby like preparedness, selflessness, or the care and the nurturing.

Similarly, there are few core values like responsiveness, equity, effectiveness, accountability, etc. These core values are transferred or given, shown as an indicator by the UN Habitat and those indicators are also discussed in this lecture. Please go through these indicators. And these indicators also can be used for our country after suitable contextualization and if the initiative is taken by the appropriate government.

And then we also mentioned that in Indian situation, pre and post-independence situation of the urban governance was not much and in 1990, Government of India, they came up with the

thought and the discussion on improving the urban government and in 1992, they came up with the 74th constitutional amendment. And that amendment gave the mandate and the basis for urban government in India.

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So next lecture, we will discuss the details about how this constitutional provisions of the urban local government that came in 1992 and what is the significance and what is the composition and the mandate of this constitutional provision by which the urban local governments are now able to deliver good services, good government in India. So having said that, I thank you very much for attending the course and attending this lecture as well. Thank you very much.