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## Good Urban Governance in South Asia (GUGSA)



**Program Overview and Compilation of Case Documents**





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# Good Urban Governance in South Asia (GUGSA)

## *Programme Overview*



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# 1 Introduction

The USAID-sponsored Good Urban Governance in South Asia (GUGSA) program has reached its final stage - a regional conference - after documenting and promoting good governance initiatives in the urban contexts of six countries in southern Asia. One of the conclusions that emerged from the GUGSA experience is the need for a regional platform for documenting, disseminating and promoting good urban governance. In this concluding conference of the GUGSA program, this idea will be discussed and such a platform will be conceptualized. This overview summarizes the learning's and outcomes of the GUGSA project and presents the arguments in favor of establishing a regional forum.

## 2 Overview of the GUGSA program

USAID's Regional Urban Development Office for South Asia (RUDO/SA), in collaboration with the region's bilateral USAID Missions, initiated a three-year, three-location (Bangladesh, Nepal, and Sri Lanka) activity in October 2001 to promote good urban governance in South Asia. GUGSA activities document, disseminate and demonstrate best practices from local government bodies, to improve the response capacity of local urban governments within the country. The five principles of good governance that GUGSA focused on are: Transparency, Predictability, Accountability, Rule of Law and Participation.

In the aftermath of the Tsunami in 2004, it was felt that the scope of GUGSA should be modified to include Post-Tsunami works to be able to build on GUGSA's strength of regional networking. The study involved local institutions advocating Good Governance and Disaster Mitigation practices. It was also intended to help create relationships among cities for facilitating the exchange of information that can continue well beyond the tenure of the project. At this stage, the geographical scope was extended to include India, Indonesia, and Thailand.

In each country, the first stage of the GUGSA project consisted of research and documentation of promising practices. This stage started with a topical inventory of urban governance including a country level overview and more detailed research in five selected towns. This was followed by detailed case study documentation of two good urban governance practices from any of the five selected towns. The second stage was planned to include short-term projects to demonstrate the principles of good governance. This underwent some variation in the different GUGSA countries. In Sri Lanka, a participatory planning and project identification exercise was undertaken, followed by implementation of a selected project. In Nepal, a detailed case documentation of a community-managed water supply project was carried out instead. The demonstration project was dropped in the case of Bangladesh.

In the post-Tsunami scenario, the above activities were modified. The first stage consisted of documentation and dissemination of good urban governance practices in post-tsunami recovery work. This included a topical inventory and detailed case studies. In Tamilnadu (India) and Sri Lanka, this was followed by a demonstration project consisting mainly of a participatory, strategic planning exercise for long term recovery. The post-Tsunami segment of GUGSA is culminating with a training workshop on post-disaster recovery, organized along with the regional conference on good urban governance in southern Asia.

It is expected that both the Conference and the Training Workshop would help to create awareness on good urban governance and planning for resilient cities across the Region. It is also expected that the Conference and Workshop would help create relationships between cities to facilitate the exchange of information and cross-learning through the establishment of a formal network between the participating cities. The Administrative Staff College of India would facilitate the establishment of the network.

Most of the material in this overview, directly quotes from the topical inventory reports and case studies, prepared by the various consulting firms as part of the GUGSA project. Since the project was initiated in 2001, some of this material may be somewhat dated.

## 3 Sri Lanka

### 3.1 Urban governance scenario

In Sri Lanka, there are three types of Local Authorities (LAs):

- 17 Municipal Councils (MC) – generally responsible for towns with more than 30,000 residents. MCs are headed by a Mayor and assisted by a Commissioner who is appointed by the Provincial Council. Most MCs have public works, health and accounting departments, with a typical staff size of approximately 150-600 employees.
- 37 Urban Councils (UC) – generally responsible for towns with 10,000-30,000 residents. UCs are headed by an elected Chairman with staff sizes of 30-150 employees.
- 257 Pradeshiya Sabhas (PS) – are divisional/rural councils. PS governments are headed by an elected Chairman with average staff sizes of 30-50 persons.

MCs represent more densely populated areas than UCs, however the main functions of both council types are similar in nature – i.e. health and sanitation activities, solid waste disposal, greening of areas under their control and development of parks. In the typical PS, the focus is on thoroughfares, public health and market places and thus, the focus on services and environment is the same as MC and UC functions. However, due to the lack of finances these functions and services have not been sufficiently undertaken in many Pradeshiya Sabhas.

Though the Government of Sri Lanka established LAs with a mandate to provide services and amenities to their residents, the LA tax revenue base, primarily supported by Central Government transfers, has been inadequate to provide these services and amenities. The Central Government has been making efforts to improve the LAs financial resources. Moreover, internal pressures for increased decentralization have devolved more responsibilities to sub-national level institutions of governance. Examples include the Development Councils established at District Level and the 13th amendment to the Constitution which subordinates LAs to Provincial Councils (PC). In contrast to these decentralization endeavors/ activities, several important functions and services, such as electricity supply and water distribution, which previously contributed to LA revenues, were removed from the LAs domain and entrusted to Central Government agencies.

In response to the inadequate capacities of LAs, several institutional development projects - sponsored by World Bank (WB) and Asian Development Bank (ADB) assistance - have been implemented. The Sri Lanka Institute of Local Governance (SLILG) was also established to provide training facilities for the Local Authority personnel to enhance their capacities. The most recent effort is the TALG program funded by the USAID.

### 3.2 GUGSA activities

The GUGSA project activities were first initiated in Sri Lanka. The local consultants were Environment Management Lanka (EML) and other partners included the Sri Lanka Institute of Local Governance (SLILG) and the community development division of SANASA, a federation of credit societies in Sri Lanka.

#### 3.2.1 Topical Inventory

In the first phase of the project, a topical inventory of good urban governance initiatives was prepared. The study covered three important Urban Local Authorities (ULA) – Negombo, Sri Jayawardenapura Kotte (“Kotte”), and Dehiwala – Mt. Lavinia (“Dehiwala”). The research in Negombo, Kotte, and Dehiwala was conducted in two ways:

- Current practices of ULAs in relation to “Good Governance”, and
- Perspectives of residents and their expectations for effective local governance.

This research was primarily based on structured interviews with residents and MC staff, and supplemented with existing secondary resources. In addition, the consultants, with their extensive association and involvement in local government systems and processes in Sri Lanka, reviewed the background of the ULAs, and their mandate to deliver services within a more democratic framework.

The study spotted opportunities for major improvements in the areas of accountability and participation. It also identified two case studies for detailed documentation – one on a project in the town of Negombo, dealing with drainage and mangrove conservation and the other in Dehiwala Mt. Lavinia dealing with solid waste management.

### **3.2.2 Negombo Case Study**

In the mid 1980s, the Negombo Municipal Council (NMC) of Sri Lanka realized it was facing a number of health and environmental problems within its district, specifically in the Kadolkele area. Kadolkele was a newly established area that was uninhabited up until 1985, when the lands were sold to landless families from the district of Negombo. The area lacked a rainwater drainage system resulting in water logging, mosquito breeding and consequently, diseases. These new populations began using the nearby mangrove forests for resources. Deforestation of the mangroves caused soil erosion and silting in the lagoon area leading to decline in fish breeding.

The NMC, along with the local community and non-governmental organizations, implemented innovative governance practices and designed effective projects in order to address and overcome these issues. A storm water drainage project, a solid waste collection project, and a mangrove restoration project were all successfully implemented in the Kadolkele area - all of which involved the participation of members of the respective communities, in order to solve their own health and environmental problems. The case study highlights some of the effective governance practices observed by the Negombo Municipal Council (NMC) in dealing with complex and intricate urban management issues within the framework of good governance principles.

The storm water drainage project was successful mainly due to the proper identification of the community's needs and the quick response to address these through the active participation of the beneficiary community, which (also) contributed financially to the project. In the case of the mangrove conservation project, the local authority succeeded in creating greater awareness among the community members to protect the natural resources of the lagoon area. They secured new knowledge about operating mangrove nurseries and succeeded in the cultivation of new mangroves on the bank of the lagoon, thus resulting in the overall preservation of the mangroves and lagoon bank. Once again, active participation from the community was key to its implementation.

This service exemplifies good governance practices, particularly community participation, transparency, and accountability. The lessons learned provide a role model for the 21st century for replication in local authorities that are invariably faced with similar challenges in infrastructure and service provisions.

### **3.2.3 Dehiwala mt. Lavinia case study**

The Dehiwala-Mount Lavinia Municipal Council (DMMC) in Sri Lanka, has developed a solid waste management policy that exemplifies Good Urban Governance practices. They are:

- Efficient urban services delivery: privatization of solid waste collection and disposal, and
- Active citizen participation in local government: reduction of solid waste through programs that engage community-based organizations.

The DMMC recognized the need for a new policy due to the inadequate system of collection and disposal of solid waste and the problems confronted by low-income community groups relocated in the municipal area. Under the new policy, new institutional arrangements for planning, implementation, and evaluation have been made by the DMMC. A new standing committee on solid waste management and environment, and a new department under the Deputy Commissioner has been created for this purpose.



Amidst objections from within and outside the Council, the DMMC has privatized collection and disposal of solid waste in four of twenty-nine wards, and intends to expand it to a few other wards. Service delivered in the four wards has improved and complaints from the residents have been minimized.

The solid waste reduction program was initiated by the DMMC on the request of the dwellers (1,200 families) in the relocated site of Badowita. This program was carried out in six stages or blocks. Sevanatha, an NGO partner, organized the people into community development councils (CDCs) with the assistance of foreign funded projects and aid agencies. They have contributed through awareness programs, community mobilizations, demonstrations, and training.

Reduction of solid waste is done through recycling and re-using. A solid waste collection and sorting center (WCSC) has been established. Sorted items are sold to generate revenue for the community. The DMMC plans to extend this solid waste reduction program into two other ward areas. Composting (of organic waste) is due to commence with the provision of a suitable land to establish a centre/ such a facility.

The DMMC has initiated the program using its resources and utilizing contributions from the government, private sector, and civil society organizations. Change was introduced through education and awareness programs. Objections encountered have been overcome through discussions and mobilization programs. Community members expressed interest and dedication to help solve their own problems.

The primary result is that both the DMMC and the community have benefited in various ways. Improved solid waste removal, better health and environmental conditions, revenue generation, and employment are all benefits to the community. The DMMC has been able to successfully establish public-private partnerships and community participation in service delivery programs.

### **3.2.4 Demonstration Project at Deraniyagala**

Later, a demonstration project was initiated in Sri Lanka. The Demonstration Project for Good Urban Governance consisted of two stages of work; the first being a participatory, strategic planning exercise and the second being the formulation and implementation of a solid waste management project. The strategic planning process, was carried out through the convergence/ coalition of two USAID funded projects – the Good Urban Governance in South Asia (GUGSA) Project and the South Asia Regional Conference on Disaster Mitigation and Urban Infrastructure Financing.

In consultation with the Sri Lanka government and other stakeholders, Deraniyagala, a small town falling under the category of Pradeshiya Sabha or Local Authority, was selected. The municipal body was given training on how to carry out strategic planning. Subsequently, a participatory strategic planning workshop was organized with all their stakeholder groups with facilitation and support from GUGSA consultants. At this workshop, the focus areas were identified and the participants carried out SWOT analysis for each of these areas. They formulated a vision for the town and identified broad strategies for each focus area. Later the GUGSA consultants helped the local authority formulate projects. One of these, a solid waste management project, was selected for implementation with GUGSA financial support.

SANASA, a federation of credit Cooperatives with a development agenda, was roped in to implement the solid waste management project in collaboration with the local authority. This initiative also created a precedent for the municipal body actively collaborating with a civil society organization.

During the inception period, a project officer with good facilitative and organizational qualities was recruited and a project office established within the PS. A solid waste management committee was established. Awareness programs were conducted during this stage and commitment built with officers and/or representatives to support the Deraniyagala Solid Waste Management Program with a wide range of target groups such as schools, youth clubs, residents' associations, etc. Representatives of various organizations were invited for the awareness creation and consultative processes. Special programs were conducted to transfer knowledge on methods of composting and reduction at source. Compost bins were distributed by the project for families of selected areas.

Families residing in Deraniyagala were organized in groups of 20, and a leader having special community work and environmental skills was appointed. At the SANASA campus, the leaders were trained on home gardening methods using compost and were also informed about the possibilities of recycling plastics, paper, metal etc. They were then mobilized to educate and train the community. Selected households were provided with compost bins. Source separation of plastics, bottles and metals was encouraged and a potential buyers list was established at the local authority for public use. The local authority is also working on a feasible collection and sales method on behalf of the public.

### **3.2.5 Demonstration Project at Kaluthara**

In the post-tsunami phase of GUGSA work it was decided to build on GUGSA's existing network and experience to carry out some work that would demonstrate the importance of integrating good governance principles in planning for post-disaster recovery. In consultation with USAID-Colombo and local stakeholders, the coastal town of Kaluthara near Colombo was selected.

A structured, participatory, strategic planning exercise was carried out in the Kaluthara Urban Council. Starting with a kick-off meeting, several working groups were formed and various training workshops organized for them. A visioning exercise was carried out and Kaluthara's vision and mission statements were formulated. In the next workshop, issues were identified and prioritized, under the following heads: General Administration and Finance, Health and Sanitation Services, Physical Infrastructure Facilities, Water & Electricity Services, Social Services and the like. Then goals and objectives were set for each area and projects formulated on that basis. Projects were then ranked in order of priority. The GUGSA consultants have assisted the Urban Council in preparing detailed project proposals for 14 projects which will be used to secure financial support from the government and donor agencies.

Specific outcomes of the project are:

- Four-year participatory strategic plan with budget
- Completely developed project proposals
- Trained and committed planning team in the Urban Council

### **3.2.6 Key outcomes and learning's**

The early phase of GUGSA work involving the topical inventory and case studies showed that there are many isolated, but good examples of local leadership and good governance that can be used to highlight and promote the cause of good urban governance.

One of the outcomes of GUGSA Phase 1 work is that the methodology for participatory strategic planning at the municipal level has been tested and the capacity to carry out such activities built in the Municipality. The local consultants, EML, utilized the experience in other urban reform activities, particularly The Local Governance Program (TALG) funded by USAID. The process adopted in Deraniyagala is being used as a case study in training courses for local planning under this program. The Deraniyagala experience has now been documented as a holistic case study in promoting good urban governance.

The Kaluthara demonstration project takes the Deraniyagala experience one step further and shows that a sophisticated planning process can help in strengthening an urban local body significantly to set its own course and pursue it systematically. It also shows how a learning process can be actively promoted across a country by a properly structured and funded program run by an institution like the Sri Lanka Institute for Local Government. Such institutions can be more effective in their task of capacity-building if they are networked with similar institutions across the region.

## 4 Nepal

### 4.1 Urban governance scenario

Nepal's urbanization level is second-lowest in the South Asia region after Bhutan. However, the urban scenario in Nepal is undergoing dramatic change as a result of the rapid growth in urban population, which is increasing at an annual rate of 3.6 % (national average is 2.27%). This rate is enough to double the present total urban population of 3.2 million (2001) living in 58 municipalities within the next 10 years. The actual present urban population remains underestimated, as many urban settlements have not yet been included. By the year 2035 the urban population is expected to reach 50% of the total national population.

As a result of this rapid urbanization process there has also been a dramatic increase in the number of the designated urban areas - the municipalities have grown from 33 in 1981 to 58 at present, which would soon be reaching 100 in near future. This means that in the coming years, the municipalities would increasingly be facing critical issues of: deficiencies in urban infrastructure and services, deterioration of urban environmental conditions, housing shortages, increasing urban poverty, the challenges of creating more employment opportunities etc.

Presently, despite the fact that the municipalities have a legal mandate in the form of the Local Self-Governance Act 1999, they are resorting to crisis management to cope with those problems. Weak organization, poor capacity for resource management, lack of skilled manpower etc are their major weaknesses. Although the Act defines their functional and financial responsibilities, there is a general need for improvement of municipal capabilities in the following areas: organizational strengthening; mobilization and utilization of financial resources; ability to plan and prioritize investments; enhancement of planning and implementation capabilities for infrastructure development and service delivery; capacity to work in partnerships with the private sector and civil society; ability to mobilize the media for dissemination of information; and, setting performance standards for the various services rendered by the municipality. Effective adoption of the principles of good urban governance by the municipal governments in Nepal is the key to finding the solutions to the above problems.

### 4.2 GUGSA activities

After Sri Lanka, GUGSA work was initiated in Nepal. The local consultants were Team Nepal and other partners included the Municipal Association of Nepal (MUAN).

#### 4.2.1 Topical Inventory

The first step involved development of a List of Stakeholders. This was done in two stages. Key institutions or resource agencies involved in municipal management and development were identified as the primary stakeholders, and their detailed information was obtained on the basis of a structured questionnaire. The second step involved a general review of Nepal's local government system. This was done on the basis of the review of the published Acts and available documents.

The third step was a wide evaluation ending in a 'long list' of Municipalities that have a good track record in urban governance. 15 municipalities were short-listed taking into account city size classification, different ecological regions, socio-cultural differences and various developmental regions.

In the fourth step, 5 municipalities were selected after gathering primary and secondary information on them and the specific projects that feature good urban governance principles. A customized questionnaire or format was designed as a tool for consultations with the key stakeholders and resource agencies. Consultation meetings and group discussions were held and the data was analyzed based on aggregate scoring by each municipality as per the selected criteria. The 5 municipalities chosen were Butwal, Dharan, Dhulikhel, Bharatpur and Pokhara.

In step 5, in-depth research was carried out on the five Municipalities. This involved background study of the municipalities, followed by the design and development of study tools i.e. a topical inventory

matrix, the municipal staff and resident survey questionnaires; field investigations focused on meetings/interactions, and structured interviews with the municipal staff and the residents for primary and secondary data collection. In each municipality, different aspects of service delivery were evaluated from the point of view of both the municipal staff and citizens, keeping in mind the principles of good urban governance. Based on this evaluation, specific initiatives with the potential of being categorized as a 'best practice' were identified. This exercise also yielded an overview of the governance situation in the municipality. At the end of the Topical Inventory stage, the specific projects/ initiatives short listed were compared and two were selected for detailed documentation - the Shree Complex Vegetable & Fruit Market of Pokhara SMC and the Bamghat Tole/Lane Organisation of Butwal Municipality of Nepal.

#### **4.2.2 Shree Complex Vegetable & Fruit Market, Pokhara**

The Pokhara Sub-Metropolitan City (SMC), as a rapidly growing urban centre of the Western Development Region, is the third largest city in Nepal. This SMC had been witnessing a significant rise in the demand of urban consumers for grocery, vegetables, fruits and meat products in the recent years. Pokhara SMC, however, despite satisfactory development of basic urban infrastructure facilities (like road network, drainage and water supply etc,) did not have any well-organized retail market centers for fruits, vegetables and meat products. Absence of a proper retail market place meant that consumers were not getting quality goods at competitive prices. The farmers also were unable to get reasonable prices for their agro-products, as there was no fixed market place where they could negotiate with the smaller retailers, or could directly sell to the consumers. The Pokhara SMC realized that an organized and well-planned agro-products retail market space at a proper location near the city center was an urgent need.

The Pokhara SMC did not have any land of its own in the city center to develop such a market complex in order to meet this urgent need. A private entrepreneur, who held land in the area of contention, approached the Municipality with a business plan and the Pokhara SMC readily agreed to the idea. The entrepreneur built the facility and registered it under the Companies Act. Organized spaces were created. Despite initial apprehension about the organized market activity and moving to a new place, many vendors moved in. This was made possible with the unrelenting efforts of both the entrepreneur as well as the Pokhara SMC which had agreed to not allow ad-hoc vending in the surroundings of the developed facility.

This project demonstrated the principles of good urban governance in the following ways:

- The municipality fulfilled its accountability to the citizens, traders and farmers in an equitable manner.
- The municipality ensured predictable behavior on its part with respect to the terms of the partnership, thus also ensuring that the model is replicable across the city.
- They maintained transparency in all the arrangements such as rent, etc.
- The entire decision-making process involved the participation of all key stakeholders.
- They also ensured that there is no illegal vending in the vicinity.

#### **4.2.3 Butwal Municipality – Bamghat Tole/Lane Organisation (Tlo)**

Butwal Municipality (BM) has been undertaking programs related to urban economic development and poverty alleviation within the RUPP framework since a number of years. Sub-ward neighborhood level local organizations in the form of Tole/Lane organizations (TLOs) within the Municipality are the backbone of the RUPP program implementation strategy. The overall state of affairs in the Bamghat Area was grim before the establishment of the Bamghat TLO. Deficiencies in basic urban services like drinking water, poor conditions of the road and surface drains, poor state of sanitation, and energy supply, were adversely affecting the lives of the inhabitants of the area.

The project was aimed at improving the urban living conditions, as well as, improving livelihoods of poor and disadvantaged people, utilizing the benefits of rural-urban linkage potentials through: (1)

Development of physical infrastructure, (2) Development of community-based economic enterprises for generation of employment opportunities for the urban poor, with a particular focus on women entrepreneurs and (3) Provision of training, technology and funding support to the TLO members for undertaking the various social, economic and physical infrastructure programs at the community level. To be able to achieve the above, the process was initiated through formulation of the "Tole" (Community) Development Plan (TDP). Various kinds of Enterprise Development Plans (EDP) were developed for income generating activities and employment opportunities having impact on individuals. These activities were complimented with the provision of Seed Grants, which help implement the TDPs through investments in socio-economic infrastructure at the community level, and also with matching contributions from other sources - community, Municipality Wards, RUPP, etc.

The manner of implementation of the entire process demonstrated the principles of good urban governance. Financial accountability was ensured at all stages. The consistency in the project framework across the city ensured predictability. The community's strong involvement in all stages of decision-making not only engendered participation, but also ensured transparency. The TLO was assisted to make their own constitution and rules, and these rules were adhered to.

#### **4.2.4 Dhulikhel Water Supply Project – A Process Document**

Later, a detailed documentation of a community-managed water supply project in Dhulikhel was taken up instead of a pilot demonstration project. Water has for long been a contentious issue in Nepal. Various capital improvement projects were undertaken during the past few decades to improve water accessibility. However, most of them remained just capital improvement projects and did not go beyond technical design and construction. Dhulikhel is perhaps one of the earliest examples of people-oriented service design, construction, operation and delivery in lifeline infrastructure. The water supply system in Dhulikhel, since long, has been owned, operated and managed by the people of Dhulikhel. This was made possible at a time when the overall environment was not very conducive.

Originally a village settlement, Dhulikhel was not converted to a Municipality until 1987. It had for long faced water accessibility problems and the community, especially women, coped with tremendous hardships in fetching water. While the Dhulikhel community negotiated solving its water supply issues in consultation with GTZ (a German Donor Organization), GTZ asked the community and local authority to also contribute for water supply infrastructure. Dhulikhel being a Village Panchayat could not garner funds from the central authorities. Through a community initiative, the status of Dhulikhel was upgraded to a Municipality.

The idea to initiate a community-owned water supply scheme in Dhulikhel was drawn from the then successful Bhaktapur development Project being implemented by the erstwhile Ministry of Panchayat and Local Development with the financial and technical assistance from an external agency – GTZ. A strong case was made requesting technical and financial assistance from the German Government for implementing a water supply system to meet the long term needs of Dhulikhel. Active community participation, especially including the women, was assured, leading to GTZ agreeing to assist. Several studies were undertaken and finally the beneficiaries set up an ad-hoc committee on the initiative of the then Dhulikhel Nagar Panchayat. Post its constitution, the Municipality (then Nagar Panchayat) was involved actively in the inception and subsequent stages, assisting and working closely with the District Water Supply Organization to successfully commission the water supply project in 1991. The project was formally handed over to the Dhulikhel Water Users Committee for subsequent management. This was designed as a 24x7 water supply system with gravity flow.

The management of the Dhulikhel Water Supply Project (DWSP), with the Dhulikhel Water Users Committee (DWUC) at its core has successfully demonstrated the principles of good urban governance. The Municipality and the DWUC have maintained accountability to the users as well as to the city at large in delivering services. From the formation of the Dhulikhel Municipality, through the implementation of the project and its operation, there has been intense citizen involvement, also ensuring transparency. There have however been issues about extending the water supply to new areas that need to be served.

### **4.3 Key outcomes and learning's**

The entire GUGSA experience in Nepal has shown that even in a small nation like Nepal with serious developmental problems and relatively unstable political environment, there are many examples of active citizen participation leading to excellent examples of good urban governance. The examples that were revealed in the initial scoping studies were far too numerous to document under this project, but many more than what GUGSA has documented need to be shown to the world.

Another important learning is that many examples from Nepal could probably be candidates for replication not only across Nepal, but even in other Asian countries. However, in the absence of a regional network, these examples don't see light of day. Local institutions like the Municipal Association of Nepal as well as professionals in the country have considerable talent and commitment. They also need international platforms to share experiences and learn. A regional platform would make this affordable.

## **5 Bangladesh**

### **5.1 Urban governance scenario**

Bangladesh is a rapidly urbanizing country, where urban population has grown from 8.21% to nearly 25% between 1974 and 2003. UN estimates suggest that in 1999 more than 30 million people lived in urban areas; and by 2030 its urban population is likely to cross the 80 million mark. The population of Bangladesh was around 135 million in 2003, of which 33.75 million were living in urban areas. With a population of around 12.5 million in 2001, Dhaka alone contains nearly 40% of the total urban population of the country showing a very high degree of primacy in an era of urban decentralization. Further, Dhaka is likely to become the fourth largest urban agglomeration in the world with a population of 21.1 million by 2010.

As a result of the urbanization process there has also been a dramatic increase in the number of designated urban areas - municipalities increased from 77 in 1981 to 123 in 1991, 223 in 2001 and 275 in 2003, and would soon be reaching 300 in the near future. With a rapidly growing population, the municipalities will be confronted with critical developmental issues in the coming years. The Paurashavas (municipalities) are guided by the Paurashava Ordinance 1977 which lays out their powers and responsibilities. There is now a need to improve their performance by promoting good urban governance.

### **5.2 GUGSA activities**

After Nepal, GUGSA work was initiated in Bangladesh. The local consultants were DEVCONsultants (DEVCON) and other partners included the Municipal Association of Bangladesh (MAB).

#### **5.2.1 Topical Inventory**

As in the case of Nepal, the first step involved development of a List of Stakeholders. The second step involved a general review of Bangladesh's local government system. The third step was a wide evaluation ending in a 'long list' of Municipalities that have a good track record in urban governance. 15 municipalities were short-listed on the basis of Population Size, Population Growth Rate, Per Capita Total Revenue, Per Capita Capital Expenditure and Program Coverage. Representation of towns in terms of size classification, geographical and ecological regions was also factored in.

The fourth step involved choosing 5 municipalities for detailed research. This was done on the basis of their performance in terms of good governance. Consultations with stakeholders in the urban sector, as well as secondary data from various urban sector programs were the basis of this short listing. The selected municipalities were Faridpur, Habigonj, Kushtia, Tongi and Rangamati.

Like Nepal, in Bangladesh also, the fifth step was to carry out in-depth research on the five Municipalities. The methodology adopted in Nepal was replicated in Bangladesh with some customization for the local context. In each municipality, different aspects of service delivery were

evaluated from the point of view of both the municipal staff and citizens, keeping in mind the principles of good urban governance. Based on this evaluation, specific initiatives that could be categorized as a 'best practice' were identified. It emerged that most of the examples of good urban governance were essentially in externally-funded development programs, that too mostly in the area of community-based poverty alleviation and infrastructure development programs. It also emerged that while there are good examples of governance, there is much to be achieved. At the end of the Topical Inventory stage, the specific projects/ initiatives short listed for documentation were compared and two were selected for detailed documentation. These were the "Local Partnership for Urban Poverty Alleviation (LPUPA) Project, Kushtia Municipality" and "Supporting Households Activities for Hygiene, Assets and Revenue (SHAHAR) Project, Tongi Municipality".

### **5.2.2 Local Partnership For Urban Poverty Alleviation (Lpupa) Project, Kushtia Municipality**

The LPUPA Project began in 1998. Kushtia Municipality started implementation jointly with UNDP from July 1999, with an aim of empowering the urban poor and poverty alleviation. The Project involves a holistic "bottoms-up" approach to poverty eradication through urban community organizations, capacity-building of local communities, establishing and strengthening linkages between the poor communities and the private sectors, with local government and non-government service-providers and policy-makers.

At the municipality level, a project coordination committee was formed comprising of individuals and representatives from the Municipality, as well as a wide range of stakeholder organizations. The Project has adopted a large variety of participatory tools for social mobilization. A total of 33 Community Development Committees (CDCs) have been formed. They represent 4,106 households and a total of 19,355 people from low-income settlements.

Char Kuthipara, located in Ward No. 3 of Kushtia Municipality, is a densely populated area and had significant deficiencies in infrastructure and social development characteristics. During the last 4 years of the project, water and sanitation facilities significantly improved in the area. The CDC took measures for increasing coverage and use of sanitary latrines, drainage, tube-wells and waste bins for promoting behavior changes and a safer environment. They have increased access to the existing government and non-government services related to essential health. The Project provides information regarding existing health services, particularly for the women and children to increase community awareness regarding available services, apart from fulfilling their basic rights.

The LPUPA Project of Kushtia Municipality has been performing as a replicable role model. It achieved predetermined objectives of creating a sustainable process of supporting people's efforts to overcome poverty and for mainstreaming policies of urban governance. It has created a substantial effect on the municipal service delivery system, basic infrastructure improvements and on the overall socio-economic condition of urban communities.

### **5.2.3 Supporting Households Activities for Hygiene, Assets And Revenue (Shahar) Project, Tongi Municipality**

The SHAHAR Project started at the end of 1999. This is one of the 4 projects under the Integrated Food Security Program (IFSP) of CARE Bangladesh supported by USAID. The project works through five paradigms - community mobilization, institutional strengthening, income generation, health-hygiene and nutrition and minor urban infrastructure - all of which are delivered through partnerships with local NGOs and the Paurashava (Municipal authority).

The community covered in the case study is located in Block-4 of the largest low-income settlement widely known as Ershad Nagar under Tongi Municipality. This settlement has 1,130 households with a total of 5,475 people. Before the SHAHAR Project, community members of this low-income settlement did not have enough mutual support to undertake joint actions against common social, economical and other livelihood problems. The community lacked confidence and leadership. Ershad Nagar dwellers had to struggle to increase their incomes in order to survive. With more than 50% of the community being illiterate, members lacked basic knowledge about health, hygiene, sanitation, and income or

survival skills. They had no access to information about the local service providers or economic opportunities by which they could benefit. Employment opportunity was also limited.

Initiatives undertaken under the SHAHAR Project have brought significant changes to the community in terms of lives and livelihoods. Community members in the low-income settlement have achieved their intermediary goal of sustainable socio-economic development. Unemployment rates have come down and there has been significant improvement in infrastructure and municipal services.

#### **5.2.4 Practices of Good Governance Principles in Both Municipalities**

**Accountability:** Both the CBOs practice participatory planning and the implementation of project activities at the community level. They select their leaders through democratic ways. The project structure and reporting mechanism facilitates stakeholders to report to each other for their respective planned support.

**Transparency:** The community-based organizations and the projects in both municipalities maintain full transparency in all their operational aspects. Allocated project funds and procedures are disclosed to the public through signboards in front of the CBO offices.

**Participation:** The CBOs are making maximum effort in order to ensure local participation, particularly of the women and the poor, beginning with community mobilization, group formation, project planning and implementation levels.

**Rule of Law:** In Kushtia, CDC leaders handle complaints and grievances by assisting the Ward Commissioners and Municipality Chairman to enforce laws. However in Tongi, the CRMC itself handles the complaints and grievances.

### **5.3 Key outcomes and learning's**

Though it was initially intended to build a relation with the Municipal Association of Bangladesh, the prevailing political environment and a seeming lack of interest at local level prompted the GUGSA program to drop the idea of a demonstration project. From the GUGSA involvement in Bangladesh, it is clear that there is space for a local institution to network the urban local bodies effectively and to give them access to learning opportunities locally and internationally. Most of the good governance practices identified in the early stages of the project were initiatives funded and technically supported through external agencies. The process of decentralization of governance still has a long way to go and requires continued support.

## **6 Indonesia (Aceh)**

GUGSA involvement in Indonesia was conceived in the aftermath of the Tsunami of December 2004. The concept was to document examples of good governance in the post-tsunami recovery process.

### **6.1 Urban governance scenario**

Indonesia has taken significant steps in strengthening democracy since regional autonomy was first introduced in January 2001. The Government comprises of the Central Government and Local Governments (Provinces, Regencies and Cities). Administratively, Indonesia is divided into Provinces (Provinsi) that are headed by Governors (Gubernur). Each province has its own legislative body, called Dewan Perwakilan Rakyat Daerah (Regional People's Representatives Assembly). At present, Indonesia has 33 provinces. Seven new provinces were created since the year 2000. Four of the 33 provinces have special status, as follows:

- Nangroe Aceh Darussalam (in the past, Daerah Istimewa Aceh or Aceh Special Region): has greater status (its own Islamic law, flag, song, and local political parties).
- Yogyakarta Special Region: The governor is by default, the Sultan of Yogyakarta.



- Papua (formerly, Irian Jaya): has a greater role of local government (own flag and song of province)
- Jakarta Special Capital Region: capital city of Indonesia, and place of all national government bodies.

Each Province consists of Regencies (Kabupaten) and Cities (Kota). The Regency has the same status as a City and has a similar structure of local government. The difference between a Regency and City is in differing demographics, size and economics. Generally the Regency covers a larger area than a City, and the City has non-agricultural economic activities. Each Regency or City has its own local government (Pemerintah Kabupaten/ Kota) and legislative body (Dewan Perwakilan Rakyat Daerah Kabupaten/ Kota). The Regency is headed by a "Regent" (Bupati) and the city is headed by a "Mayor" (Walikota). Both Regencies and Cities are subdivided into Sub-districts (Kecamatan). Head of a Sub-district is called Camat, a civil servant who is responsible to the Regent or the Mayor. A Sub-district is divided into administrative villages (Desa or Kelurahan). A Desa can be defined as a body which has authority over the local people in accordance with acknowledged local traditions in the area. A Desa enjoys greater local powers than a Kelurahan does. Kelurahan is part of a Regency or City government bureaucracy. The Governor, Regent or Mayor and representative members are elected by popular vote for 5-year terms.

Even though the decentralization process was well underway when the Tsunami hit, the capacity of local governments was woefully inadequate to handle the aftermath of the disaster. In Aceh Province, a political negotiation process was also in progress. All of this had implications for the reconstruction process. A tenuous balance has been established in Aceh between Central and Local Government responsibilities and powers in the management of the reconstruction process.

## 6.2 GUGSA activities

### 6.2.1 Inventory of Good Governance Practices in Post-Disaster Recovery

A List of Stakeholders was developed prior to the inventory of good governance practices. The stakeholders include the Badan Rehabilitasi dan Rekonstruksi (BRR), Aceh-Nias, the Provincial Government, Local Governments in Nangroe Aceh Darussalam Province, and NGOs working in Aceh. The need for identification of best practices was advertised in the local newspaper "Serambi Indonesia", and posted in several mailing lists concerned with local governance. Letters were sent and telephone calls made to the local governments and other organizations. Visits and discussions were initially conducted in Banda Aceh. After candidates for good governance practices had been identified, site visits were conducted to the particular Districts or Cities where these were implemented. Snap-shot documentation was done for fourteen good governance practices:

- URDI – Village Planning
- YIPD – Koperasi Khasanatul Ikhlas (Cooperative Organization)
- Rotary Club – Providing Fishing Boats
- AIPRD – Integrated Services
- MIN Rukoh – Participative and Transparent Planning
- Aceh Partnership Foundation – School-based Disaster Mitigation
- YIPD – Village Planning
- Pemkot Banda Aceh – One Stop Service for Banda Aceh City
- WWF – Timber for Aceh
- PDAM - Commitment for Clean Water Pilot Project
- LGSP – Qanun for Financial Management

- Bappeda Banda Aceh – Management System
- BRR – Improving the Community's Economic Status
- GERAk – Corruption Eradication

### 6.2.2 Case Study - Puskorinfo

Parallel to snapshot documentation of good urban governance practices in the larger region of Aceh, GUGSA also commissioned a detailed case study of an initiative supported by the USAID through the Local Government Support Program. This consisted of two mutually complementary activities – (1) USAID-LGSP Initiatives and Response for Alue Penyareng II Barrack (Barrack Alpen II) and (2) Center for Coordination and Information (PUSKORINFO - Pusat Koordinasi dan Informasi). Both these programs were initiated in response to an evident need for facilitating the process of identifying Internally Displaced Persons (IDPs) and housing them in rehabilitation sites.

On October 1, 2005, the multiple stakeholders of Aceh Barat, in a planning workshop, decided to improve services to the IDPs through (1) establishment of a Center for Relocation Services, and (2) Services to improve local economic development, particularly the community's access to working capital. These activities were to be demand driven. A temporary relocation site, Barrack Alpen II was chosen out of 42 such 'barracks' in Aceh Barat. It is located at Desa Ujong Tanah Darat, a Sub-district of Meureubo. Technical assistance and facilitation was provided to help move them to permanent housing. The steps in this process involved (1) Data Verification, (2) People's Agreement, (3) Establishing a Committee for Relocation, (4) Land Identification (by the Community), (5) Land and Subsurface Soil Investigation, (6) Negotiation, (7) Site Planning and (8) Land Administration. The process is currently ongoing, but key milestones of securing land and approvals are over. The construction of houses and infrastructure is now underway.

The entire process is being carried out in such a manner as to demonstrate all the principles of good governance. The process is hugely participatory. Checks and balances are built in to ensure transparency and accountability. The process is now being replicated with other barracks that need assistance.

During the process of helping Barrack Alpen II and from other experiences in the region, it was realized that such initiatives cannot succeed without support in terms of information and facilitation. The concept of PUSKORINFO was formulated in this context. Supported by LGSP, it is a wide partnership of government and non-government agencies. Its major contribution is in compiling a database of IDPs in a participatory and transparent manner. PUSKORINFO also provides an effective two-way interface for information exchange between citizens/ beneficiaries and government or donor agencies. Policies, programs, projects, rules and regulations, etc are communicated to citizens and information about the needy is communicated to the respective agencies.

PUSKORINFO is an initiative that is growing in credibility because of its contribution to improving governance in the post-disaster recovery process. It has now been co-opted into the mainstream rehabilitation and reconstruction process.

## 6.3 Key outcomes and learning's

The post-disaster situation is typically a chaotic one with multiple agencies operating on different, often conflicting agendas. These situations are also characterized by a curious paradox of lack of information and a surfeit of information. In such situations, it is extremely important to have effective interfaces and facilitating processes to ensure that genuine needs are met and that funds are effectively utilized. The PUSKORINFO experience and other cases that have been documented have potential application in a variety of geographical situations around the developing world. The converse is also true – that the PUKORINFO initiative could have benefited from learning about similar examples in post-earthquake Gujarat or post-Tsunami Tamilnadu. Once again, this points to the need for a regional platform for sharing and learning about governance.

## 7 Thailand

### 7.1 Urban governance scenario

The government structure in Thailand is unique given its oscillation from semi-democracy to democracy with 18 military coup d'état since the re-establishment of Constitutional Monarchy in 1932. The economy has gained momentum since the 1980s despite political instability that changed leadership at short intervals. However, the democratization in Thailand was slowly and steadily progressing. The promulgation of the Constitution in 1997 is the highest point of democratization in the history of Thailand.

There are three levels of administration in Thailand; namely, central, provincial and local administration. Central administration consists of the Prime Minister's office, ministries, departments, agencies and other public organizations that have the same status as departments. The Provincial administration consists of provincial and districts offices of various central ministries, departments, and public agencies. There are 75 Provinces excluding Bangkok Metropolitan Administration (BMA) and Pathaya City Administration (PCA), and 795 districts and 81 minor districts within the Provinces.

The Local administration consists of 1129 Municipalities known as Thesaban and 6,745 Tambon (sub-district) Administrative Organizations (TAOs) according to data from the Ministry of Interior in 1999. Tambon is the smallest geographical unit with autonomy under the decentralization legislation. The Thesabans are the urban organizations within the local administration structure of Thailand.

### 7.2 GUGSA activities

Thailand was included in the post-tsunami program of GUGSA. It was decided to document an inspiring example of post-tsunami recovery in collaboration with the Asian Disaster Preparedness Center, Bangkok. After initial scoping, the ADPC team selected Patong Municipality as their case study.

#### 7.2.1 Case Study of Patong Municipality

This case study presents the experience of one municipality in Thailand, which had transformed from a village to a city in the last decade of 20th century, and subsequently was totally devastated by the tsunami in December of 2004. This study illustrates how it got back on its feet in less than two years, converting its tragedy into an opportunity. The underlying theme of this success story is the Good Urban Governance of Patong Municipality.

Patong Municipality in Phuket Province of Southern Thailand is a popular tourist destination attracting more visitors than its own population. The tsunami that hit the coast claiming the lives of many foreign tourists and local residents, also destroyed the progressive development that had emerged towards the last decade of the 20th century. The Municipality actively engaged in rescue and relief operations and then focused their attention on restoring normalcy in services. However, it did not stop there. It went on to draw up plans for reviving the economy and also to undertake measures for preparedness in a future disaster event, including a sophisticated early warning system. The most important thing is that they have now started development projects that integrate disaster mitigation measures such as natural buffers on the coast. The municipality has also engaged in significant capacity-building measures for its own staff. The entire post-tsunami recovery initiative of the Patong Municipality is a replicable model for post-disaster recovery.

### 7.3 Key outcomes and learning's

The Patong case is a world class example of a well thought-out, structured intervention at the local level with local leadership. In a region that is increasingly witnessing natural and man-made disasters, it is important that less developed countries have access to learning from these experiences. Needless to say, the case for a regional forum is strengthened.

## 8 India (Tamilnadu)

### 8.1 Urban governance scenario

**Coastal belt of Tamil Nadu:** The State of Tamil Nadu has a coastal belt of 1,016 kms stretching all along its eastern edge and another belt of 60 kms along its western periphery. The entire length of the coastal belts of Tamil Nadu constitutes around 12% of the total length of coastal belts of India, and it is spread across 13 districts of the State.

**Local Governance in Tamil Nadu:** The present system of local governance in Tamil Nadu follows the 73 and 74 Amendments to the Constitution of India. Subsequently, the Government of Tamil Nadu enacted the Tamil Nadu Panchayats Act 1994, replacing the earlier Act, and also amended the relevant provisions of various Acts relating to urban local bodies.

The prevailing local governance bodies in Tamil Nadu are categorized into 'rural local bodies' and 'urban local bodies'. Panchayat Unions and Panchayats come under the 'rural local bodies' category. Urban local bodies include Municipal Corporations, Municipalities, and Town Panchayats (earlier designated as Special Village Panchayats).

### 8.2 GUGSA activities

In the post-tsunami phase of GUGSA it was decided to undertake two initiatives in Tamilnadu – a documentation of cases of good governance in post-tsunami recovery in settlements along the coast, and a demonstration project in one of the affected settlements. M/s CCI were appointed as the consultants for the case study documentation and the demonstration project was carried out by urban planners B. R. Balachandran and Sowmya Haran.

#### 8.2.1 Case Study of Nagapattinam and Kanyakumari Districts

For the development of the Case Study, tools employed include discussions and the questionnaires that were used in individual and group interviews and household surveys. The respondents' perception about adherence to principles of good governance practices were inferred from the replies given by them during household survey and discussions. A comparative study of Nagapattinam and Kanyakumari districts was carried out from the point of view of good governance in post-disaster response.

In Nagapattinam, one of the important initiatives was the establishment of the Nagapattinam NGOs Coordination and Resource Center (NCRC). Designed as an interface between citizens, government and NGOs, this center played an important role in ensuring participation, transparency and accountability in the post-tsunami situation.

In the Kanyakumari district, the highlight was the constructive role played by a NGO, Kottar Social Service Society (KSSS). The KSSS mobilized the affected fishing communities and ensured that the beneficiaries were well informed and received timely assistance of various kinds. They played a key role in channeling funds and other forms of assistance to the community. Their contribution to empowering people, complementing the administration and promoting good governance has been documented in this case study.

#### 8.2.2 Strategic Plan for Colachel – Demonstration Project

Discussions were held with the Tamilnadu government regarding the GUGSA activities. Originally GUGSA was to support demonstration projects in Nagapattinam and Cuddalore. However, the government suggested that instead another town, Colachel (in Kanyakumari District) be taken up as Nagapattinam and Cuddalore had already received a lot of assistance from other sources. With a population of about 23,000 and covering 5.5 sq. kms. Colachel, is divided into 24 wards of which 11 are on the coast. In the tsunami, over 400 persons died and many houses were destroyed.

In the first stage of work, rapid assessments were carried out to assess the nature of post-tsunami recovery issues in the town and establish the Municipality's current status in terms of municipal service

delivery and its internal management processes. At this stage preliminary stakeholder consultations were carried out to establish the key concerns of the Municipality, citizens and stakeholder groups. A kick-off meeting was organized, with key stakeholders of the city including both members of the Municipality and key officials of other relevant government agencies, to identify the areas of concern (Mission Areas) and to identify stakeholder groups to participate in the exercise. A communications campaign consisting of focus group discussions, youth debates, competitions in schools etc were carried out. Detailed assessments were conducted on urban growth management, municipal service delivery and management capacity of the municipality.

This was followed by city visioning, strategic and action planning exercises using tools such as SWOT analysis in a participatory workshop at the city level. This led to the formation of broad strategies and action plans. The thinking process was supported by analytical outputs from a questionnaire survey of households and businesses in Colachel. Subsequently, the consultants assisted the municipality in translating the vision and strategies into discrete projects for implementation. These projects have been cast into an investment plan for the town. A study tour was also organized for the chairman, municipal staff and select stakeholders to look at examples of decentralized waste water treatment and solid waste management, which were high priorities for the municipality.

The tangible outcomes of the project include an investment plan with wide public support and a solid waste management project which is already into implementation. The more important outcome is greater awareness among both citizens and the city's leadership about the value of systematic planned investments in building a resilient city.

### **8.3 Key outcomes and learning's**

The cases documented in Tamil Nadu show how much these communities could have benefited from an experience sharing with Indonesian, Sri Lankan and Thai counterparts. This is one of the reasons that GUGSA decided to bring these people together at a workshop. Very often, particularly in the chaotic aftermath of a disaster, communities end up making mistakes already made by other communities in similar situations across the world. The only way to prevent this is to ensure learning opportunities across boundaries.

## **9 A regional forum for promoting good urban governance in southern Asia**

The entire GUGSA project experience has revealed the need for a regional platform for sharing good urban governance experiences and to actively promote initiatives for the same.

### **Key elements of such a forum – points for discussion**

- Host country – preferably one which already has significant experience in establishing and promoting good urban governance practices
- Host city – well connected to the world and considered a leader in urban development initiatives
- Host institution – preferably one which has urban affairs as one of its core competences and also has the experience of hosting international conferences, workshops as well as creating learning opportunities in various formats for individuals and networks
- Progressive agenda/ charter for promoting good urban governance
- Wide membership/ buy-in from across the Asian region
- Substantial funding to kick-start the process
- Sustainable financial model
- Strong professional leadership

## 10 Conclusion

The Good Urban Governance in South Asia project of the USAID set out on an ambitious mission with very limited funding. It has creatively leveraged the skills and commitment of institutional partners in partner countries to bring together useful experiences from across the region. Within the limitation of resources available, GUGSA has also attempted to carry out a proper documentation of the examples identified. In three locations, GUGSA has also worked hands-on in small towns to undertake participatory planning exercises that demonstrate the principles of good urban governance. In the process, those who have been involved in the project have developed warm relationships which have gone beyond the confines of this specific project.

The GUGSA family now hopes that the concept of a regional platform will be realized soon and scale up GUGSA's modest effort into something that lasts long and benefits the entire region, contributing to economic development, peace and stability in the region.



# Good Urban Governance in South Asia (GUGSA)

DOCUMENTATION OF CASE STUDY  
SRILANKA

***Negombo Municipal Council – Storm  
Water Drainage, Solid Waste  
Management, Mangrove Restoration***

Prepared by  
EML Consultants



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**Case Study on the  
Negombo Municipal Council  
of Sri Lanka**

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**U.S. Agency for International Development**

Regional Urban Development Office  
for South Asia

**Good Urban Governance in South Asia**  
**Contract No. 386-C-00-01-00260-00**

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# **නීගමුව මහනගර සභාව** **நீர்கொழும்பு மாநகர சபை** **NEGOMBO MUNICIPAL COUNCIL**

**එ. එ. නිව්ටන් හෙන්රි ජුනාන්දු**  
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**A. A. Newton Henry Fernando**  
 Mayor

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 Your No. }

දිනය } 08<sup>th</sup> October 2002  
 Date }

I am very happy to note that the US Agency for International Development (USAID) has selected Negombo Municipal Council for documenting the good practices in the area of urban governance. Our council has been making concerted efforts for the past several years to improve the urban services in the city and there by improve the quality of life of our citizen.



The Communities Group International of USA (TCGI) and Environment and Management Lanka (Private) Limited of Sri Lanka (EML) have very well documented some of our efforts in this respect which I hope will go a long way in disseminating our efforts in good governance to other municipal councils.

  
 .....  
 A.A. Newton Henry Fernando

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## Case Study on the Negombo Municipal Council

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### ABBREVIATIONS

CDS	-	Community Development Society
CDO	-	Community Development Officer
CSO	-	Civil Society Organisations
DO	-	Development Officer
GN	-	Grama Niladhari / Village Level Central Government Representative
ICMA	-	International City / County Management Association
LAs	-	Local Authorities
NHDA	-	National Housing Development Authority
NMC	-	Negombo Municipal Council
NUPO	-	Negombo United Peoples Organisation (Divisional level NGO)
SJO	-	Shantha Jude Organisation / NGO
SPM	-	Sahayogitha Praja Mandalaya – (Community Organisation “Sahayogitha”)
USIP	-	Urban Settlement Improvement Project

### EXECUTIVE SUMMARY

In the mid 1980s, the Negombo Municipal Council of Sri Lanka realized it was facing a number of health and environmental problems within its district, specifically in the Kadolkele area. Kadolkele was a newly established area that was uninhabited up until 1985, when the lands were sold to landless families from the district of Negombo. The area lacked a rainwater drainage system and as a result, standing water in the area had become a source of mosquito breeding and thus, a contributing factor to disease. As well, these new populations began using the nearby mangrove forests for resources and as a result, deforestation of the mangroves had caused soil erosion into the lagoon and the decline of fish breeding in the lagoon.

The NMC, along with the local community and non-governmental organizations, implemented innovative governance practices and designed effective projects in order to address and overcome these issues. A storm water drainage project, a solid waste collection project, and a mangrove restoration project were all successfully implemented in the KadolKele area, all of which involved the participation of the member of the respective communities in order to solve their own health and environmental problems.

Any measure of evaluation of the effectiveness of the operation of the local democratic process would necessarily involve the assessment of the prevailing degree of:

- Community participation
- Efficiency and the effectiveness in the use of resources in service provision
- Transparency observed in public financial transactions
- Accountability offered to all stake holders in the urban management process
- Visionary leadership role displayed by local democratic leaders

The objective of this case study is to highlight some of the effective governance practices observed by the Negombo Municipal Council (NMC) in dealing with complex and intricate urban management issues within the *framework of good governance principles*.

In the past, it was the normal practice of local authorities to provide infrastructure and services out of self-generated financial resources, central government transfers and through grants from other agencies. Prevailing inflationary pressures operate to devalue monetary resources available to any local authority, while the same factors increase the costs of providing infrastructure and services. With a static revenue base and the rapidly rising costs of services, local authorities are compelled to look for innovative measures to increase the revenue or share the cost of services with communities in order to devolve their statutory duties, responsibilities and functions.

The lessons learned by the NMC in harnessing available community potential in the provision of a complex and intricate infrastructure service backed high quality service maintenance. This service exemplifies good governance practices, particularly community participation, transparency, and accountability. The lessons learned provide a role model for the 21<sup>st</sup> century for replication in local authorities that are invariably faced with similar challenges in infrastructure and service provisions.

## Case Study on the Negombo Municipal Council

### INTRODUCTION

Local authorities in Sri Lanka are now in a transitional period. In the past it was common for LAs to provide all infrastructure facilities and other services necessary for the comfort and convenience of the tax-payers by using self-generated resources and revenue grants (transfers) provided by the central government. With the rapid increase in population and expansion of LA authority services, LAs are not in a position to find sufficient resources to improve their infrastructure and continue with the same level of services as done before. Simultaneously, the central government and provincial councils also face financial constraints to continue to support the LAs. This situation has compelled the LAs to look beyond their traditional system of management and look for new strategies and innovations to find the necessary financial and human resources to improve and maintain infrastructure and provide better services to their communities.

The NMC is also experiencing similar problems. The NMC was established in 1950 and is now the largest municipal council in the District of Gampaha. It is located on the West Coast of Sri Lanka, approximately 30 km from Colombo City. The total area of NMC area is 30.89 sq km with a population of 171,004 residents, of which nearly 80% depend on the fishing industry for a living. Negombo is known as a famous tourist destination on the West Coast of the country and it is the duty of the NMC to maintain the city accordingly as a tourist attraction. *A map of the Negombo Municipal area is found in Appendix 1.*

At present in the NMC, there are 22 Municipal Council members including the Mayor, who functions as the chief executive. The council has an approved cadre of staff of 657, however at present, there are only 533 employees in service. The Municipal Commissioner is the head of the appointed staff. *The organisational chart of the NMC is found in Appendix 2.*

The anticipated income of the NMC for 2002, according to its approved budget, is Rs.122,134,900, or about US\$ 1,306,954. This figure includes revenue grants from the government. Anticipated expenditures for 2002 total Rs. 122,053,760, or about US \$ 1,306,086. The budget indicates an anticipated surplus of Rs. 81,140, or about US \$ 868 for the year.

*A summary of the total expenditures for the NMC, according to the 2002 budget, is below:*

<b>Recurrent expenditures</b>	<b>Rupees</b>	<b>USD equivalent*</b>	<b>Percentage</b>
General Administration	27,226,210	291,345	22.3 %
Health Services (including environmental improvement)	27,242,760	291,522	22.3 %
Physical Infrastructure (Roads, Lands and Building)	27,055,630	289,519	22.3 %
Other Services	8,049,900	86,141	6.6 %
Welfare	9,239,260	98,868	7.5 %
Capital Expenditure	23,240,000	248,689	19.0 %
<b>Total expenditure Rs.</b>	<b>122, 053,766</b>	<b>1,306,086</b>	<b>100.0 %</b>

\*Calculated using the US Department of Treasury exchange rate of SRR 93.45, March 2002

### SCOPE AND METHODOLOGY OF THE STUDY

#### Scope

The purpose of the study is to highlight some of the best practices of governance adopted by the NMC to manage complex urban environmental issues through the involvement of their community.

#### **This case study:**

- Examines the role of NMC, Urban Settlement Improvement Project (USIP) and Civil Society Organisations (CSO) in dealing with the issues at hand.
- Assesses the effectiveness of activities carried out by each agency.
- Assesses the achievement of the project on the basis of good urban governance principles.
- Examines the possibility of replicating these governance practices to other local authorities, as well as solving complex and intricate problems of urban management.

#### Methodology

The consultant made every effort to gather as much information by reviewing documents available at NMC, USIP and SPM. Discussions and interviews were also held with officials of NMC, USIP, SPM and the members of the community. Informational discussions were held with the Mayor and selected key officials such as Community Development Officer, and the Development Officer, the Community Development assistant of NMC, the Secretary of SPM and Grama Niladhari (GN) of Thaladuwa. The consultant also visited the KadolKele village and the mangrove site of the lagoon.

### KADOLKELE

KadolKele is a newly created village falling under the Grama Niladhari\* Division of 160A, Thaladuwa. It is physically located adjacent to the bank of the Negombo Lagoon and was a jungle area prior to 1985. Landless people in Negombo, mobilised by the Catholic Church under the leadership of Rev. Father Sarath Iddamalgoda, formed an organisation in the late 1970s called the Negombo United People's Organisation (NUPO). After several years, NUPO identified the owners of the abandoned lands of KadolKele, and pressurised the government, through local politicians, to acquire these lands. In the mid 1980s, the National Housing Development Authority (NHDA) acquired these lands and in 1985 distributed a portion of them to 250 landless families in the Negombo district. Each family received a block of seven perches\*\* of land. Under a second phase in 1987, 155 families received a distribution of five perches of land. In 1988 under Phase III, another 80 families also received land.

As mentioned earlier, this land is located adjacent to the Negombo Lagoon, which had remained a jungle for a long period of the time. Even after the settlement of people in KadolKele there was no effective way to drain off storm water from the area. As a result, during heavy periods of rain, the area became saturated, which gave rise to the spread of various diseases and created an overall unpleasant environment.

The Phase II settlers of the KadolKele area are a mixed ethnic group consisting of Sinhalese, Tamils and Muslims. They fall under different religious faiths like, Buddhism, Christianity, Hinduism and Islam, and they belong to different trades for employment purposes, including public servants. Each family of this settlement was able to obtain a loan of Rs. 15,000, or US \$ 160.00, from the NHDA for the construction of houses. Before building permanent houses however, the settlers formed a Community Development Society (CDS) to interact with government agencies, especially the NMC, in order to obtain infrastructure facilities. With the support of the NMC they were able to develop their land sites, as well as obtain water and electricity. At the initial stage, the CDS was very active in dealing with their community problems. However, after securing some of the community's basic requirements, the CDS became inactive.

### STORM WATER DRAINAGE

In 1996, the CDO assigned to the NMC visited the KadolKele area to discuss the issues and problems faced by the communities. The main problem discussed at these meetings was the provision of a drainage network to drain off stagnant storm water, which would eliminate the breeding sources of mosquitoes and ensure a pleasant, clean environment in the settlement. The first step in this process was reactivating the CDS. It was re-registered with the Commissioner of Local Government under the name of Sahayogitha Praja Mandalaya (SPM) in 1997 fell under the guidance of the CDO.

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\* GN is a village level Government Officer who is responsible to maintain law and order at village level.

\*\* One perch equals 25 square meters (M<sup>2</sup>)

## Case Study on the Negombo Municipal Council

After reorganising the society, high priority was given to bringing the community problems to the attention of the relevant local authorities. After closely examining the problem faced by the Kadolkele community, the NMC agreed to prepare a layout plan and cost estimates for a storm water drainage system. The Urban Settlement Improvement Project (USIP) agreed to match 80% of the needed expenditure, provided the community initiated action to also match part of that expenditure. After discussing the problem at a number of meetings, it was finally decided to implement the project in accordance to the following conditions:

- The community was to collect a total of Rs. 75,000 from the 155 families of the Phase II settlers of KadolKele. The families agreed to contribute Rs. 500 each, or US \$ 5.00.
- The community must agree to contribute labour for the construction of drainage system.
- Each family must collect, and provide, two barrels of water for construction work.
- The NMC must prepare layout plans for the drainage system, estimate the cost and provide technical assistance for the construction work.
- USIP\* must fund the balance of the project expenditures in accordance with the estimates prepared by the NMC.
- Sahayogitha Praja Mandalaya must co-ordinate with relevant agencies and to implement the project.

By mid 2001, the SPM deposited a sum of Rs. 80,000 with USIP and in turn, USIP released the agreed upon sum of Rs. 3.1 million, to cover the remaining project expenditures. SPM was able to commence the implementation of the project, in consultation with Engineering Department of NMC and USIP officials, in November 2001.

As discussed and agreed, SPM started the groundwork for the project, educated the members, demarcated the areas for the drainage system, and collected the families' contributions. In executing the construction work of the drainage system, some families had to demolish parts of their houses, but they did so voluntarily.

Financial information and funding sources, in Rupees	
Total estimated costs	3,300,000
Amount released by USIP towards construction costs	3,100,000
Amount contributed by the community	80,000
Net amount matched from USIP funds	3,020,000
Savings, held in interest earning securities (equivalent to community contribution )	300,000

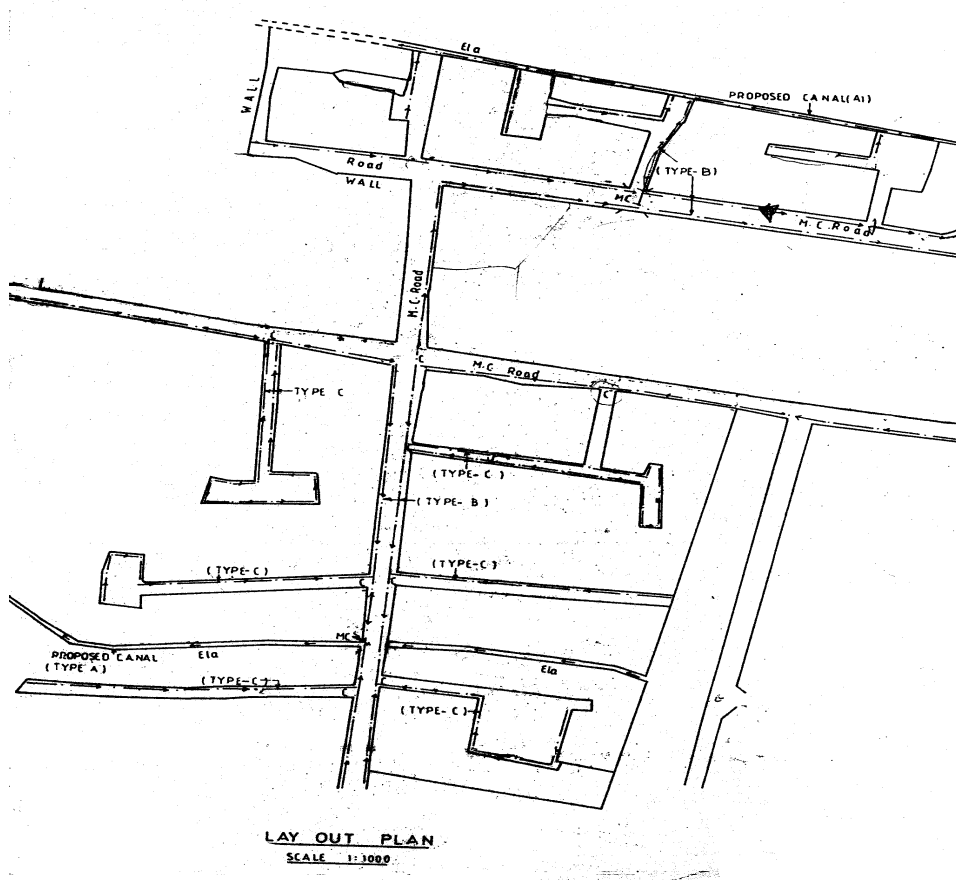
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\* USIP funding came through Japanese Bank International Corporation (JBIC)

## Case Study on the Negombo Municipal Council

### The Kadokele Storm Water Drainage System

#### ENGINEERING DESIGN (LAYOUT PLAN)



*\* This is a reduced copy of the layout plan prepared to the scale of 1:2000. This covers all the families of stage II of Kadolkele.*

#### TECHNICAL SPECIFICATIONS – LENGTH, WIDTH AND THE TYPE OF MAIN AND LINK DRAINS

<u>DESCRIPTION</u>	<u>TYPE</u>	<u>WIDTH</u>	<u>LENGTH IN METERS</u>
• MAIN DRAIN	A.1	4' 0"	230
		2' 0"	160
• LINK DRAINS	B.1	1' 0"	1,000
	C	0' 9"	825
<b>TOTAL LENGTH</b>			<b>2,215</b>

#### PROJECT BENEFICIARIES – 160 FAMILIES



## Case Study on the Negombo Municipal Council

At the commencement of the work, SPM had some doubts as to whether the community could complete the work within the timeframe agreed upon with USIP. However, the community was able to complete the work within six months, due to the co-operation of its members, and save Rs. 300,000, or about US \$ 3,210 under the project budget. Under the skilled community



leadership of the NMC, the community and members of SPM worked well together, not only through contributing their labour during the construction phase, but by making contributions in kind such as stones, sand and tools.

Unlike Phase I, the KadolKele scheme settlers in Phase II were not homogeneous in composition. It is easy to organise activities in a homogeneous community. However in Phase II, even though the community was comprised of different ethnic groups and religious faiths, they were able to jointly undertake this complex project and implement it successfully, due to their organisational capacity. Community members were mobilised by the SPM management and SPM was actively supported by the

### One portion of the completed drainage system

NMC and USIP. It is worthwhile to mention that the leadership of the Municipal Engineer and the Infrastructure Engineer from USIP, and the commitment of the President and Secretary of SPM, were key in achieving the objective of the project and ensuring the project's success.

The SPM meets once a month to discuss topics related to the project, including the financial status of income and expenditures relating to the previous month. These open forums ensure the transparency and accountability in handling the community's financial transactions.

The routine maintenance of the new storm water drainage system has been undertaken by the community. The drains are cleaned daily by community members, along with assistance from the NMC.

### The predominant success factors of the project were:

- The identification of the community needs and
- The quick response to address these needs through the active participation of the beneficiary community.

### SOLID WASTE MANAGEMENT

In an effort to further ameliorate the living conditions of the KadolKele settlers, the NMC has offered to provide a garbage disposal service to the community, supported by an awareness campaign that encourages the community to:

- **Reduce** the volume of garbage released into the public garbage collection system by diverting suitable kitchen waste for the production of micro-level compost manure that could be used for domestic gardening purposes.
- **Reuse** items of domestic refuse like glass bottles, containers. Items with some economic value could be used to earn additional income for the household.
- **Recycle** the garbage collected at the central waste site based on the various components of the nature of the items. This will ensure the items are disposed of in the most appropriate manner, for example, items of glass go to glass manufacturers, papers are to be turned into pulp for manufacturing of various paper products, and cardboard goes to packaging industries. This will give the community an opportunity to earn an income and at the same time, reduce the volume of waste and pressures building on the central garbage disposal system.

As a part of the project, each family is provided with plastic bins in which to collect domestic refuse. The members of the SPM matched part of the cost of purchasing bins and handcarts used for solid waste collection. The NMC is now planning to initiate a Solid Waste Management project with participation of all the communities in the KadolKele area. NHDA has agreed to provide a piece of land to the SPM intended for solid waste collection. It proposed to begin the project activities in November 2002 in the village under Phase II, and then eventually expand the activities to other phases.

Due to these efforts, the KadolKele Phase II area is a clean, well-kept settlement, which serves as an example to other communities. Taking from their experiences, the Ekamuthu Society of Phase III and the NMC planned to replicate the process in their area with financial assistance from the USIP. The inaugural meeting to implement this action was held on 1<sup>st</sup> July 2002.

### MANGROVES RESTORATION

It is also interesting to learn the impact of the NMCs intervention in the arrest of the lagoon bank erosion. There was a natural boundary of mangrove forest in between village of KadolKele and the bank of the Negombo lagoon. Originally this land mass was a home for the natural growth of a mangrove forest. According to environmentalists, out of 21 rare varieties of mangroves, 18 were found on the banks of Negombo lagoon. With village expansion, population growth and scarcity of firewood for home use, the once magnificent mangrove area had fallen victim under the axe of firewood hunters, which transformed it into a barren land. This gave rise to number of adverse impacts. Primarily, it denied the fishing community a ready source of daily income in the loss of prawn and crab harvests. Secondly, the disappearance of mangrove caused severe soil erosion in the lagoon banks and the immediate neighbourhood. The scenic beauty was destroyed and foul odours blew in from the lagoon, making it an unpleasant place to live.

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## Case Study on the Negombo Municipal Council

Taking these factors into consideration, the NMC launched a project to rehabilitate the areas by replanting mangroves in the deforested area. “Kadolana” plants, or mangroves, are a plant mass that produces a scenic beauty above the water level, while its root mass below the water creates ideal conditions for fostering crabs and breeding prawns. Breeding in a natural habitat results in rich harvests, which fetch high prices for crab and prawns in the local markets, eagerly sought after by the tourists visiting the City of Negombo. This breeding activity is the main cash crop of the fishing industry in the Kadolkele region. *A photo showing the cultivated mangrove forest is found in Appendix 3.*

Financial assistance for the restoration project was provided by the Community Environment Project of the Ministry of Forest and Environment. The Shantha Jude Organisation ( SJO ) acted as the implementing agency for the cultivation and conservation of the mangroves, while technical guidance was provided by the National Aquatic Resources Authority (NARA) and NMC.

***There were four key results from the project:***

- *Greater awareness among the community members to protect the natural resources of the lagoon,*
- *New knowledge about operating mangrove nurseries,*
- *The cultivation of new mangroves in the bank of lagoon, and*
- *The overall conservation of the mangrove and lagoon bank.*

The Environment Officer of the NMC conducted the awareness campaign jointly with officials of the Ministry of Forestry and Environmental Affairs, and officers of the SJO. Maintenance of the nurseries and cultivation of the mangroves are coordinated by the SJO, through the participation of the people of KadolKele. The project was completed in February 2002, and the NMC was able to plant 10,000 mangrove plants at the bank of lagoon. 8,000 plants have been sustained since that time, as some plants died in heavy rains. This project has created a pleasant environment in the KadolKele area and been able to stop, and prevent, erosion of bank of the lagoon. The project also contributed to the economic development of the area as now the fishing community is hopeful of revitalizing their customary livelihood through harvesting prawns and crabs, as done in the yester year.

The cost for the project was Rs. 385,700, or US \$ 4,127, of which Rs.274,000, or US \$ 2,932, was provided by the Ministry of Forest and Environmental Affairs. This is a rare example of an situation where the very community that ignorantly contributed to the destruction of mangroves in the past, is now playing an enlightened, supportive role in the replanting process launched by the NMC, in partnership with central agencies and the local community organisations.

### Conclusion

The projects described in this case study demonstrate the multi – faceted objectives within the framework of good governance with particular emphasis on community participation to solve their problems and overcome challenges that they faced.

### KEY SUCCESS FACTORS

- Local authority services are highly labour intensive. Inflationary conditions in the economy are increasing the costs of providing urban services, leading to a cut back on urban service improvements and maintenance. Financial and labour contributions made by the community ensured the success of the projects, and has provided a strong sense of ownership for the community. This ownership and sense of pride has inspired the communities to take over the maintenance of the new systems, thus reducing the cost burden of the NMC, and increasing the longevity of the assets created through the project.
- This experience has taught the NMC that there is a vast reservoir of community resources in the form of financial support, labour and materials that can be innovatively tapped to accomplish their goals and solve problems. This is significant, as there is great pressure on NMC's scarce economic resources arising from an urban population explosion and the consequent rising demand for improved urban services.

### OBSTACLES ENCOUNTERED

- In preparing the layout plans for the rainwater drainage scheme, difficulties were encountered as disproportionate portions of land had to be given up by the settlers whose land were to be adjacent to the main and link drains. Some of the houses had to be slightly demolished to make way for the drains and enable construction work to proceed.
- Some level of influence was needed to convincing the affected settlers of the overall benefit of the project. After realizing the importance of the project, they gave consent for the drainage scheme to proceed.
- Another difficulty was encountered when a handful of settlers refused to pay the agreed upon contribution towards the cost of the drainage scheme. This did not present a significant obstacle however, as the sum involved was minimal.

### MAIN MESSAGE

- The storm water drainage system and the mangrove rehabilitation project clearly demonstrate that complex and intricate urban environmental services can be provided, and maintained, efficiently and effectively in partnership with the community. As well, these two projects opened up new avenues for the NMC to reduce expenditures while allowing the community to play a major role in improved management and better service provision.
- The paramount, current need is for all local authorities to optimise the use of their limited economic resources to provide greatest public good through the use of efficient and effective financial management techniques. This should be accomplished both within the framework of good governance principles and through simultaneously mobilising active community participation in the provision of urban infrastructure and services.

### RECOMMENDATIONS

- The Storm Water Drainage System and the Mangrove Restoration Project qualify for replication as best practices for providing complex, intricate urban infrastructure services in partnership with the community.
- The replication of these strategies is recommended to other local authorities looking to optimise the use of their limited resources and to involve their communities in the planning, execution and maintenance of social and economic infrastructure development work. Community participation can enable local authorities to better manage their urban problems and challenges, and thereby contributing to economic development.

### REFERENCES

1. File maintained by CDO / for KadolKele Project.
2. File maintained by environmental officer for Mangrove Project of Kadolana.
3. Reports of general meeting of SPM – in KadolKele Phase II.
4. File maintained by the infrastructure Engineer of USIP.

### INTERVIEWS HELD WITH:

Mayor / NMC

Engineer / NMC

CDO / NMC

Environmental Officer / NMC

Community Development Assistant / NMC

Infrastructure Engineer / USIP

Secretary and the President of SPM / KadolKele Phase II

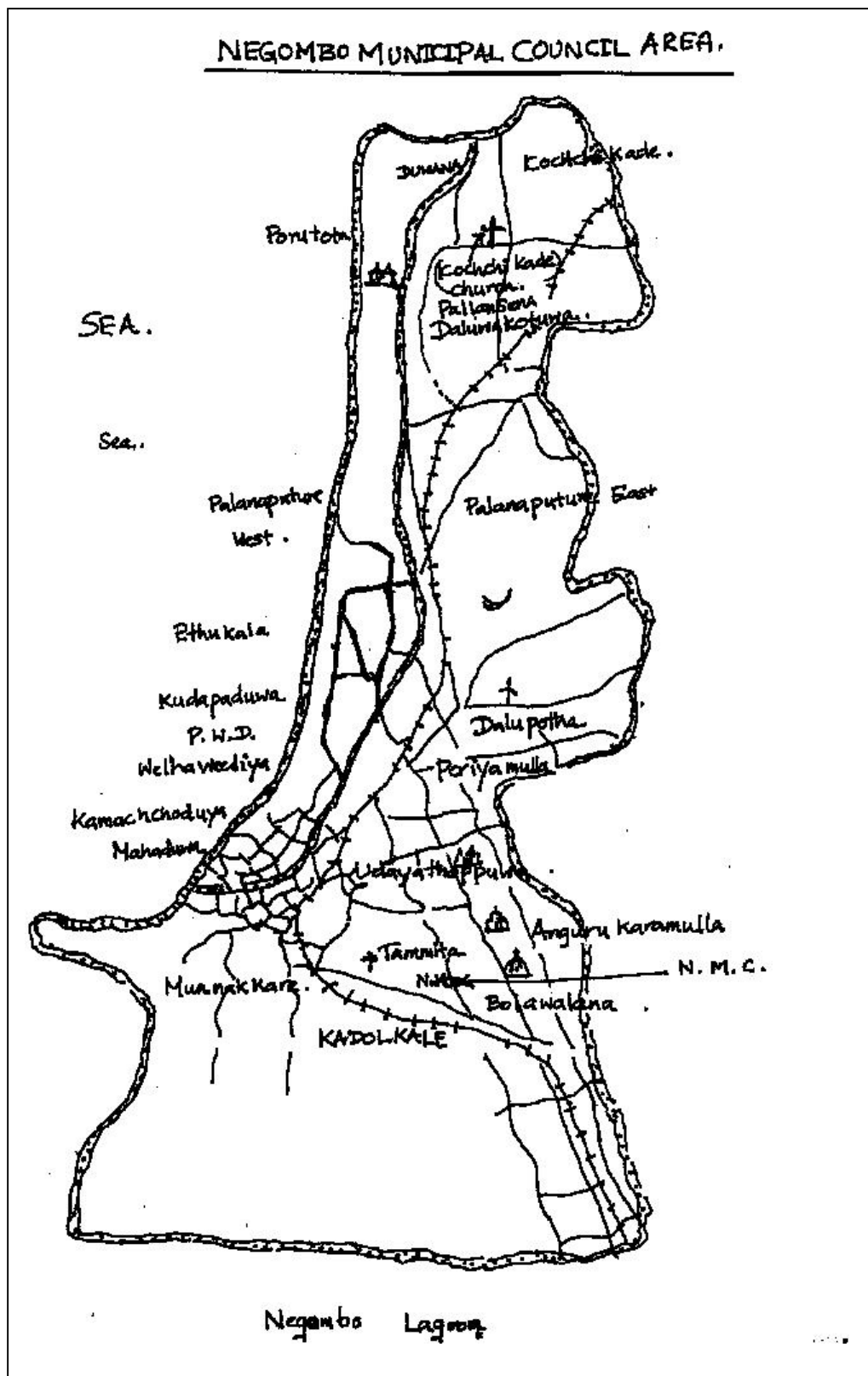
Grama Niladhari Thalduya Division – Negombo

Selected families of KadolKele

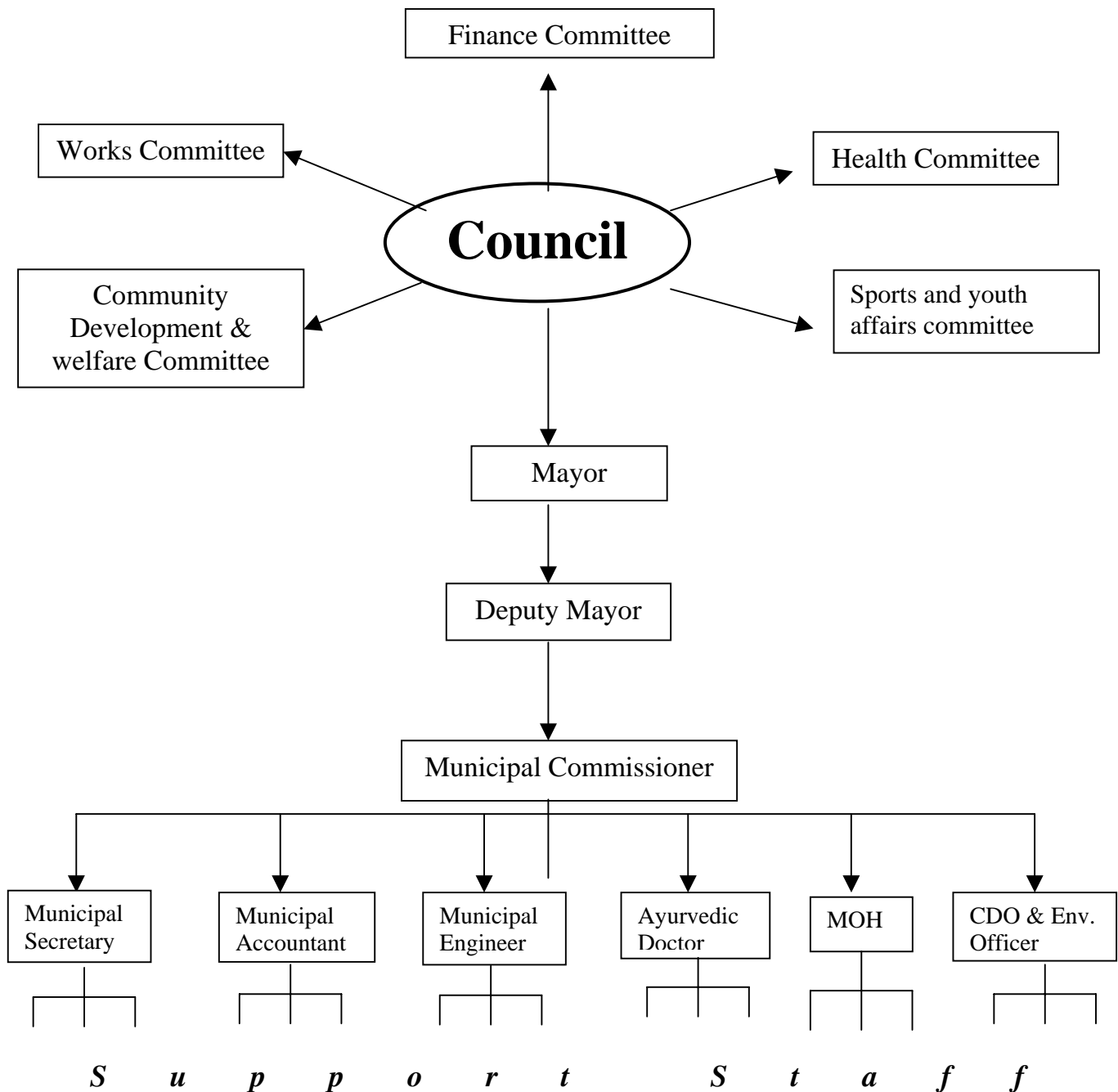
Office bearers of SJO

## Case Study on the Negombo Municipal Council

### Appendix 1 – Map of the Negombo Municipality



### *Appendix 2, The Negombo Municipality Organizational Structure*





## Case Study on the Negombo Municipal Council

### *Appendix 3, Photos and Illustrations of the Restored Mangrove Area*

*Following illustrations of Kadolana plant (mangroves) explain its potential to beautify the environment, arrest soil erosion and create ideal conditions for the breeding of crabs and prawns:*

- |                        |                                       |
|------------------------|---------------------------------------|
| 1. Photo No. 01        | Shows a groups of mangroves           |
| 2. Illustration No. 02 | } Shows a section of mangrove foliage |
| 3. Illustration No. 03 |                                       |



**- Illustration No. 02 -**



**- Illustration No. 03 -**



# Good Urban Governance in South Asia (GUGSA)

DOCUMENTATION OF CASE STUDY  
SRILANKA

## ***Dehiwala – Mount Lavinia Municipal Council – Solid Waste Management***

Prepared by  
EML Consultants



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**Case Study on the  
Dehiwala –Mount Lavinia Municipal Council  
of Sri Lanka**

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**U.S. Agency for International Development**

Regional Urban Development Office  
for South Asia

**Good Urban Governance in South Asia**

**Contract No. 386-C-00-01-00260-00**

Final Draft as of  
**October 30, 2002**

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**A.A.M.D.H. Danasiri Amaratunge**

නගරාධිපති සාමාජිකයා හා නිල නොලත් මහේස්ත්‍රාත් The Mayor, Justice of Peace & Unofficial Magistrate  
දෙහිවල - ගල්කිස්ස මහ නගර සභාව Dehiwala - Mount Lavinia Municipal Council

මගේ අංකය }  
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Your No. }

දිනය }  
Date }

03.10.2002

I am very happy to note that US Agency for International Development (USAID) has selected Dehiwala Mt. Lavinia Municipal Council for documenting the good practices in the area of urban governance. Our council has been making concerted efforts for the past Five Years to improve Solid waste management & Services systems in the city to improve the quality of life of our citizens.

The Communities Group International of USA (TCDI) and Environment and Management Lanka (Private) Limited of Sri Lanka (EML) have very well documented our efforts in this respect which I hope will go a long way in disseminating our efforts in good governance to other Municipal councils.

The Mayor,  
Dehiwala Mt. Lavinia Municipal Council,  
Dehiwala,  
Sri Lanka.



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## **EXECUTIVE SUMMARY**

The Dehiwala-Mount Lavinia Municipal Council (DMMC) in Sri Lanka, has developed a solid waste management policy that exemplifies Good Urban Governance practices. They are:

1. Efficient urban services delivery: privatization of solid waste collection and disposal, and
2. Active citizen participation in local government: reduction of solid waste through programs that engage community based organizations.

The DMMC recognized the need for a new policy due to the inadequate collection and disposal of solid waste service and the problems confronted by low-income community groups relocated in the municipal area. Under the new policy, new institutional arrangements for planning, implementation, and evaluation have been made by the DMMC. A new standing committee on solid waste management and environment and a new department under the Deputy Commissioner have been created for this purpose.

Amidst objections from within and outside the Council, the DMMC has privatized collection and disposal of solid waste in four of twenty-nine wards, and intends to expand into a few other wards. Service delivered in the four wards has improved and complaints from the residents have been minimized.

Solid waste reduction program was initiated by the DMMC on the request of the dwellers (1,200 families) in the relocated site in Badowita. This program is carried out in six stages or blocks. Sevanatha, an NGO partner, organized the people into community development councils (CDCs) with the assistance of foreign funded projects and aid agencies. They have contributed through awareness programs, community mobilizations, demonstrations, and training.

Reduction of solid waste is done through recycling and re-using. A solid waste collection and sorting center (WCSC) has been established. Sorted items are sold to generate revenue for the community. DMMC plans to extend the solid waste reduction program into two other ward areas. Composting is due to commence with the provision of a suitable land to establish a centre.

Key participants have made valuable contributions. The DMMC has initiated the program using its resources and utilizing the contributions from the government, private sector, and civil society organizations.

Change was introduced through education and awareness programs. Objections encountered have been overcome through discussions and mobilization programs. Community members expressed interest and dedication to help solve their own problems.

The primary result is that both the DMMC and the community have benefited in various ways. Improved solid waste removal, better health and environmental conditions, revenue generation, and employment are all benefits to the community. The DMMC has been able to successfully establish public-private partnerships and community participation in service delivery programs.

Costs involved were minimal. With contributions from foreign aided projects and agencies, the cost to the DMMC has been reduced. The contribution of the community in the form of labor (sweat equity) has also been helpful in bringing down the cost.

DMMC has realized that by reaching out to the people and making them partners in planning and implementation, it has been able to improve the quality of the service as well as the health and well-being of the community. Active participation of the community and external organizations such as NGOs and aid agencies and the right leadership and management provided by the DMMC have been the key success factors in this operation.

Obstacles were encountered by the DMMC at the inception from sections of the private sector and the council itself. But success helped to overcome objections. There have been constraints by way of inadequate funds and equipment. Most of these obstacles, objections, and constraints have been overcome through strategies adopted like public awareness, meetings and demonstrations by the DMMC and the community organizations.

The case study demonstrates two good governance principles that other local authorities can emulate: effective service delivery and community participation. Other local authorities can learn from the application of the principles in this case study.



### INTRODUCTION

The development of partnerships by the Dehiwala-Mount Lavinia Municipal Council (DMMC) in the field of solid waste management has two aspects. They are:

1. Efficient urban service delivery: Privatization of the collection and removal of solid waste; and
2. Active citizen participation in local government: Community involvement in the reduction of solid waste through re-using and recycling.

Solid waste collection and removal has been contracted to the private sector in four of 29 wards in Dehiwala-Mount Lavinia. The program of reducing solid waste is carried out by a low-income community of 1,141 households where the facilities available are very limited. The DMMC ensures participation of the community in delivering municipal services and developing partnerships in the private sector – an adoption of participatory practices.

### Background

Management of solid waste collection and disposal by the DMMC had not been efficient over the years due to frequent vehicle breakdowns, labor absenteeism, and poor supervision of work. Collections had not been done on a regular basis. Garbage had been dumped at collection points (concrete bins) located on the side of the main road and was not removed for days. The rubbish was brought to the side of the road by handcarts, but again, was not removed due to difficulty with transport vehicles.

Households with large land areas (i.e., 20 perches or more)(1 acre = 160 perches) maintain gardens planted with fruit trees and thorny flowers. Cut branches of trees and thorny flowers are thrown onto the road and heaped on the roadside for the Municipal Council to remove. Handling this rubbish is a major issue.

*Management of solid waste collection and disposal by the DMMC had not been efficient over the years due to frequent vehicle breakdowns, labor absenteeism, and poor supervision of work.*

Despite increasing budget allocations to solid waste collection and disposal, service levels remain poor. Refer to Tables I and II below.

Table I refers to budget allocations for solid waste management (SWM). Over the years, DMMC has increased the amounts. Since the year 2000, allocations have been doubled.

In Table II, 2001 actual figures are not currently available. Although final accounts were submitted to the Auditor General before March 31, 2002, accounts are not yet certified. Table II reflects that expenditure on SWM has almost quadrupled from 1998 to 2000. This increase is not typical. No other council has increased budgetary allocations on SWM as much as the DMMC.



**Table I: BUDGETARY PROVISION FOR  
SOLID WASTE DISPOSAL**

<b>NATURE OF ACTIVITY</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>
Personnel (Wages, Travelling, Uniforms etc.)	Rs. 39,844,000	Rs. 44,248,680	Rs. 44,841,000	Rs. 63,518,760	Rs. 72,278,660
Service (Fuel, Vehicles etc.)	Rs. 6,450,000	Rs. 6,150,000	Rs. 7,050,000	Rs. 14,300,000	Rs. 14,000,000

**Source: DMMC Budgets**

(1USD = 93.45 Sri Lankan Rupees)

**Table II: ACTUAL EXPENDITURE  
ON SOLID WASTE MANAGEMENT**

<b>NATURE OF ACTIVITY</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>
Personnel (as in Table I)	Rs. 35,674,347	Rs. 39,096,700	Rs. 42,507,077	Rs. 47,843,480
Service (as in Table I)	Rs. 3,954,517	Rs. 3,941,700	Rs. 11,993,216	Rs. 15,714,800

**Source: DMMC Budgets**

In 2001, the DMMC allocated 27 percent of the total budgetary expenditure to SWM. Only Sri Jayawardhanapura Kotte Municipal Council comes close to this, with 22 percent. Corresponding performances for Negombo and Moratuwa are 11 percent and 2 percent respectively.

Complaints have been frequent from rate payers and service users about the deterioration of the services. As a result, the cooperation of the residents was not forthcoming as the service was sub-standard. Despite increased expenditures, complaints have been made to officers in the field on revenue collection and inspections. Also, residents made complaints directly and via telephone to the Mayor, who opens his office to the public on Wednesdays.

### **Context**

The criticism and complaints from the residents on the deterioration of the services brought about a change in the thinking of the DMMC, as the level of performance of the functions was found to be at a low level. Corresponding to these changes, priorities also shifted to an emphasis on health and sanitation.

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## Case Study on the Dehiwala-Mt. Lavinia Municipal Council

The DMMC realized that it was the duty of the Council to provide an efficient service to the residents who voted them into power and pay the taxes and therefore, developed a solid waste management policy. A new solid waste management policy was developed in 1998.

Development of a solid waste management policy was necessitated with the re-location of about 5,570 persons in a low-lying, undeveloped area of the DMMC. The DMMC and Sevanatha (an NGO partner) stepped in to provide the necessary services required by these families. Provision of these services does not come under the purview of the two government corporations.

*The DMMC realized that it was the duty of the Council to provide an efficient service to the residents who voted them into power and pay the taxes and therefore, developed a solid waste management policy. A new solid waste management policy was developed in 1998.*

Although external agencies and NGOs provided solid waste management services to these low-income families and maintains them through the Integrated Community Development Council, they started withdrawing and the local authority assumed responsibility over the settlement. The DMMC has extended most of these services and related activities are coordinated with the support of withdrawing organizations. Under the existing system, privatizing SWM was the best alternative for the DMMC.

### PRE-INTERVENTION SITUATION

The DMMC was constituted as a Municipal Council on December 3, 1959 with 19 councillors and re-constituted with 29 councillors on June 5, 1967. The area of authority of the Dehiwala-Mount Lavinia Municipal Council is approximately 2,117 hectares with a population of about 240,000. The density of the population is high (118 per hectare) (1 hectare = 2.47 acres), but decreases towards the eastern areas that are marshy and undeveloped. The number of households is approximately 61,000. Approximately 4,345 industrial and commercial properties are in the region.

Government institutions such as offices, hospitals, and dispensaries have increased considerably and consequently, the commuting population has increased to about 100,000. Ratmalana Airport, the Railway Central Workshop, Zoological Gardens, and other industries have contributed to the increase of activities.

More than six kilometres of beach lie within the jurisdiction of the municipal council. Dehiwala-Mount Lavinia is a tourist area with a large number of hotels. New commercial enterprises have been established in this area and with these developments, generation of garbage has increased.

Currently, daily garbage collection exceeds 150 tons. In 2001, households/families in the DMMC area totalled 45,817. Household waste includes kitchen and garden waste. This amounts to about 72 tons a day. Waste is collected by the residents in bags and in containers kept inside premises for disposal to the collecting tractors.

Overall, daily waste, which is estimated to be more than 50 percent organic, comprises:

Domestic	72 tons
Commercial	30 tons
Market	12 tons
Street and garden	15 tons
Industrial	5 tons
Institutional	5 tons
Construction	10 tons
Hospital and Clinic	1 ton
<b>Total</b>	<b>150 tons</b>

Existing waste services/facilities are established by the DMMC. They include concrete bins at collection points. Domestic waste is gathered by handcarts and brought to collecting points. The handcarts are in poor condition, despite low maintenance costs.

### **Major Problems**

Major problems faced by the DMMC in regard to the collection and disposal of solid waste are related to:

- i. The inadequacy of funds,
- ii. Lack of suitable landfill sites for dumping, in close proximity,
- iii. Location and size of households,
- iv. Lack of cooperation from the community,
- v. Poor management of labor.

#### *The Inadequacy of Funds*

DMMC was operating its solid waste management program in isolation. There was no assistance from the Government or the Provincial Council. No long term plans or programs had been developed to provide service in a systematic way. The concrete bins constructed at roadsides as collection points created a nuisance as they overflowed when removal did not take place for days at a time.

The situation was due to the lack of transport vehicles. Tractors, dump trucks, and other vehicles belonging to the council were inadequate. As some of them were old, frequent breakdowns worsened the state of affairs. The repair costs were high and it was a burden on the council.

Inadequate funds for solid waste collection and removal has been a major problem faced by the DMMC, as well as various other urban local authorities (ULAs), over the years. The DMMC has a limited council fund and allocations for this purpose have been fairly small. (Refer to the Table I above.)

#### *Lack of Suitable Landfill Sites*

No suitable lands are found within the DMMC area that could be used as a landfill site for dumping. Marshy lands in the eastern edges have been preserved for other purposes by the

government. Lands outside the DMMC area have been used as dumping grounds, but the residents as well as the local authorities protested. Occasionally, tractor loads of garbage taken to such dumping lands have been refused and alternative sites were needed.

The government and the provincial council have stepped in to look for suitable lands in the Colombo district, since providing dumping grounds is a problem common to all local authorities in the district. The National Building Research Organization (NBRO) was instructed to carry out a survey for this purpose. Only a few sites were identified, but due to various problems, some of them had to be dropped and the DMMC did not get suitable land.

#### *Location and Size of Households*

Difficulties have also been encountered in the collection of garbage due to the location and the small size of households. Some premises are less than three perches\* in extent. Reduction of garbage at the source—such as burying in pits for creating organic manure, burning, or sorting—could not be done. Sending vehicles for the purpose of removing garbage from such premises is difficult. The use of handcarts and two-wheel tractors has been introduced at an additional cost.

#### *Lack of Cooperation from the Community*

Some segments of the population do not extend their cooperation to carry out the solid waste programs well. Residents who occupy large premises do not take steps to reduce garbage. Cut branches of trees and thorny plants are dumped on to the roadsides for the DMMC to remove. At least a fair portion of the garbage collected and removed contains such branches and plants.

#### *Poor Management of Labor*

Absenteeism is a common feature among the laborers engaged in the collection and removal processes. Daily, a large number of temporary or casual laborers are employed. Their output is low unless there is close supervision and some will leave work after the checkroll is marked to work in a private, commercial establishment or in a work site. Monthly wages of a laborer in the DMMC is Rs. 3250/-. Daily wages paid to a temporary or casual laborer is Rs. 125/-.

### **INTERVENTION /CHANGE**

Urbanization has taken place at a rapid pace in many areas of the DMMC during the last few years. Demand for services increased enormously with the establishment of new institutions and commercial enterprises and the need for a better waste management program became evident.

Impetus for change came with the taking over of the relocation settlement in the neighborhood of Badowita. In the early 1990s, squatters living on canal banks in the Colombo Municipal Council (CMC) area were relocated to Badowita. This relocation site was developed by the Sri Lanka Land Reclamation and Development Corporation (SLLR&DC) and the National Housing Development Authority (NHDA). Badowita is situated at the Eastern extremity of the DMMC area. Families have been settled under six steps/blocks. An Integrated Community Development Council has been formed. Collection of garbage in the area is organized by this council. A waste collection and sorting center has been set up to undertake this work. The DMMC, Sevanatha, JICA (volunteers) and a few other institutions provide them with the necessary guidance and support.

Conditions were not satisfactory. Average household size was about two perches (50 sq. meters). Houses were semi-permanent or structures covered with polythene. Facilities such as toilets and stand posts were shared.

Relocation settlement was set up under five stages or blocks and later another stage was added. In each stage or block, a community based organization (CBO) called a Community Development Council (CDC) was formed. These CDCs have been integrated to form one organization to cover all six stages. This organization functions as the “Integrated Community Development Council” under the DMMC leadership and the coordination of donor agencies, NGOs, and governmental institutions.

At this stage, the DMMC developed a solid waste management policy with a view to provide services efficiently. After assessing the gravity of the problem in 1998, the DMMC agreed to:

- (1) Appoint a new standing committee of the council on solid waste management and environment;
- (2) Establish a new Department with a Deputy Commissioner to take charge of the solid waste management;
- (3) Share the responsibilities of solid waste collection and disposal with the private sector;
- (4) Introduce solid waste reduction at the source; and
- (5) Improve public awareness and educate the people as to their duties and responsibilities in order to enlist their cooperation.

## KEY PARTICIPANTS

### 1. DMMC

The DMMC plays the primary role in the waste management and solid waste reduction activities. It is mandatory for the DMMC to plan, implement and evaluate programs. DMMC, as a municipal council enjoys the highest degree of autonomy among other types of local authorities. Wide powers have been devolved to the council and the mayor. Several standing committees comprising only councilors have been appointed by the council to obtain recommendations on various matters. Solid waste management and the environment committee are the newly created committees.

The mayor is the head of the council, the chief executive officer (CEO), and the chief accounting officer (CAO). The municipal commissioner is the chief administrative officer and the executive officer next to the mayor. Decisions are made by the council and the majority decision prevails.

The present municipal staff is 3,600 and most of them are experienced officers. Staffing decisions are determined by the Salaries and Cadre Committee.

### 2. Donor assisted Projects

A few donor assisted projects such as the Sustainable Cities Program (SCP), Urban Settlement Improvement Project (USIP), and Japanese International Cooperation Agency Volunteer Groups (JICA) have contributed immensely to the Solid Waste Reduction Project at Badowita through

\* One perch equals 25 square meters

community mobilization activities, training, and funding. Staff of these donor organizations is key participants in the solid waste reduction program.

### **3. Non Government Organizations (NGOs)**

Sevanatha and Seth Sevana are the two NGOs that participated in the activities in Badowita as partners in the planning, implementation, and evaluation work. Sevanatha's contributions are:

1. Convincing the DMMC to start the project;
2. Organizing community based organizations (CBOs) at Badowita;
3. Promoting community based partnerships approach in solid waste management;
4. Organizing a community based (CB) solid waste reduction activity;
5. Linking the community with the DMMC;
6. Organizing the community for self-help work.



*Waste Collection and Sorting Center (WCSC)*

Seth Sevana helped to facilitate and express the desire for municipal services on behalf of the re-located populations. The community organization is responsible for convincing the DMMC to act and establish these services.

### **4. Government Corporations and Boards**

- Sri Lanka Lands Reclamation and Development Corporation (SLRR & DC). Relocation site was opened by this corporation and continues to support the work undertaken by the CDC.
- National Housing Development Authority (NHDA) assists in the matters of land allocation.

### **5. Private Sector Organizations**

- Care Cleaners Ltd. is the contracted firm for solid waste collection in four Dehiwala-Mount Lavinia wards.
- The National Paper Company purchases the used paper for recycling.
- The Ceylon Glass Company is directly linked with this project, through the purchase of glass. There are few other private sector organizations that undertake construction and supplies.

### **6. Provincial Council of the Western Province**

- The Provincial Council has assisted the DMMC in providing a block of land for dumping at a place called Madapatha, which is located 15 kilometers away from the DMMC.

**Solid Waste Collection and Disposal--Contract to Private Sector**

Contracting out activities of Urban Local Authorities (ULAs) had been considered as a solution to some of the services. The Galle Municipal Council, which is situated south of the DMMC, once decided to privatize solid waste disposal, however it did not occur due to objections. CMC has already started privatization of solid waste disposal.

In terms of the policy decisions, a resolution was passed by the DMMC to contract out this service to a private company in 2000. Councilors and a few officials objected on the grounds that the DMMC would lose control over the services and that costs would go up. Objections were raised by labor unions that council laborers would lose their jobs. Arrangements were taken to absorb them into vacancies in other wards, however. Suppliers of transport vehicles to the council for collection and removal of solid waste staged a stronger protest.

The council stood by the decision and implemented the proposal of privatization of collection and removal of garbage as a pilot project in four wards:

- Ward No. 18 - Vidyalaya
- Ward No. 22 - Wathumulla
- Ward No. 23 - Wedikanda and
- Ward No. 24 - Pirivena

The contract was awarded to Care Cleaners Ltd. Under the agreement, the contracting firm is responsible for:

- i. Cleaning drains,
- ii. Cleaning road sides and pavements,
- iii. Collection and removal of garbage to the landfill site.

A Public Health Inspector (PHI) and health officers are in charge of the supervision. Complaints are attended to promptly.

The contractor has agreed to deploy the following in order to provide efficient service:

- |                         |                  |
|-------------------------|------------------|
| One Mechanical Engineer | Five Tractors    |
| Two Brush Cutters       | Four Motorcycles |
| Fifty Laborers          |                  |

This contracted amount at the inception was Rs 6,660,750/- and this amount is subject to increase with changes in fuel prices and wages. The agreement provides for the payment of these increases.

### **Solid Waste Reduction--Community Participation**

Waste reduction programs have been designed to reduce garbage by burying in pits or burning within the premises of residents. In Badowita, the resettlement community, the size of premises had been very small. No burying or burning could be done.

The objectives of the Badowita project are to:

1. Find a permanent solution to the solid waste management of the community.
2. Demonstrate that the strategies have the potential and the ability to involve all stakeholders – NGOs, foreign funded projects, private sector, and other development agencies.
3. Strengthen the relationship between the community, the municipality, and other institutions through the partnership approach.
4. Find a mechanism for the community to help itself to develop income generating methods of which the benefit would accrue directly to the community, and
5. Promote replication of low cost demonstrations in other urban situations.



*Handcart collection of community solid waste*

Under the program of waste reduction, the DMMC has introduced colored bags/bins to households for the disposal of different items – i.e., glass, plastics, polythene and biodegradable material. Biodegradable materials are removed to the dumping site as no composting in the community has commenced. A center for sorting, the Waste Collection and Sorting Center (WC&SC), has been established with financial assistance from the DMMC, foreign funded projects and NGOs and participation by the community organizations.

***Under the program of waste reduction, the DMMC has introduced colored bags/bins to households for the disposal of different items – i.e., glass, plastics, polythene and biodegradable material.***

The DMMC has deployed three persons from the Badowita community – two females and one male – to carry out this operation. Two employees collect garbage from premises in the settlement in handcarts. Daily collection is about 150 kilograms. In addition, the community organization (Integrated Community Development Council) now purchases dry garbage from institutions from the vicinity, but outside the community for sorting and selling.

After the sorting operation, various items are packed and stacked for sale at the WC&SC. Proceeds of the sales are credited to the account of the ICDC. Proceeds amounted to Rs. 23,000/- during the first year that commenced May 2001. All financial transactions are recorded, including receipts and payments, and are kept in the office for inspection by the community.

DMMC has absorbed the three persons who were paid temporary allowances, into the Council Cadre and paid monthly salaries. It was found that these three employees could carry out the operations with the assistance and the guidelines of the DMMC.



Badowita forms a unique case of community involvement in the provision of municipal services. The DMMC now functions as facilitator and the community performs as the provider. All financial transactions are transparent and accountability to the members of the community is assured. Every month the ICDC meets to discuss progress of activities, including the financial transactions. The president and the office bearers of the ICDC have displayed leadership qualities in the organization of the community efforts for their own benefit.

Action is being taken by the DMMC to replicate this for about 750 families at Ratmalana on land belonging to the Ceylon Railway. The majority of the problems confronted by the DMMC (as stated above) have been resolved as a result of the new policies adopted in solid waste management:

- *The inadequacy of funds*  
No additional funds have been pumped in to the DMMC, but in making allocations in the council budget, more funds have been allocated for solid waste disposal.
- *Lack of dumping sites*  
This continues to be a major problem. Site used at present is adequate only for a few more months.
- *Location and size of households*  
Collection of garbage from premises that are small and inaccessible by tractors is done by handcarts.
- *Lack of cooperation from the community*  
This has been partly overcome through public awareness programs such as public address systems, distribution of printed leaflets, and newspaper notices.
- *Poor management of labor*  
With respect to the four wards that have been contracted out, the DMMC has no problems over the management of labor. However, over the rest of the wards (that are managed by the DMMC), problems relating to labor management continue.

### MONITORING OF PROGRESS

The solid waste management department of the DMMC carries out monitoring of the privatized solid waste collection and disposal service. The Deputy Commissioner conducts monitoring meetings monthly, and necessary actions are taken as required.

PHI's work is supervised and monitored by the Chief PHI. Successful management is reflected by the following:

1. Regular collection
2. Improved state of cleanliness of roads
3. Less accumulation at collection centers
4. Reduced number of complaints
5. Absence of criticism by the press.

Arrangements for monitoring of the progress at Badowita solid waste management project is carried out by the Integrated Community Development Council (ICDC) through daily

inspections. Wherever necessary, work performance is monitored at coordinating meetings. The DMMC conducts monitoring meetings regularly and reviews progress of the activities.

Sevanatha coordinates the activities between the DMMC and the donor agencies and the community. Refer to the Attachment 2 on “Monitoring of Progress.”

## **PROCESS DESCRIPTION**

The change brought about in the area of solid waste management was deliberate. The DMMC realized that it had failed in its duty to provide a clean environment, in not giving due priority to the solid waste problem, and in not having a plan.

The DMMC formulated a policy for solid waste management and planned to carry out various programs such as sharing responsibility with other sectors, community involvement, and solid waste reduction programs.

Implementation of this program was carried out with the active and dedicated participation of donor assisted project personnel, NGOs, community based organizations, private sector entities, government boards and corporations, and the provincial councils. The DMMC takes the lead role.

In the solid waste reduction project at Badowita, an action plan has been prepared to assign responsibilities and agree on target dates. (Refer to Attachment 3 in Action Plan.)

A working group comprising the key participants and stakeholders has been appointed by the DMMC for the purpose of implementation, review of progress, resolving problems, and evaluation of performance. The working group meets once a month. Problems had cropped up at the inception, but the working group was able to resolve them during meetings. Meetings are conducted in a way conducive to problem solving, so that problems are now minimal.

In addition to the working group, the Badowita project team has set up a council for the purpose of arranging and maintaining the waste collection and sorting center (WCSC). (Refer to Attachment 4 on “Activities and Responsibilities of SWSC.”)

Monitoring of progress is carried out by the Integrated Community Development Council, DMMC, Sevanatha, and other officers. (Refer to Attachment “Monitoring Progress.”)

In the contracting out of services, the only cost involved is the amount paid to the firm. The DMMC carries out the supervision of the activity, using the available staff such as PHIs and health officers.

In the solid waste reduction project, costs are shared between the DMMC, foreign-funded projects, and the community. DMMC costs factors are as follows:

- Collection of waste,
- Hand carts and other equipment,
- Polysack bags for waste separation,
- Notice boards, and
- Cost of removing degradable waste (tractors, fuel, labor etc.)

Costs for the activities in Badowita are approximately US\$ 6,500. This figure is for the waste service in the Badowita area, which includes approximately 1200 families and covers approximately 10 hectares of land.

### END RESULT

The DMMC has benefited from this new practice of privatization of solid waste collection and disposal and solid waste reduction programs. The DMMC has minimized vehicle maintenance costs and saved approximately Rs. 250,000 for hired vehicles. Payments to the contracting company increase with higher fuel prices and wage increases. However, if the council were to have continued, costs would have been much higher.

*The DMMC has benefited from this new practice of privatization of solid waste collection and disposal and solid waste reduction programs.*

A regular collection program is in place and residents' complaints have been minimized. Partnerships with the private sector have proven to be a success and a good practice in providing services to the public.

The following have also benefited:

- Residents of the four wards where solid waste collection and disposal are privatized. They benefit from improved environment and cleanliness.
- Families in the Badowita low income settlement with –
  - a. Better facilities for solid waste collection and removal and
  - b. Extension of the other services such as supply of electricity, drinking water, etc.

The waste reduction program associated with the Badowita community is a unique example of a partnership with community groups, NGOs, and aid agencies to find a solution for garbage removal. A reduction in the volume of garbage removed has taken place. After sorting for recycling and reusing, the remaining waste represents about 10 percent of the original load. Use of labor to remove garbage is also reduced. Only eight laborers are employed by the DMMC for the entire community.

From the point view of the Badowita, the benefits are:

- Employment opportunities and a clean and healthy environment;
- Development of a social cohesion and brotherhood in the neighborhood;
- Opportunity of learning from experience in other situations, i.e. JICA volunteers; and
- Additional income earned through the sale of garbage.

Badowita was chosen for the introduction of solid waste reduction practices due to several reasons:

- 1) the serious hygienic and environmental problems in that area
- 2) active participation and leadership in that community
- 3) support from NGOs and other agencies
- 4) the financial support from donor organizations

The practices in Badowita will be replicated at the Ratmalana railway area and into two other wards – Malwatta and Katukurunduwatta.

### LESSONS LEARNED

The experience by the DMMC and the urban community, both at the low-income levels and the higher strata, has created opportunities for better performance in the sharing of responsibilities and the development of partnerships.

#### Key Success Factors

- Strong commitment on the part of the DMMC to deliver services efficiently. Majority of the councilors supported the privatization and source separation projects and stood firmly by it. All objections from within and outside the DMMC have been overcome.
- Cooperation extended and the support given by the rate-payers. Some objections faded away when the service improved.
- The contracting firm clearly displayed its interest and the capacity to provide the service efficiently.
- Adequate supervision carried out by the DMMC officers.
- Good management of the collection and disposal program by the municipal department headed by the deputy commissioner with the assistance of the working group.
- Success of the solid waste reduction project at Badowita is primarily due to the dedicated effort of the Integrated Community Development Council (CBO) and all of its members.
- The leadership and the contribution provided by the DMMC.
- Valuable contributions from the two NGOs – Sevanatha and Seth Sevana, especially the Sevanatha that was at the base of the community mobilization, training, and other programs.
- The support of aid agencies such as JICA volunteers has contributed to community mobilization.
- Assistance from the SCP and USIP.
- Assistance of state boards and corporations, i.e., SLLR and DC and NHDA.
- Assistance and guidance provided by the Western Provincial Council.

### OBSTACLES ENCOUNTERED

In the privatization of solid waste collection and disposal, there were objections from councilors and private citizens. This was an obstacle to privatization, which caused a delay in the decision-making process.

No serious problems have been confronted in the Solid Waste Reduction Community Project in Badowita. However, rivalries among certain families in the community group posed an obstacle

to progress. Leadership was sometimes criticized as being undemocratic and authoritarian. Misunderstandings created suspicion among family members. Delay on the part of functions of institutions, such as granting approval and providing facilities have also been obstacles in Badowita to some extent.

### **Strategy to overcome obstacles**

Obstacles to privatization have been overcome through:

1. Policy decisions of the council. It is incumbent on the part of the councilors and staff to uphold and implement such decisions;
2. Discussions and explanations at staff meetings or at working group meetings;
3. Community mobilization programs and problem solving at working group meetings; and
4. Public awareness programs.

In the solid waste reduction activity at Badowita, community mobilization programs and public awareness programs have been successful in overcoming dissensions and obstacles. These include:

1. Distribution of printed leaflets among residents;
2. Use of the public address system;
3. Meetings with community leaders and representatives; and
4. Demonstrations in sorting and other steps.

### **MAIN MESSAGE**

The waste reduction program exemplifies good urban governance principles. The DMMC has involved the community significantly, encouraging the community to play an active role in solving their solid waste and sanitation problems with assistance from NGOs and private sector organizations.

Good leadership practices have been demonstrated by the President, Secretary and other Office Bearers of the ICDC, making their plans and proposals a reality. The DMMC, through the Department of Solid Waste management and Environment and the Working Group, provided this community with necessary leadership and support for effective performance.

The ICDC activities are transparent. The WC&SC keeps accounts of the transactions up to date. Accounts books are maintained well. The DMMC examines the accounts and is also encouraged to update council accounts and to maintain transparency in the financial transactions and related activities.

While the urban environmental services such as solid waste disposal, city cleaning and good maintenance of drains have been improved, revenue generation by the community and minimizing of costs by the DMMC have taken place.

The Badowita community has worked through the process of identifying the resources and determining their priorities and objectives and the DMMC has taken decisions to carry out its

responsibilities to provide necessary infrastructure, financial and technical assistance to them. This facilitates the community based economic development process.

## **RECOMMENDATIONS**

1. Mechanisms should be introduced through systems and procedures to establish close links between the local authorities and the community organizations and involve them in the decision-making process.
2. Committee system in the local authorities should be strengthened by making non-governmental cooperation principles compulsory. This enables community organizations to take part in decision-making processes and make local authorities more responsive to community needs.
3. Introduce systems and methods of improving the revenue of local authorities. Traditional sources have mostly stabilized. Revenue from services is declining. Revenues from industrial or commercial enterprises, through partnerships or joint ventures need to be sought.
4. Remove restrictions and limitations that prevent local authorities from taking part in enterprises in the free market, jointly or otherwise.
5. Provincial councils should devolve more powers and functions to local authorities, to enable them to find revenue resources and utilize them for the benefit of the residents as provided in the Constitution.
6. The DMMC should seek opportunities to share its experiences with other local authorities. Its experience with cooperation and citizen participation would be useful to other wards.

**KEY STEPS OF THE PROJECT**

<b>Stage</b>	<b>Description of tasks undertaken</b>	<b>Timeframe</b>	<b>Implementor</b>
<b>Step 1</b>	Identification of key stakeholders (partners)	1 month	DMMC
<b>Step 2</b>	Forming a Project Working Group at DMMC	1 month	DMMC
<b>Step 3</b>	Meetings and consultations to prepare a work plan	1 month	PWG
<b>Step 4</b>	Identification of responsibilities of key partners	1-2 months	DMMC & PWG
<b>Step 5</b>	Carrying out community awareness campaigns	2 months	Outsourced
<b>Step 6</b>	Municipality handling of biodegradable waste	2 months	DMMC
<b>Step 7</b>	Community engaged in source separation of waste	3 months	CDC
<b>Step 8</b>	Developing a mechanism for community handling of non-biodegradable waste.	(not in place)	
<b>Step 9</b>	Community engaged in collection and sale of recyclable waste	3 months	CDC
<b>Step 10</b>	Monitoring of the progress and experience sharing with other municipalities and government institutions.	3 months	CDC & DMMC

**MONITORING PROGRESS**

<b>Entity</b>	<b>Responsibility</b>	<b>Action</b>
Integrated CDC	Handling of all works related to collection of waste up to the sale of such items and the management of the WCSC	Daily inspection and carrying out assigned tasks and duties.
DMMC	Overlooking the entire project and conducting three monthly progress review and monitoring meetings and cleaning bottlenecks	Weekly inspection of area by Supervisors and Health Wardens
Sevanatha JOCV	Coordinating between the MC and other Donor agencies	Documenting the entire process. Writing progress reports and good practice papers six months after the commencements of the construction of the WCSC.



## ACTION PLAN OF WASTE REDUCTION PROGRAMME FOR BADOWITA AREA

**Objective:**

Waste reduction at the household level and minimize the quantity of final disposal

Action	Time target	Responsibility	Cost
Preliminary Discussion	12-12-2001	U.S.I.P./D.M.M.C.	
Awareness Programme & Workshop for relevant stakeholders	20-02-2001	D.M.M.C./U.S.I.P./J.O.C.V./Sevanatha Community Organization	
Set up of Working Group	25-02-2001	D.M.M.C.	
Prepare a Work Programme & Action Plan	01-03-2001	Working Group	
Call for tenders to purchase necessary items	15-03-2001	D.M.M.C.	
Take over the land from SLLR & DC	01-04-2001	U.S.I.P.	
Open tenders for necessary items	05-04-2001	D.M.M.C.	
Obtain the planning Clearance for building	10-04-2001	U.S.I.P.	
Entrust the building construction of collection center	30-04-2001	U.S.I.P./community Organization	400,000.00
Purchase the separation bags and other items	02-05-2001	D.M.M.C.	50,000.00
Appoint the necessary employees and supply necessary items	05-05-2001	D.M.M.C.	
Final discussion of the project with the Working Group	10-05-2001	D.M.M.C.	
Educate the residents	11-05-2001	Working Group	2,000.00
Implement the project	12-05-2001	Working Group	5,000.00
Progress review meetings	Twice a month	Working Group	

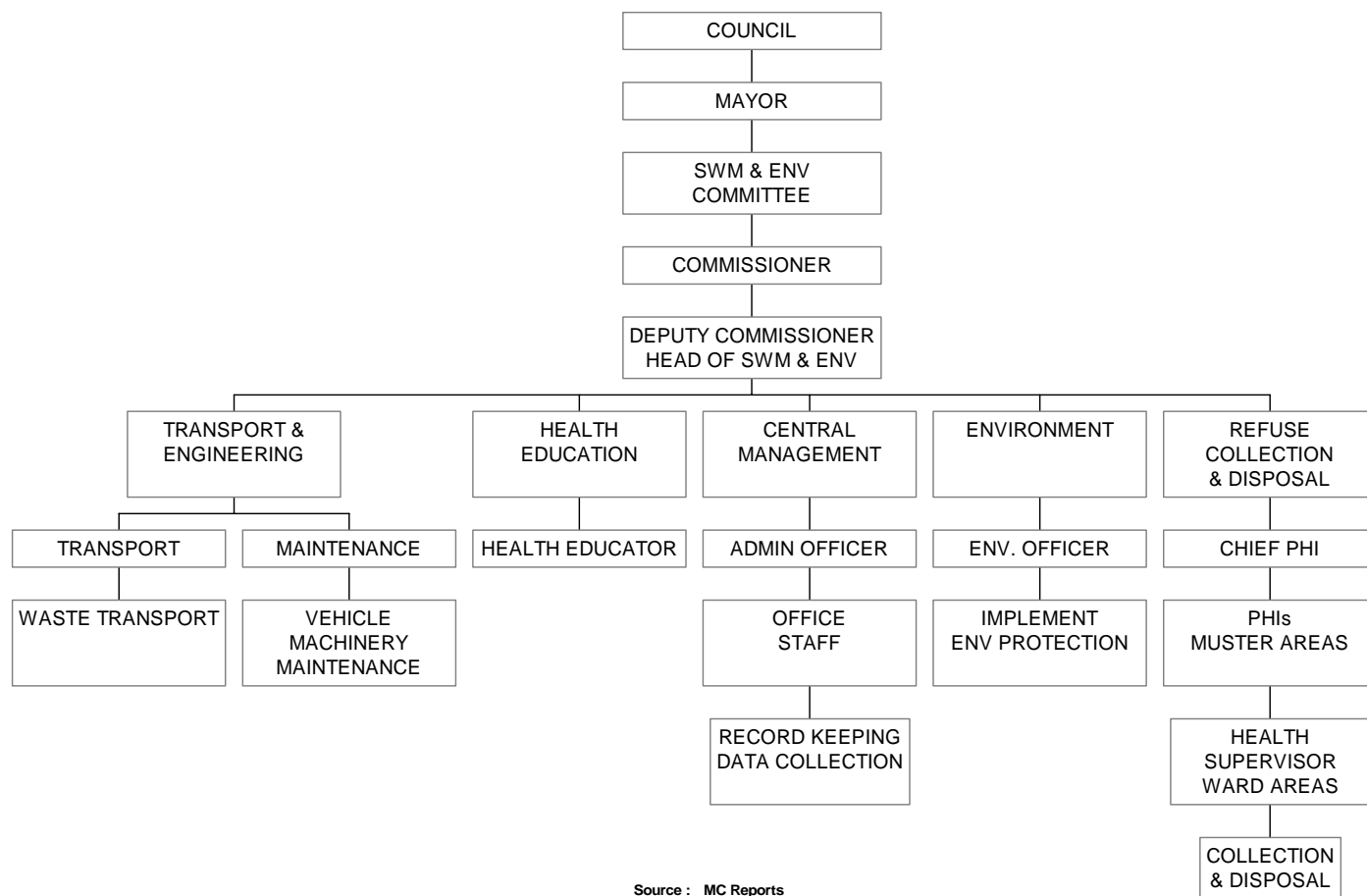
## ACTIVITIES AND RESPONSIBILITIES OF SWSC

Person	Responsibility	Community Assistance Required
Public Health Inspector (1)	Monitoring and supervising of laborers	Provide support to and cooperate with the DMMC and the agreed work plan. Identify areas of weaknesses and inform the Working Group
Health Wardens (2)	<ul style="list-style-type: none"> <li>Assist in Community Development activities</li> <li>Create awareness among the community regarding solid waste management</li> <li>Coordination of project activities</li> </ul>	Assist Health Wardens in supply of social, economic and environmental information of the settlements
Manager – Waste Collection & Sorting Center	<ul style="list-style-type: none"> <li>Handle daily Management of WCSC</li> <li>Maintenance of Accounts etc.</li> <li>Report all activities in brief documentation style</li> <li>Coordinate between institutions and Departments</li> </ul>	
Management Assistant (1)	Assist Manager of WCSC in all activities.	
Laborers (2)	<ul style="list-style-type: none"> <li>Collection of non-biodegradable waste from all 6 stages.</li> <li>Transportation and storage of all such collected waste in the WCSC.</li> <li>Publicly announce messages to the community</li> <li>Clean and maintain the WCSC</li> <li>Manage and maintain equipment in the WCSC.</li> </ul>	Sorting of waste into specified method.
Caretaker / Watcher	Handle all security aspects of the WCSC	Assist the management in providing security to the WCSC.

## Case Study on the Dehiwala-Mt. Lavinia Municipal Council

Attachment V

### ORGANIZATION CHART SOLID WASTE MANAGEMENT & ENVIRONMENT DEHIWALA-MOUNT LAVINIA MUNICIPAL COUNCIL



## Attachment VI



## **BIBLIOGRAPHY / REFERENCES**

- Case study of public / private participation on solid waste management of DMMC.
- Framework for organizing, neighborhood-based demonstration project, Dehiwala – Mt. Lavinia MC
- Case study of Urban-Low Income Community of Badowita in the DMMC area
- Municipal Commissioner – DMMC
- Public – private partnership for the urban Environment options and issues ( Newyork 1999)
- DMMC Budgets (1998 – 2001)

## **INTERVIEWS**

1. The Mayor Dehiwala / Mt. Lavinia MC
2. The Municipal Commissioner DMMC
3. Deputy Municipal Commissioner DMMC
4. Municipal Accountant, DMMC
5. Chief Public Health Inspector DMMC
6. The Public Health Inspector, in charge of Badowita Project
7. Environmental Officer, DMMC
8. Chief Clerk, Solid Waste Management Division
9. President of the ICDC
10. Secretary of the ICDC Mrs. Malini
11. Manager, Waste collection and sorting Centre at Badowita
12. Representation of Sevanatha and the Ministry of Public Utilities



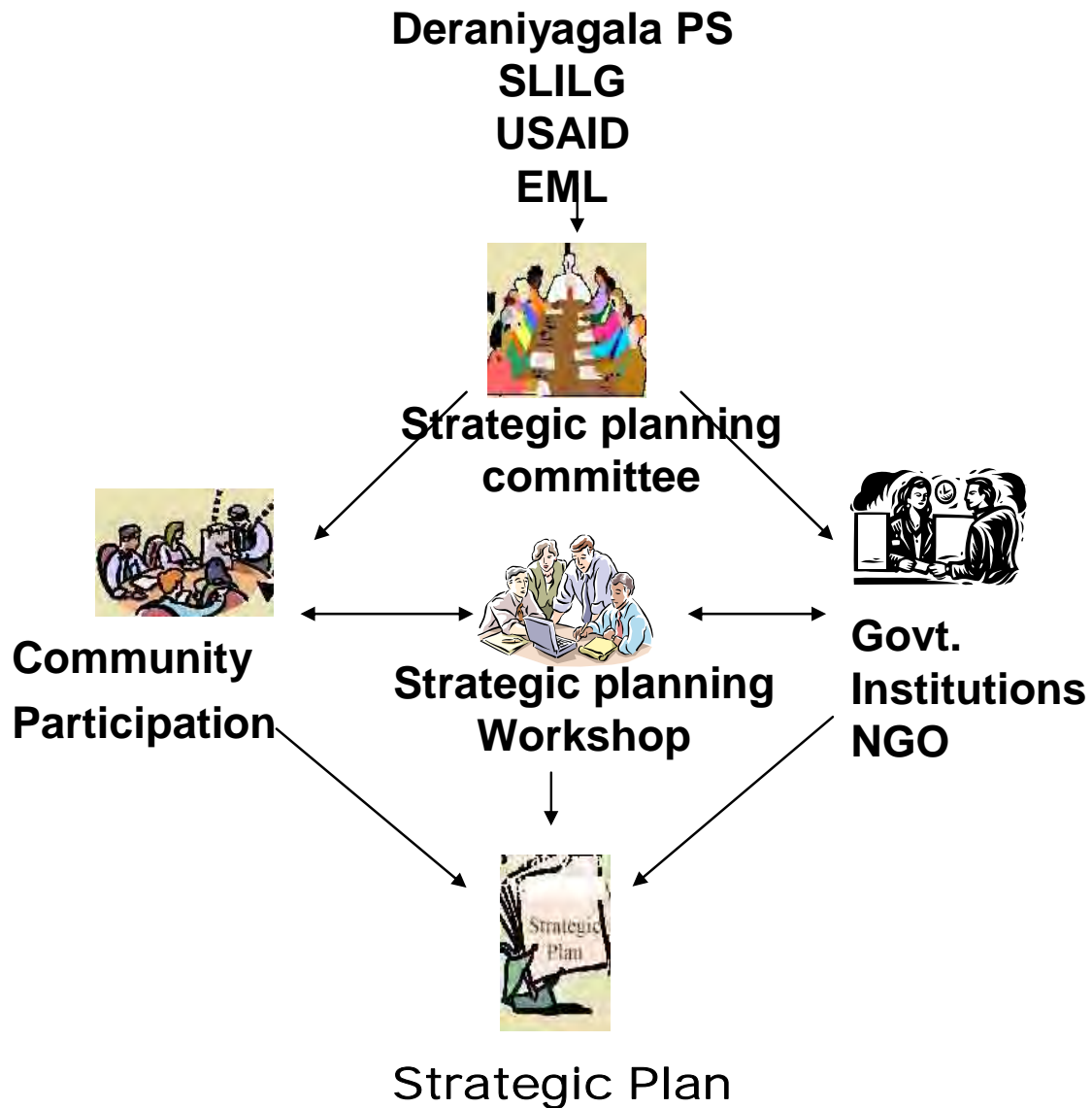
# Good Urban Governance in South Asia (GUGSA)

DEMONSTRATION PROJECT  
SRILANKA

***Demonstrating Principles of Good  
Urban Governance at Deraniyagala,  
Srilanka***

Prepared by  
EML Consultants





**Visioning for Deraniyagala and Implementing the Solid  
Waste Management Project**

**EML Consultants**

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# 1 Background

The **Demonstration Project for Good Urban Governance at Deraniyagala**, described in this document consisted of two stages of work, the first being a participatory strategic planning exercise and the second being the formulation and implementation of a solid waste management project. The first stage, the strategic planning process, was carried out through the convergence of two USAID funded projects – the Good Urban Governance in South Asia (GUGSA) Project and the South Asia Regional Conference on Disaster Mitigation and Urban Infrastructure Financing.

USAID's Regional Urban Development Office for South Asia (RUDO/SA), in collaboration with the region's bilateral USAID Missions, initiated a three-year, three-location (Bangladesh, Nepal, and Sri Lanka) activity in October 2001 to promote Good Urban Governance In South Asia. GUGSA activities document, disseminate and demonstrate best practices from local government bodies to improve the response capacity of local urban governments within the country and will culminate in a Regional Conference for dissemination. The five principles that define good governance are Transparency, Predictability, Accountability, Rule of Law and Participation.

The early phases of GUGSA involved developing an inventory of municipal governments that already have in practice the principles of good urban governance and documenting the most notable of those, for dissemination to and replication by other municipal governments in Sri Lanka. The later phase involved working with a local or municipal authority in developing a pilot project, that both addresses a urban service need within their community, as well as demonstrates the principles of good urban governance in the planning or implementation phase of the proposed project.

The South Asia Regional Conference on Disaster Mitigation and Urban Infrastructure Financing activity involved two phases of work

- The first phase included designing and organizing a regional conference, which took place March 14-15, 2003 in Colombo, Sri Lanka.
- The second phase of the activity included 1) developing a Resource Book to serve as a guide to those engaged and interested in incorporating disaster mitigation into capital investment planning and programming; and 2) technical assistance to develop demonstration activities in up to three selected urban areas that demonstrate the institutionalization/mainstreaming and ultimately, the financing of disaster mitigation measures in urban infrastructure. The learnings from the demonstration projects were to be included in the Resource Book.

During the search for an appropriate mainstream project in which to demonstrate the integration of disaster mitigation, the opportunity of integration with the USAID-funded GUGSA pilot project in Sri Lanka came up. Therefore it was decided to integrate the demonstration activity of disaster mitigation into this strategic planning process. The activities and process under the pilot project phase would also be documented and disseminated for replication and demonstration purposes.

## ***1.1 Conceptual Framework of the Demonstration Project in Sri Lanka***

The resources and activities of the GUGSA and Disaster Mitigation projects were converged to carry-out a joint, two-phased pilot (demonstration) project. The first phase involved the development of a municipal strategic plan that integrates disaster mitigation concerns for a municipal/urban area that has a demonstrated need for disaster mitigation. This is a multi-stakeholder, participatory, strategic planning exercise, led by the local authority, which primarily addresses the mainstream development issues and features a disaster mitigation dimension as a crosscutting theme. The second phase of the project focuses on implementing one of the specific projects identified in the strategic plan that is about, or related to, a prominent disaster mitigation concern or need.

## ***1.2 Selection of Deraniyagala as Demonstration Project Site***

Representatives of PADCO and TCGI-EPC conducted field visits from September 6-13, 2003. Prior to the field visit, two sites—Ratnapura and Batticaloa—were short listed as possible sites for the pilot project. Environment Management Lanka (EML), the local consultants for the project had conducted background research into the planning and disaster history of each site and to identify NGOs and disaster mitigation consultants to participate in the project. During the field visit, a meeting was organized with the Ministry of Home Affairs, Provincial Councils & Local Government, Sri Lanka Institute of Local Governance (SLILG), USAID/Sri Lanka, Center for Housing, Planning and Building (CHPB) and EML.

The purpose of the meeting was to determine the best location for the pilot project. The two previously short listed sites—Ratnapura and Batticaloa—were both rejected. There were travel restrictions to Batticaloa, making it an impractical choice, and Ratnapura has already been involved in several projects related to disaster mitigation and the inclination was to spread out the USAID resources to other areas.

USAID expressed interest in selecting a site where there were on-going government-sponsored programs in an effort to build synergy with convergent efforts, increase the impact of the pilot project, and to provide opportunities for scaling up the activity. SLILG was at that time conducting a Capacity Building Program for 25 local authorities. This program's objective was to build the capacity of 25 selected Local Authorities:

- to provide quality services in an efficient, productive and democratic manner
- to effectively utilize the powers devolved to them for fulfilling the responsibilities delegated to them
- to establish a democratic administration based on the principles of good governance
- to become self-reliant

Since the objectives of the SILG program converged with those of the pilot activity, the group decided to hold the pilot activity in one of the 25 local authorities most affected by disasters.

Of the 25 local authorities, Deraniyagala was selected because of its vulnerability to landslides. After selecting the site, the group decided that SANASA would be the most

appropriate NGO to facilitate the participatory planning process, given their broad grass roots movement and base in the Kegalle district near Deraniyagala.

## **2 The Strategic Planning Process**

### ***2.1 An Introduction to the town***

Deraniyagal Pradeshiya Saba (PS) is located in the South-Eastern part of the Kegalle District which lies in the northern part of the Sabaragamuwa Province. The limits of Pradeshiya Saba, Divisional Secretariat and electorate are same for Deraniyagala. The boundaries of the Deraniyagala Division are Ambagamuwa Division of Nuwaraeliya District to the East, Kuruwita Division of Ratnapura District to the South and Dehiowita Division of Kegalle District to the North and Kelani ganga

From the mountain ranges in the east of the Division, there flows the Magala – Oya, Karawila ganga, Miyanawita – Oya, Polgaswatta – Oya, Panakura and Kehelwala canals. These water resources feed the Seetawaka ganga that protects the moisture of the soil and creates beautiful water falls which attracts tourists. This river and its branches preserve the moisture required for tea plantation. To the East of the Division, the mountain cliffs and valleys are covered with natural vegetation.

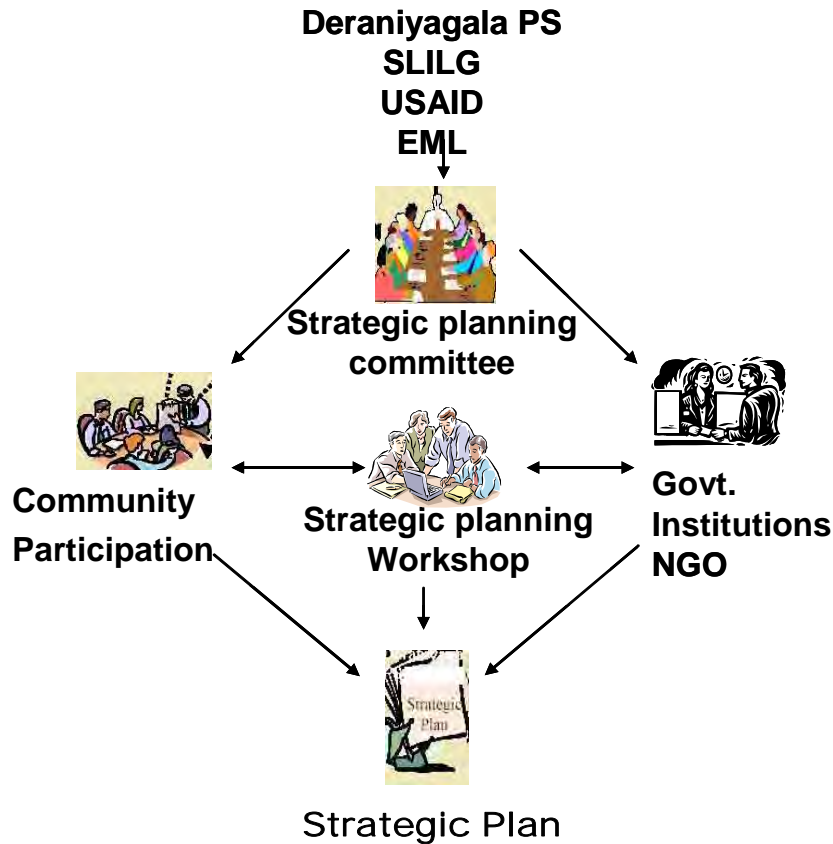
The main plantation in Deraniyagala is rubber, but tea plantation, coconut and other minor crops are increasing. Paddy too is cultivated in low-lying areas. In the Division, existence of plain land is low; and hilly lands are seen everywhere. Annual average rainfall recorded (for past 10 years) at Anhettigama meteorological station is 4051.68 mm. Very high monthly rainfall is recorded in April – June and September - October periods (more than 400 mm)

### ***2.2 Objectives of the Demonstration Project***

The objectives of this Strategic Planning exercise are,

- To identify problems and analyze causes for each plan components
- To find solutions for problems
- To identify new opportunities
- To create a vision for Deraniyagala
- To list out actions required to realize the vision

## 2.3 The steps in the process



### 2.3.1 The Training Workshop

The training program organized on March 9, 2004 at Deraniyagala was to prepare the office bearers of the Local Authority for conducting the participatory strategic planning workshop to be held later.

The training program was held from 10 AM to 4 PM. The entire proceedings were in Sinhalese language. Inputs in English from Mr. Balachandran were immediately translated by one of the local facilitators. Participants from the Tamil speaking communities were also conversant with spoken Sinhala and therefore participated actively in the discussions.

#### Session 1

The Chairman of Deraniyagala Local Authority, Mr. Anura Kuruppu introduced the purpose of the training session and welcomed all present. Ms. Nandini Gunasekera, Deputy Director (Research) SLILG, elaborated on the background of the training session and placed it in the context of the changing environment of local governance and therefore the need to build capacity at local level for addressing developmental needs.

Dr. Manitha Weerasuriya explained the expected outcomes of the training session and the format to be followed during the day. This was followed by a presentation on strategic planning methodology. The presentation, prepared by B.R. Balachandran (representative

of TCGI-PADCO-EPC) and delivered by Buddhika De Silva of EML, took the participants through a step-by-step description of strategic planning for Local Authorities. Examples from the successful case study of Bhuj city in India were used to illustrate the steps. At the end of the presentation, questions on the methodology, raised by the participants were answered by Mr. Balachandran, Ms. Nandini, Dr. Manitha and Mr. Buddhika.



This was followed by a discussion on key issues for strategic planning in Deraniyagala. The issues raised were captured as bulleted points on flip chart sheets. The issues discussed are briefly enumerated below:

- Improper land use practices in agriculture
- Sanitation problems due to lack of finance, lack of education, negative attitudes and bad habits
- Need for Solid Waste (Urban) Management
- Alcoholism is a major issue.
  - Need to conduct a survey, identify most affected areas and map them
  - This issue should be addressed strongly in the plans
- A program to protect natural resources is required – most such resources are in rural areas.
- Educational and Social inadequacies among many families
- Need for conducting educational programs - about health and the 5S program
- Need to prioritize needs of Deraniyagala
- Lack of Socio-economic data
- Need for attitudinal changes among citizens to ensure proper utilization of investments in development projects
- Insufficient participation and contribution from poor people. (Ms. Nandini highlighted an example from Kerala State, which is one of the most efficient states, by power decentralization in India. “Kutumba Shri” programme collected Rs. 26 million from poor women (10/= each) and allocated for rural development. People intervene strongly to monitor the implementation by the administrative authority.
- Reasons for failure of similar type of programs in Sri Lanka were identified as:
  - Communication gap between officers and people
  - Lack of involvement of people, hence pressure on the LA is low
- Implementation of plans are highly dependent on the officers / members and Chairman

The strategies and related facts to be considered in the planning process were also taken into discussion.

- Decision making should be well-informed to make it correct and effective
- Maximum effort should be taken to improve awareness and to strengthen the public participation
- Awareness programs are required for schools and people in estates.
- Stakeholders should not be the “top level persons” always.
- Principals, teachers of schools should be included as stakeholders
- Estate owners should be invited as stakeholders
- Urban planning and rural planning should be done properly and methodically

- Projects identified should be prioritized according to resources available
- Practice of implementing same kind of projects by multiple institutions is not effective

## **Session 2**

The second session was utilized mainly to train the participants in the use of SWOT analysis as a planning tool. The subject of solid waste management was chosen for the trial run. Participants listed all positive and negative points that came to mind. The facilitators for the session, Mr. Balachandran, Dr. Manitha and Mr. Buddhika then helped the participants organize their points under the headings “Strengths, Weaknesses, Opportunities and Threats”. Ms. Nandini sat among the participants and spurred their thinking, translating not only language and terminology, but also ideas.

Once the SWOT table was completed, the participants articulated, in a one-liner, the Objective that they (the Local Authority) would like to achieve in the area of solid waste management. Following this, there was a brief discussion on strategies and approaches. The facilitators briefly described ‘Best Practices’ in solid waste management from other parts of the country and also other countries. The participants articulated several Strategies that build on their Strengths, overcome their Weaknesses, utilize available Opportunities and guard against Threats. The strategies were then turned into discrete Proposals for which it would be possible to estimate cost/revenue and prepare an implementation strategy.

## **Concluding session**

In the concluding session, the participants made a list of 11 plan components that they would like to address in the proposed strategic planning workshop. These are:

1. Solid waste (urban garbage) management
2. Disaster management
3. An efficient health service
4. Development of road network
5. Preparation of physical plan
6. An efficient sanitation service
7. Development of public sports and recreation facilities – urban & rural
8. Improvement of living conditions of people in estates
9. Development of tourism industry
10. Capacity building of PS
11. Explore the opportunities of the means of incomes

The tentative dates for the workshop were determined as April 27 and 28, 2004. The participants were of the opinion that a two-day workshop would be most effective if it were held away from Deraniyagala where the participants stay overnight and are able to focus on the planning process.

### **2.3.1.1 Outcomes of training program**

The main outcome of the training program is that the office bearers of the Local Authority of Deraniyagala are prepared to conduct the strategic planning workshop. At the end of the one-day training program, the Local Authority successfully

- Identified key issues/ components of the Strategic Plan for Deraniyagala
- Explored the use of SWOT analysis to identify Objectives, Strategies and Proposals for specific plan components
- Understood the purpose of integrating disaster mitigation into all relevant proposals
- Understood the criteria for stakeholder identification
- Decided on tentative dates and venue for the workshop
- Decided to participate in the collection and compilation of data for the workshop

### **2.3.2 Strategic Planning Workshop for Deraniyagala Local Authority**

After about six weeks of preparation which included several visits to Deraniyagala and interactions with the concerned officials, the Strategic Planning Workshop was held on the 27th and 28th April 2004 at the SANASA Campus Ltd., Paragammana, Hettimulla, Sri Lanka.

#### **2.3.2.1 Outcomes of Strategic Planning Workshop**

At the end of the strategic planning process, which involved a cross-section of stakeholders from the city, there was a collective consensus on their vision for the city. The more specific outcomes are that the stakeholders of Deraniyagala under the leadership of their local body:

- Identified problems and analyzed causes for each plan component
- Identified potential solutions for problems
- Identified new opportunities
- Created a vision for Deraniyagala
- • Listed out actions required to realize the vision
- • Identified a project for implementation in collaboration with an NGO and with funding through the GUGSA project.
- • Incorporated Disaster Mitigation as a major plan component and as a cross-cutting theme.

#### **2.3.2.2 Vision for Deraniyagala**

**A thriving community in Deraniyagala, sustaining a high quality of life while safeguarding the remarkable natural environment and historical heritage by improving local skills and harnessing our community spirit with a mechanism to attracting youth, women and people living in plantations.**



### 2.3.2.3 Priority Areas for Action

Deraniyagala PS has identified eight prioritized “Plan Components” for the future development. Each plan component has a vision, strategies and proposals to achieve the goals. The background of each plan component and consequent goals and key proposals to be implemented are stated below.

- Road Network Development & Physical Planning
- Public Services Development (Health, Water Supply, Electricity)
- Capacity Building of Local Authority & Revenue Generation
- Improvement of living conditions of people in plantations/estates
- Economic Development
- Solid Waste Management
- Disaster Management
- Cultural, Educational & Sports and Recreation Facilities Development

For each component, a SWOT analysis was carried out. Based on the analysis, a Vision (for that component), Strategies and Proposals were prepared.

To illustrate the process, the details of the Solid Waste Management and Disaster Management are presented in the next two sections.

## SOLID WASTE MANAGEMENT

### SWOT Analysis

STRENGTHS	WEAKNESSES
<ul style="list-style-type: none"><li>• Interest of the PS</li><li>• Support from the health sector</li><li>• Expert knowledge availability</li><li>• Well established educational system – easier to raise awareness in the younger generation</li><li>• Fairly educated youth &amp; elders</li><li>• Equipment / machineries &amp; laborers required is (partly) available</li><li>• Legal provisions</li><li>• Computer facility available (better than other PSs)</li><li>• Availability of environmental officer</li></ul>	<ul style="list-style-type: none"><li>• Weak participation &amp; adverse attitudes of community</li><li>• Lack of land availability for dump site</li><li>• Bad management practice on solid waste</li><li>• Being an un-planned town</li><li>• Environmental committee is not functioning</li><li>• Lack of data for present situation which are essential in decision making</li><li>• Non availability of systematic method by trader-community to release waste</li><li>• Lack of awareness of technology that currently used in Sri Lanka</li></ul>

	<ul style="list-style-type: none"> <li>• Laborers required, but recruitment prevented by Government decision to prevent new recruitments of staff</li> <li>• Inaction by existing labor force</li> <li>• Political interferences</li> </ul>
<b>OPPORTUNITIES</b> <ul style="list-style-type: none"> <li>• To get support of Divisional Environmental Committee</li> <li>• Production of Compost by separating organics from garbage &amp; hence getting an income</li> <li>• Coordination between other adjacent PSs</li> <li>• Ability to get assistance from NGO's</li> <li>• Ability to procure technical assistance</li> <li>• Ability to solicit cooperation of people representatives</li> </ul>	<b>THREATS</b> <ul style="list-style-type: none"> <li>• Health problems ex: Dengue, Malaria epidemics</li> <li>• Polythene and plastics</li> <li>• Pollution of water bodies</li> <li>• Bad odors</li> <li>• Loss of beauty of the environment</li> <li>• Heavy rains</li> </ul>

### **Objectives**

An efficient solid waste management for Deraniyagala Urban area within next 3 years

### **Strategies**

- Conduct awareness programs
- Promoting domestic scale compost production
- Capacity building of PS for solid waste management
- Identification of economically viable projects

### **Proposals**

- Conduct competitions such as posters, essays etc.
- Distribute domestic compost units
- Install a composting plant for garbage collected in urban area of Deraniyagala

## **DISASTER MANAGEMENT**

### **SWOT Analysis**

<b>STRENGTHS</b> <ul style="list-style-type: none"> <li>• Availability of following institutes</li> </ul>	<b>WEAKNESSES</b> <ul style="list-style-type: none"> <li>• Lack of attention of people on Disasters</li> <li>• Non-sustainable approach in</li> </ul>
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<ul style="list-style-type: none"> <li>• Pradeshiya Saba</li> <li>• Divisional Secretariat</li> <li>• Police Station</li> <li>• Hospital</li> <li>• Schools</li> <li>• Post Office</li> <li>• NGO's &amp; Voluntary Associations</li> <li>• Tea &amp; Rubber Research Offices</li> <li>• Interest displayed by Public Servants</li> <li>• Co-operation of Chairman &amp; PS members</li> <li>• Interest displayed by religious leaders</li> <li>• Interest displayed by the community</li> <li>• Powers of the PS</li> <li>• Availability of Environmental &amp; Field Officer</li> <li>• Collection of data on landslides</li> <li>• Aid from international organizations</li> <li>• Identifying protected area</li> <li>• Identifying necessary resources</li> <li>• Availability of Forest reservoirs</li> </ul>	<p>development</p> <ul style="list-style-type: none"> <li>• Unauthorized settlements in reservations</li> <li>• Illegal sand mining</li> <li>• Deforestation</li> <li>• Negligence of Health habits</li> <li>• Illegal metal quarries (excessive use of explosives )</li> <li>• Peoples negligence (inattention) on man-made damages to environment</li> <li>• Lack of availability of planners</li> <li>• Lack of environmental protection attitudes</li> <li>• Neglecting environmental impacts when fulfilling the private needs</li> </ul>
<p><b>OPPORTUNITIES</b></p> <ul style="list-style-type: none"> <li>• Involvement of government in management process <ul style="list-style-type: none"> <li>• NDMC</li> <li>• NBRO</li> </ul> </li> <li>• Intervention of NGOs (eg. SARVODAYA)</li> <li>• Co-operation from outside international/local organizations <ul style="list-style-type: none"> <li>• USAID</li> <li>• EML</li> </ul> </li> <li>• Ability to get laws on environment</li> </ul>	<p><b>THREATS</b></p> <ul style="list-style-type: none"> <li>• Area being mountainous with steeper slopes</li> <li>• Area being subject to lightening</li> <li>• High rainfall</li> <li>• Heavy change of climate</li> <li>• Shortage of lands</li> <li>• Construction of houses in reservation due to population</li> <li>• Poverty</li> <li>• Change of Govt. policies detrimental to</li> </ul>

passed by the Govt. • Identifying religious places (eg. Temples, Devalas etc.)	environment
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Most of the places in the hilly area are subject to land slides . Elpothakanda in Dodawatta GN Division is a glaring example. Most vulnerable areas to landslides are Basnagala, Panakoora, Dodawatte, Rasnakkanda, Udabage, Anhettigama and Hingurana GN Divisions (listed according to occurrences of previous incidents. Five deaths were recorded officially at incidents in 1940's and 1979 – 80 at Udabage. In another previous incident occurred in 1942's, at Basnagala, deaths of an entire 5 families and damages of properties were reported. According to sources of Divisional Secretariat, there are around 337 houses are under the danger of landslides. Though the adjacent Dehiowita, Ruwanwella and Yatiyantota Divisions go under floods, Deraniyagala has only little threat recorded in the history. A stream flow gauging station is located in the Seethawaka ganga at the Deraniyagala town.

### **Vision**

Establish a sustainable Disaster Management System within next 3 years for Deraniyagala

### **Strategies**

- Raise awareness of people
- Identifying places vulnerable to disaster
- Preparation of systematic procedure in construction of buildings and houses in the Division
- Establishment of a disaster management committee

### **Proposals**

- To bring awareness among people, community leaders by holding workshops and by displaying posters of school children with assistance of Govt. Institutions
- Evacuate people from disaster prone areas and resettlement program
- Making the existing laws effective
- Forestation and construction of flood protection channels, use of Sloping Agricultural Land Technology (SALT) in landslides prone areas
- Protecting natural channels (Maladola) & maintaining water flow
- Introduce proper methods for improper tea plantations
- Increase the awareness and provide consultancy

### 3 The Process of Implementation of Solid Waste Management

The objective of the project was better solid waste management system within the PS whilst minimizing the waste through public participation. The project was implemented in four stages

- Inception - Recruitment of a project officer, establishment of a project office at the Pradeshiya Sabha, creating awareness to the members of the PS and finalizing the work plan
- Creating awareness and building commitment with the officers of the institutions and organizations of the PS area
- Conducting programs on awareness creation and consultations with the public
- Improvement of the environmental conservation and health in the PS area through introduction of solid waste reduction and management systems

#### 3.1 Step 1 Inception

Recruitment of a project officer, establishment of a project office at the Pradeshiya Sabha, creating awareness to the members of the PS and finalizing the work plan

During the inception period a project officer with a good facilitative and organizational qualities were recruited and a project office was established within the PS. A solid waste management committee was established. The committee consists of members of the PS, the technical officer, Environmental Officers of the divisional secretaries' office and the PS, Trade Society leader, Grama Niladharis (Village Officers) of each of the four villages and Samurdhi development officers (officers of the govt. poverty alleviation program).

During this stage brochures and leaflets were produced in view of introducing the program and create awareness.

#### 3.2 Step 2 Creating awareness

Creating Awareness and building commitment with the institutions and organizations of the PS area

Awareness programs were conducted during this stage and commitment built with officers and/or representatives to support the Deraniyagala Solid Waste Management Program with the following groups and organizations.

- Public organizations, NGOs and private organizations of the area
- School environmental committees of Primary, Secondary and
- Central Schools
- SANASA Society
- Village Development Society



- Samurdhi Society (government run poverty alleviation program)
- Deraniyagala United Trade Society
- Three Wheeler Drivers Society
- Deraniyagala Green Friends Society (Haritha Mituru Sangamaya)
- Womens Bureau
- Funeral Societies
- Farmer Society representatives
- Water Society
- Sports Society
- Youth Club

Special community awareness programs were conducted using the Environmental Brigades of the schools and the students of the Vocational Training Center Deraniyagala

### **3.3 Step 3 Conducting programs**

Conducting Programs for awareness creation and consultations for the public

Special programs were conducted to transfer knowledge on methods of composting and reduction at the source. Compost bins were distributed by the project for families of selected areas. Representatives of following organizations were invited for the awareness creation and consultative processes.

- government officers in the area
- volunteer organizations
- schools
- Beneficiary families of the following project areas
  - Deraniyagala north
  - Deraniyagala South
  - Lassegama
  - Wattegedera
- Garment factories in the area



### **3.4 Step 4 Management Systems**

Improvement of the environmental conservation and health in the PS area through introduction of solid waste reduction and management systems

The objective of this stage was to develop an environmental conservation and a frugal solid waste management culture in the Deraniyagala PS area. In achieving this,

environment conservation programs and programs for reduction of solid waste through composting at source and source separation methods of waste encouraged during step 3 was complementary. Families residing in Deraniyagala North, Deraniyagala South, Lasseagama and Wattegedera were grouped into groups of 20 families and a leader having special community work and environmental skills was appointed using participatory techniques for each group.

The leaders were also trained (fig 2) on home gardening methods using compost at the SANASA campus, Paragammana, Kegalle and at the Agricultural Services Center in Deraniyagala. The trained community leaders were then mobilized to educate and train the community in the area on composting and home gardening. They were also educated on the possibilities of recycling of plastics, paper and metal.

The selected families of the community groups (mainly from the areas having solid waste disposal problems) were distributed with compost bins and those who did not receive bins were educated with alternate methods of composting in the garden using the pit and/or heap methods. They were further encouraged by providing them with information on home gardening methods by the trained leaders.

Source separation of plastics, bottles and metals were encouraged to the households and potential buyers list was established at the PS for public use. The PS is also working on a feasible collection and sales method on behalf of the public.

Waste baskets and concrete garbage bins with polythene sleeves were established at the Deraniyagala town and large message boards were erected in the town area each having a unique environmental message.

## **4 Constraints and Lessons Learnt**

In terms of preparedness, the urban local body had poor internal capacity for such an exercise, however since the process involved other stakeholders, they found resources required for such an exercise locally. As there was no history of such strategic planning exercises in the town, the training workshop was useful in showing the key stakeholders a step by step methodology of analyses.

The Solid waste management component was identified as critical. However the urban local body wanted to buy a tempo/lorry that would help in transporting solid waste. However the adopted process of segregation and composting proved beneficial for them as well as the users who had additional sources of income generation.

As part of the process a large scale campaign was undertaken to create awareness on environmental issues. The process initiated other decision-making. Deraniyagala urban local body has undertaken to make 'Deraniyagala a plastic free city'

## **5 Demonstrating Principles of Good Urban Governance**

Pubic participation in the planning process has been one of the key features demonstrating principles of good urban governance. Efforts have been made to communicate the members of the urban local body the merits of institutionalizing the planning and methodical thinking process. Action plans suggested under various plan

components stress the importance of people's participation and involvement as a step towards greater accountability and predictability of services.

## **6 Outcomes of the project**

### ***6.1 Strategic Development Plan***

The Strategic Planning process adopted in Deraniyagala shows that through the involvement of a wide range of stakeholders including local resource institutions, it is possible to integrate disaster mitigation methods into mainstream processes. What would be interesting as a follow-up activity is to scale up this process for all municipalities in Sri Lanka through an appropriate government body.

### ***6.2 Solid Waste Management***

The impact of this people participated project is clearly visible at the Deraniyagala town. The large board with an environmental conservation message that fringes the entrance to the town gives a clear feeling that you are now entering an environmental friendly city. There onwards the well placed waste bins and waste baskets further clarify the situation.

Deraniyagala town is clearly a cleaner area with well organized trash dumping baskets and bins. Sustainability, of the program is ensured through the awareness created through selected community leaders and school environmental brigades. The project has motivated the PS to find a sustainable solution for dumping of the solid waste collected by the PS. A land was identified at a plantation within the PS area for this purpose. Documentation with regard to obtaining clearance of the land from the Ministry of Plantation Industries has been completed.

This project has brought in a valuable sense of Environmental Conservation to the people of Deraniyagala. It certainly has set the stepping stone for creating a culture in environment conservation and sensitivity in Deraniyagala.





# Good Urban Governance in South Asia (GUGSA)

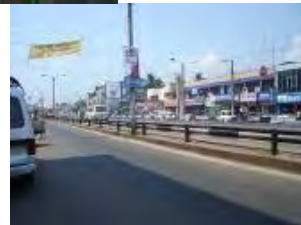
DOCUMENTATION OF CASE STUDY  
SRILANKA

## ***Process Documentation – Strategic Planning for Post Disaster Recovery at Kaluthara Urban Council***

Prepared by  
EML Consultants



# Good Urban Governance in South Asia (GUGSA)



## Participatory Strategic Planning

Kalutara Urban Council



TCGI

The Asia Foundation



TALG Program



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# Chapter 1

## Project Background

### GUGSA IN SRI LANKA

#### GUGSA Phase I

The Good Urban Governance in South Asia (GUGSA) project of the USAID Regional Office, New Delhi has successfully completed the first phase of work in Sri Lanka. The activities included drawing up a topical inventory of good urban governance practices, detailed documentation of two case studies (one in Negombo Municipal Council and the other in the Dehiwala Mt. Lavinia Municipal Council) and finally, a demonstration project in Deraniyagala Local Authority. The demonstration project involved a participatory, strategic planning exercise through which the Local Authority identified a shelf of projects and prioritized them. Of these, a solid-waste management project was proposed for implementation with GUGSA funding. This was implemented by the Local Authority in collaboration with the SANASA Development Bank. As part of this project, training and awareness-building programs were carried out in the town and activities such as household level segregation of waste as well as composting of organic waste, were initiated. The results are already visible in terms of cleaner streets and additional income for some households who have started growing flowers for sale using the compost manure. The Deraniyagala example of participatory development planning and project implementation is being used as a case study by the Transparent and Accountable Local Governance (TALG) program of USAID, Sri Lanka.

#### GUGSA Phase II

After the tsunami in South-east Asia additional funds were made available to the GUGSA program for documenting (good governance practices in post-disaster recovery scenarios) and strategically supporting tsunami-affected communities in Sri Lanka, India, Indonesia and Thailand. Initial consultations carried out with USAID, Sri Lanka revealed that the best approach for GUGSA Phase II would be to establish synergy with the TALG program and extend its work to a tsunami-affected community not covered by TALG. An important component of the TALG program is capacity-building of urban local bodies to undertake participatory local planning. Under the TALG, a training program has already been conducted for facilitators of such local planning processes, and a training manual prepared. It was discussed and decided that GUGSA funds could be utilized to support a participatory, strategic planning exercise in a selected tsunami-affected area.<sup>1</sup> The Urban Council of Kalutara was recommended by the USAID, Sri Lanka office.

Considering that EML Consultants were already carrying out GUGSA activities in Sri Lanka and were also involved in the TALG program, it was decided to offer the assignment for Phase II work to EML.

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<sup>1</sup> [To illustrate the process – and also the importance/ value of good governance practices.]

The GUGSA team of EPC-TCGI-EML visited Kalutara Urban Council and held discussions with the Chairman, Secretary and Council Members. The Council expressed eagerness in taking this opportunity to benefit from the GUGSA-supported activity.

The demonstration project in Kaulthara was based on the premise that good urban governance and participatory planning processes help build a robust and resilient city. Therefore, while the projects outlined or dealt with may not necessarily or directly relate to post-disaster recovery, disaster management and mitigation, the main idea was to better equip local authorities and improve their effectiveness in dealing with - either developmental activities or post-disaster recovery scenarios.

### **Aim and Objectives**

The larger aim of the proposed, strategic planning exercise in Kalutara was to build the capacity of the Kalutara Urban Council to - carry out development activities and initiate management reforms for enhancing effectiveness. The specific objectives of the exercise are as follows:

1. Clearly benchmark the Urban Council's current status as regards its internal management and in the delivery of services to citizens, with special attention to post-disaster recovery and disaster mitigation.
2. Facilitate the Urban Council in articulating a development vision for the town through a consultative process involving citizens and a range of stakeholder groups.
3. Facilitate the Urban Council in identifying broad strategies and specific actions for transforming the tsunami-affected town into a model for municipal service delivery.
4. Assist the Council in formulating a shelf of well-defined projects, ready for approaching potential funding agencies for assistance in implementation.

The final outcome of the exercise will be a City Development Plan (the specific terminology is to be reviewed and finally synergized with the existing legal and institutional framework).

## Chapter 2

### An Introduction to Kalutara

#### 2.1 Location

Kalutara Urban Council area is located within the District Secretarial (DS) division of Kalutara in the Kalutara district of the Western Province. It is located 42 kms and 38 kms south of Sri Lanka's business capital, Colombo and Capital city of Sri Jayewardenepura, respectively. Kalutara city is the Capital of the district.



**Location of Kalutara in Sri Lanka**

Source: [www.globalsecurity.org](http://www.globalsecurity.org)

#### 2.2 Historical Perspective

Markets and bustling streets characterize this small, but lively town of Kalutara. Located near the coast, fishing and trade are major activities. Local crafts include rope-making, basket-making and fashioning articles from coconut palm fiber. It is also famous for its Mangosteen (symbolized in the logo of the Urban Council). Its cultural heritage and fine beaches in the area attract tourists to Kalutara. Moreover, it falls on the way to other destinations and thus sees a good deal of tourist traffic - both local and foreign – which has generated much economic activity in the region. Kalutara also serves as a 'dormitory town'. Given its proximity to Colombo, it has almost become an extended suburb, where a percentage of its working population resides.

#### 2.3 Transportation Linkages

Kalutara is directly linked to the Colombo – Galle – Matara main road and railway line (a major tourist circuit). It is well-linked by road to other urban centers such as Negoda, Mtugama, Beruwala, Horana etc. that lie further inland. Completion of the Southern Highway (just 8 kms. from Kalutara) will only increase its connectivity to the interiors of the country. This would enhance economic development of the Kalutara UC area. It is important to consider this potential and leverage it while designing the development plans for Kalutara.

## 2.4 Climate and Rainfall

The average annual temperature of Kalutara is 26 °C and rainfall spans from 2500mm to 4000mm.



**Map of Kalutara Urban Council**  
Source: Survey department, Sri Lanka

## 2.5 Demography and Socio-Economic Status

The Kalutara UC limits consist of 16 divisions, extending over an approximate area of 7 sq. kms. As per the 2001 Census, total population stands at 37,081, with 1014 females for every 1000 males. Figures indicate that the population's growth rate has decreased over the 1981-2001 period, from that of the previous decade. (Tables 1 and 2).

**Table 1 Population and Population Growth Rate of Kalutara Urban Council**

UC Area	1963	1971	1981	2001	Population Growth Rate %	
					1971-1981	1981-2001
Kalutara	25260	28631	31053	37081	1.00	0.88

**Table 2 Total population in Kalutara UC 2001 (Wards)**

No	DIVISION NAME	POPULATION	Male	Female	Population Density
01	Katukurunda	2535	1200	1335	332
02	Kurunduwathta	3841	1910	1931	503
03	Heentiyangala	3508	1761	1748	459
04	Baashkathall	3224	1604	1620	422
05	Kadaweediya	2520	1240	1280	330
06	Udyanaya	2095	1044	1051	274
07	Sri sumangala	4038	2028	2010	528
08	Gudama	2412	1189	1223	316
09	Asokaramaya	2817	1396	1421	368
10	Uthuru Dumriyapola	4856	2436	2420	636
11	Arogyasalawa	5235	2601	2634	685
	<b>Total</b>	<b>37081</b>	<b>18408</b>	<b>18673</b>	

In terms of ethnicity, Kalutara has 25.84% Muslims and 71.6% Sinhalese, making up the majority of the population. At approximately 1.5%, the Sri Lankan Tamils and Indian Tamil population is relatively small, as are the Malay and Burger populations. Kalutara mainly consists of Buddhist, Muslim, Roman Catholic, Christian and Hindu religious groups.

In development planning exercises, it is important to take the socio-economic context and population dynamics into consideration, and be sensitive to issues of the different ethnic/religious groups.

### Population Projections for Kalutara

Taking the 2001 population of 37,081 with an average growth rate of 0.88%, as the baseline figure, three possible population scenarios have been worked out, and presented in the table below.

**Table 3 Population scenarios for Kalutara**

Year	Population Growth Rate %		
	0.75%	0.88%	1.00%
2011	39862	40344	40789
2020	42522	43539	44460

### Education

Kalutara UC area consists of 12 government schools (of which 2 are dedicated Muslim schools and 1 Catholic school), with a staff strength of 538..

It is felt that by improving overall educational standards and facilities like labs and libraries, students could be discouraged from going to other schools outside Kalutara. Many nationally-important institutions of higher education such as the National Health Institute, Police Training College and Womens Teacher Training College are also located in close proximity to the Kalutara UC area.



## Health-care Facilities

Nagoda is the only major hospital in Kalutara district, apart from which there is one private hospital and many medical centers. Some of the problems related to health-care facilities in Kalutara are: limited hospital space and number of wards, inadequate staff strength (doctors, nurses, even pharmacists), shortage of ambulances and poor maintenance of existing ones.

## Natural Environment

A number of natural environmental features and elements (geographical or man-made) exist within the Kalutara UC area. These would be: the mouth and banks of river Kalu Ganga, the Kalido coastal area, lagoon area, Lake Heenatiyangala, wetlands, paddy fields and mangroves.

Apart from their ecological significance, they also sustain other activities and livelihoods. For example, the Heenatiyangala Lake is used for irrigation and the Kalido coastal area and river act as tourist attractions. Other potentials for tourism include: attractive waterfront development and boat rides in the river, promoting places of cultural or religious significance like the Kalutara Bo Tree etc.

While these prospects need to be explored from an economic development point of view, it is also essential that these developments are environmentally-sensitive and ecologically-sound.

## 2.6 Effect of the Tsunami

### Satellite image at the time of Tsunami, Kalutara

Source: [www.globalsecurity.org](http://www.globalsecurity.org)



### Some tsunami-damaged areas in Kalutara

Source: [www.jvpsrilanka.com](http://www.jvpsrilanka.com)



### 2.6.1 Causalities

Compared to other districts, Kalutara had escaped with fewer deaths (11 people), although the damage to shelter and property was fairly high.

### 2.6.2 Damage to Housing

The number of houses damaged by the tsunami amounted to 1149. 8 of the 16 GN divisions were affected (Table 4), the worst being Kalutara North, Deshastra, Kalutara West, Kalapuwa and Kalutara South.

**Table 4 Number of tsunami-damaged housing units in Kalutara UC area**

No	Affected GN Division	GN no	Total number of damaged housing units
01	Deshastra Kalutara West	717 D	308
02	Kalapuwa	730 A	213
03	Kalutara North	717	347
04	Kalutara South	725	178
05	Kalutara South A	725 A	43
06	Thotupola	717 B	7
07	Vidyasara	717 C	17
08	Wettumakada	730	36
	<b>Total</b>		<b>1149</b>

Damage Assessment done by government authorities indicate that 567 out of 1323 houses (this total differs from the above table due to some error), were damaged by the tsunami.

### Tsunami Reconstruction Efforts

The following table shows some of the reconstruction efforts carried out in the region.

**Table 5 Number of damaged housing units in Kalutara UC area - by material used for construction**

No	Affected Division	GN	GN no	Total number of damaged housing unit	Construction Material		
					permanent	other	not reported
01	Deshastra Kalutara West		717 D	308	231	77	0
02	Kalapuwa		730 A	213	189	24	0
03	Kalutara North		717	347	298	48	1
04	Kalutara South		725	178	60	118	0
05	Kalutara South A		725 A	43	36	7	0
06	Thotupola		717 B	7	4	3	1
07	Vidyasara		717 C	17	15	2	0
08	Wettumakada		730	36	28	8	0
	<b>Total</b>			<b>1149</b>	<b>861</b>	<b>287</b>	<b>2</b>

### **2.6.3 Damage to Community Assets and their Current Status**

Several community assets were damaged by the tsunami of 26<sup>th</sup> December 2004. These include: two school buildings which have since been reconstructed; several coastal roads that have also been reconstructed by the Urban Council with funds from the Ministry; a health-care centre in Kalutara North was re-ercted, but due to poor quality of construction some of the racks have broken and the whole building is in an impaired state; two community centers in Kalutara North were damaged, and have not been rebuilt; two bridges located along Abru Road and St. Sebastian Road were destroyed, and while the St. Sebastian one has been rebuilt, the same is not true for Abru Road.



**Housing units (64) handed over to tsunami-affected people of Kalutara.  
The units have been constructed by International Red Cross.**

## **Chapter 3**

### **Urban Planning and Development**

#### **3.1 Past Planning Efforts**

The Urban Development Authority (UDA) under the Ministry of Urban Development and Housing is mandated to carry out city planning activities. Under this directive, the UDA has prepared a comprehensive Zoning Plan for Kalutara city development.

#### **3.2 Status of Municipal Services**

A rapid assessment of the functions and services of the Kalutara Urban Council was carried out. The data gathered is presented below.

##### **3.1.1 Roads and Transportation**

Section 2.3 explains the transportation linkages of Kalutara Urban Council area. The upkeep of roads in Kalutara is the responsibility of the Municipal Council, except for the main roads, which are maintained by the Central Government's Road Development Authority.

##### **3.1.2 Water Supply**

Piped water supply to the UC area is provided by the National Water Supply and Drainage Board. However, some residents use regular wells and tube wells for their water source.

##### **3.1.3 Solid-Waste Management**

In the Kalutara UC area, about 20 tons of solid-waste is generated every day. There are 12 collecting centers, and collection is done twice a day using 15 hand carts. Waste is disposed in Porawatta, but is done so in an unsystematic way.

Some of the issues related to solid-waste management in Kalutara are: shortage of labor, hand carts and tractors to collect and dispose waste; environmental and health-related problems caused by improper waste disposal methods - for instance, pollution caused by garbage dumping in and around coastal areas or, bad odor and insect/ mosquito menace produced due to failures of the Porawatta waste disposal site; chucking of waste into drains causing blockages in the drainage system; ignorance regarding proper ways of waste disposal.

##### **3.1.4 Sewerage**

There is no central sewer system for the city. Sewage is handled through independent arrangements for buildings.

##### **3.1.5 Storm Water Drainage**

Many areas of Kalutara get flooded during the rainy seasons. This is due to overflow of the Kalu Ganga river, but is also largely attributed to its bad drainage system and choked drains.

## **Other Services**

A unique service provided by the Municipality of Kalutara is the free Ayurvedic medical treatment units set up for its people.

## **General Administration and Finance**

The Kalutara UC area consists of 11 Divisions (Wards) that fall under 16 Grama Niladhari (village officer) GN Divisions.

On an average, the total tax income for Kalutara is in the range of Rs. 30 million. Income is generated through taxes (industrial, business, market, household and entertainment taxes), business licences, shop rentals, fines, stamp fees, salary reimbursements, bicycle license and vehicle parking charges etc . However annually, a significant amount of money is in arrears and new strategies should be adopted in collecting these.

### **3.2. Organizational Structure**

Kalutara Urban Council is led by the Chairman. The next level includes the Vice President and Council Members, followed by the Secretary. Other personnel include the Superintendent of Work, Administrative Officer, Accountant and Ayurvedic Doctor, with the rest of the staff coming on the next tier.

## CHAPTER 4

### The Planning Process

Obtaining the Chairman's allegiance for the planning process became an unnecessary procedure as he showed his own unstinted commitment for the process. This was boosted by his experience on a local government study tour in India on participatory planning processes,

The program was officially initiated by a written request - from the Assistant Commissioner of Local Government (ACLG) to the Chairman of Kalutara UC - to commence a planning process. This was forwarded to the Urban Council for approval, which was subsequently obtained at the Council meeting on December 19, 2006.

#### 4.1 Kick-off Workshop

The kick-off workshop was held on January 4, 2007 with the Council Members and the staff being present. During this workshop, an awareness program was carried out emphasizing the importance of participatory planning and budgeting for the development of the UC area. The purpose was to facilitate dispensing of services more efficiently, obtain external funding and stakeholder support. During this session, the legal mandate for planning was elaborated and planning-related sections of the UC and MC Act were explained. along with the special circulars<sup>2</sup> published by the Government with regard to physical and economic planning. The planning process carried out at the Deraniyagala PS through the GUGSA program was also presented and the planning process as yet to be carried out using the model and guidebook of the Transparent Accountable Local Governance (TALG) project of USAID was described. Participants were given copies of the guidebook. A documentary film produced by the TALG program, which gave a clear idea of the on-going planning processes of other Local Authorities in Sri Lanka was also screened.

In the second session, steps of the TALG participatory planning and budgeting process were explained. The major service areas that would come under planning in Kalutara were identified as follows:

1. General Administration and Finance
2. Sanitation, Health-care, Solid- Waste Management and Environment
3. Physical Infrastructure, Water Supply and Electricity
4. Social Services
5. Economic Development and Investment
6. Cultural and Religious Affairs

Next, the planning team was selected and was divided into 6 sub-teams to carry out the necessary planning work related to the 6 service areas or heads listed above.

---

<sup>2</sup> [Local Government Rehabilitation Circular Nos. 2, 3 and 4 of 2004-05]

Mr. Mubarak (Chairman, Kalutara UC) became Process Champion and Mr. Dharmasiri (Assistant Commissioner of Local Government, ACLG), was made Chief Facilitator.

The final activity of the day was to develop a planning matrix for the strategic planning process.

#### **4.2 Preliminary Data Collection and Stakeholder Mapping**

Thereafter, a preliminary stakeholder list was prepared, which included people from a range of professions, businessmen, people from the fishery and industrial sectors, Gramasevakas (village headmen) and NGO's. The stakeholders were invited for the planning sessions.

#### **4.3 Training Workshops**

During the strategic planning period, several training workshops were held for the group in the following areas -

- Participatory Mid-term Planning
- Data Collection and Rapid Assessment
- Visioning
- Goals and Objective setting
- Project Planning
- Budgeting Process
- Preparation of Project Proposals

#### **4.4 Formulating the Vision and Mission Statements**

The visioning exercise for Kalutara was done following a training session on "Preparation of Vision and Mission Statements" held on January 30, 2007. A specialized trainer was employed for this purpose. This session saw good interactive participation and much enthusiasm - both on the part of the stakeholders as well as planning team members. Participants were first informed of the importance of Vision and Mission statements and how they relate to future planning processes. They then formed small groups and were asked to formulate a Vision and Mission statement for Kalutara. These were analyzed at a plenary session, and the various groups explained the rationale behind their statements. Finally with the participants' consensus, the gist of all these statements was blended into the final Vision and Mission Statements for Kalutara. They are presented below:

##### **4.4.1 Vision of Kalutara**

***"A PLEASANT CITY THROUGH SUSTAINABLE DEVELOPMENT"***



#### 4.4.2 Mission of Kalutara

***“TO RAISE THE LIFESTYLES OF THE PEOPLE OF KALUTARA THROUGH AN INTRICATE AND EFFICIENT SYSTEM OF RESOURCE MANAGEMENT WITHIN THE PROVIDED LEGAL MANDATE WITH A SYSTEM AGAINST CORRUPTION AND ABUSE ENSURING THE WELL BEING, GOOD HEALTH AND A FAVORABLE LIVING ENVIRONMENT”***



**Workshop sessions at Kalutara**

#### 4.5 Issue Identification and Prioritization

A special workshop was held on February 10, 2007 for stakeholders, with the aim of identifying issues that hamper the development of Kalutara and the day-to-day life of its people. The workshop was held at the Kalutara Town Hall. A presentation was made by Mr.



Avanthi Jayatillake and Ms. Nanadani Gunsekere to help participants understand the importance of proper recognition of issues or problems of Kalutara. The participants were divided into the six groups which included the relevant co-planning teams. The groups then identified issues related to their topics and drew up a list. These were then presented in a plenary session where some misidentified issues were weeded out through general consensus, so as to make the long list more concise and appropriate.

Thereafter, all participants were asked to pick the highest priority issue of each group according to his or her opinion. Those issues with the three highest number of votes in each group were selected for prioritization. These are listed below:

#### **General Administration and Finance**

1. Lack of efficient staff
2. Lack of co-ordination between the Tax, Revenue and Sector Revenue sections
3. Lack of a system for timely formulation of necessary by-laws

#### **Health and Sanitation Services**

1. Slow and improper system for removal of garbage from roads
2. Blockage in broken drains and lack of drains in by-roads
3. Loss of revenue from the Pohorawatta garbage dump due to bad management

#### **Physical Infrastructure facilities, Water & Electricity Services**

1. Lack of maintenance of pavements and functioning of illegal vending stalls
2. Flooding of the area during heavy rains
3. Under-utilization of the beach fronts

#### **Social Services**

1. Dilapidated state of the North Kalutara Ayurveda clinic (indigenous medicine clinic) and shortage in the availability of medicines
2. Dilapidated state of the library and lack of space
3. Ownership of the children's library is still with the temple

#### **Economic Development and Investment**

1. Low priority given to the promotion of tourism
2. Lack of public facilities such as toilets and vehicle parking spaces, discouraging outsiders from stopping over
3. Lack of a municipally-maintained ceremony hall for the public

#### **Cultural and Religious affairs**

1. Lack of maintenance of the Town Hall
2. Lack of a cultural centre to help revive the district's fading cultural heritage
3. Need for removal of taverns near religious places

## 4.6 Goal and Objective Setting

In order to find solutions for the issues, the next step was to set goals and objectives, for each of which a project could be planned. The various groups translated the priority issues (each presenting a problem or negative situation) into objectives with expected positive end results. This was done during another stakeholder workshop held on February 22, 2007. At this session, initial guidance was given on goal and objective setting using training material from the USAID's Transparent Accountable Local Governance (TALG) project<sup>3</sup>. Following the presentation and brief training, stakeholders were grouped into six groups along with relevant planning team members to set Goals and Objectives for each priority issue. These were discussed and fine-tuned during a plenary session. To illustrate this exercise, presented below is an example of an Issue being translated into Goals, Objectives and Indicators of projects.

<b>Issue: Not having a proper Solid-Waste Management System</b>	
<b>Goal:</b> A clean city with an appropriate Solid-Waste Management System	
<b>Objective 1:</b> To establish a home-based solid-waste recycling project within six months	
<b>Indicators:</b>	<ul style="list-style-type: none"> <li>• Reduced solid-waste outputs from homes</li> <li>• Reduced daily tonnage of solid-waste collected</li> <li>• Reduced cost for collection</li> <li>• Income through sale of compost</li> <li>• Increase in domestic agricultural produce</li> </ul>
<b>Objective 2:</b> Efficient solid-waste collecting system with public participation	
<b>Indicators:</b>	<ul style="list-style-type: none"> <li>• Rid the town of garbage dumps</li> <li>• Clean drains and canals</li> <li>• Clean road sides</li> <li>• Drop in environment-related diseases</li> </ul>

In the next step, projects outlined under each objective were mapped against the indicators and ranked and ranked using a scoring system (developed by the USAID's TALG Program) - with group consensus. An example of the ranking method is given below.

## Identification and Ranking of Projects

<b>Objective:</b> Improved beach front of the city by 2010				
<b>Proposed Projects</b>	<b>Develop a Beach Park</b>	<b>Improve Solid Waste Collection</b>	<b>Mangrove Rehabilitation</b>	<b>Construction of new toilets</b>
<b>Indicators:</b>				
1.Increased visitation	10	8	3	2
2.Reduced pollution	5	10	3	7
3.Increased mangrove cover	2	4	10	1
<b>Overall Score</b>	<b>17</b>	<b>22</b>	<b>16</b>	<b>10</b>
<b>Rank</b>	<b>2</b>	<b>1</b>	<b>3</b>	<b>4</b>

<sup>3</sup> [Implemented by the Asia Foundation, International City and County managers Association (ICMA) and EML Consultants]

Once the ranking was done, projects that ranked on top were listed and prioritized through a vote of the participants. These will take precedence in implementation during the four year plan.

Two separate training workshops were also held on Budgeting (April 4, 2007, refer annexure for the presentation) and Proposal Writing (April 17, 2007). This proceeded into separate group sessions to detail out and finalize project reports (of the prioritized schemes) including the estimated budgets.

Project reports completed are as follows:

#### **General Administration and Finance**

- Introduction of new technology to the UC
- Introduction of the 5S system
- Development of the premises of Kalutara North Fair (A Revenue Generation Project)
- Identifying places suitable for fixing Permanent Name Boards and Leasing them (A Revenue Generation Project)

#### **Sanitation, Health-care, Solid-Waste Management and Environment**

- Production and Marketing of Compost Manure and encouraging the home composting system
- Fixing of specific dates and times for garbage collection from streets and loading it directly into Garbage Collection Vehicles

#### **Physical Infrastructure, Water Supply and Electricity**

- Creating safe parking facilities for those who come to the town and travel to their places of work; and also developing a parking space for bicycles either within the premises or near the Town Council office
- Construction of public toilets on a systematic basis within the town
- Development of the Town Council's cemetery and erection of the boundary walls with chambers to deposit the remains of those cremated there.

#### **Social Services**

- Establishment of a Day-Care Centre
- Establishment of a Resources and Information Centre

#### **Economic Development, Investment**

- Development of a Beach Park at Modarawella where tsunami-damaged houses were removed (constructed elsewhere)
- Development of a Beach Park at the Kalido Beach
- Development of a management plan and establishing implementation mechanisms for the beach strip which comes under the jurisdiction of the UC.

### **Cultural and Religious affairs**

- Establishment of a Cultural Centre for the City of Kalutara
- Establishment of an Open Air Theatre
- Project for renovation of the Town Hall – the place from where pioneering activities of Kalutara Town commenced

### **4.7 Documentation**

The four-year plan thus developed was compiled and translated in the local language. It includes the budget and distribution of the planned projects over the four year period. The result is a report titled “FOUR YEAR STRATEGIC PLAN AND BUDGET OF THE KALUTARA URBAN COUNCIL”.



# Good Urban Governance in South Asia (GUGSA)

DOCUMENTATION OF CASE STUDY  
NEPAL

## ***Documenting examples of Good Urban Governance in Nepal – Case Studies Pokhara and Butwal***

Prepared by  
TEAM NEPAL &  
EPC





## Nepal Case Studies

---

## Abbreviations & Acronyms

---

ADDCN	:	Association of District Development Committees of Nepal
BS	:	Bikram Sambat/Era
CEO	:	Chief Executive Officer
CSCS	:	Community Savings and Credit Schemes
DIMC	:	Decentralization Implementation and Monitoring Committee
EDR	:	Eastern Development Region
FWDR	:	Far-western Development
GGES	:	Good Governance Effectiveness Scale
GUGSA	:	Good Urban Governance in South Asia
HNS	:	House Numbering System
IAPs	:	Integrated Action Plans
IDP	:	Internally Displaced People
IPGRI/APO	:	International Plant Genetic Resources Institute
LAA	:	Local Administration Act 2028
LGs	:	Local Governments
LI-BIRD	:	Local Initiatives for Biodiversity Research and Development
LSGA	:	Local Self-Governance Act 2055
LBFAR	:	Local Bodies Financial Administration Regulation 2056
LSGR	:	Local Self Governance Regulation 2056
MDG	:	Millennium Development Goal
MEDP	:	Micro-Enterprise Development Program
MoLD	:	Ministry of Local Development
MoPPW	:	Ministry of Physical Planning and Works
MPDF	:	Municipal Partnership Development Fund
MuAN	:	Municipal Association of Nepal
MWDR	:	Mid-western Development Region

NAVIN	:	National Association of Village Development Committee in Nepal
NPC	:	National Planning Commission
NPGR	:	National Population Growth Rate
PMDP	:	Participatory Management Development Program
RLL	:	Rural Labor Linkage
RMC	:	Rural Market Centres
RUDO/SA	:	Regional Urban Development Office for South Asia
RUPP	:	Rural Urban Partnership Program
SCS	:	Saving and Credit Schemes
SMC	:	Sub Metropolitan City
SWM	:	Solid Waste Management
TCGI	:	The Community Group International
TBT	:	To Be Determined
TIDP	:	Tole Infrastructure Development Program
TLO	:	Tole/Lane Organization
UGI	:	Urban Governance Initiative
UPGR	:	Urban Population Growth Rate
WC	:	Ward Committee
WDR	:	Western Development Region



## Acknowledgements

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This Report on the case study of the Shree Complex Vegetable & Fruit Market of Pokhara SMC and the Tole/Lane Organisation of Butwal Municipality of Nepal is the result of active participation and cooperation between a multitude of officials, professionals and individuals concerned with local governance in general and municipal/ urban governance in particular.

We acknowledge with gratitude and thanks cooperation from the following, in particular:

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- Mr. B.R. Balachandan, Senior Governance Advisor, GUGSA
- Mr. Surya Saran Regmi, Joint Secretary (Municipal Management) MoLD
- Mr. Girija P. Gorkhali, Project Director, UEIP/DUDBC
- Mr. Hemanta Gyawali, Executive Director, Town Development Fund
- Mr. Bidur Mainali, Secretary General ; Mr. Surendra P. Pathak, Executive Director, MuAN
- Ms. Sumitra Manandhar, Chairperson; Ms. Lajana Manandhar, Executive Director, Lumanti
- Mr. Padam B. Chetri, President; Mr. Bal Krishna Shrestha, Executive Member; RUPSON
- Mr. Ramesh Munankarmi, NPM; Mr. Ramesh Adhikari, Urban Governance Advisor; Mr. Prabhu Raj Poudel, Strategic Social Advisor, RUPP
- Mr. Purashotam Shrestha, CTA, PPPUE
- Mr. Iswor Lal Joshi, Consultant, UDLE/GTZ

Our sincere thanks are due to all the officials of the five municipalities for their support and cooperation, in particular, to the respective CEOs.

We record our grateful thanks to all the citizens of the five municipalities for their active participation in interviews and responses to questionnaires.

Lastly, our sincere thanks go to all the team members of the GUGSA Nepal study team and the concerned staff members of TEAM Nepal (P) Ltd. who provided logistic and secretarial support to the study.



Ref. No.:

# POKHARA SUB-METROPOLITAN CITY

POKHARA  
2052

Our Responsibility : Make Pokhara Clean &amp; Beauty



 : 521105 Mayor  
 : 520301 Dty. Mayor  
 : 525340 E.O.  
 : 521104 Office  
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Date : .....

## Acknowledgement

I am happy to note that the Good Urban Governance Program South Asia (GUGSA) of US Agency for International Development (USAID) has selected Pokhara SMC for documenting the good practices in the area of urban governance. Our council has been making concerted efforts for several years to improve the urban services and quality of our citizens.

The Communities Group International of USA (TCGI) and TEAM Nepal have very well documented the Shree Complex Vegetable and Fruits Market of our Municipality which we hope will be a best practice resource case study in good governance for other local authorities. We wish the GUGSA regional program the every best.


Sudarshan Prasad Dhakal

(Executive Officer)

Pokhara Sub-Metropolitan City  
Pokhara, Nepal

---

OUR RESPONSIBILITY : MAKE POKHARA CLEAN & BEAUTY

<p>"स्वच्छ, स्वस्थ, साक्षर, सीपयुक्त, सुन्दर, हराभरा बुटवल नगरपालिका"</p> <p><i>Clean, Green, Healthy, Educate, Beautiful and Skillful Butwal Municipality</i></p>	
<p><b>बुटवल नगरपालिका कार्यालय</b></p> <p><b>Butwal Municipality Office</b></p> <p>बुटवल- रुपन्देही, नेपाल</p> <p><i>Butwal- Rupandehi, Nepal</i></p>	
पत्र संख्या :-	प्रतिलिपि नं. / Ref.No.
विषय / Subject	मिति / Date
<h2 style="text-align: center;">Acknowledgement</h2> <p>I am happy to note that the Good Urban Governance Program South Asia (GUGSA) of US Agency for International Development (USAID) has selected Butwal for documenting the good practices in the area of urban governance. Our council has been making concerted efforts for several years to improve the urban services and quality of our citizens.</p> <p>The Communities Group International of USA (TCGI) and TEAM Nepal have very well documented the Bamghat Tole Lane Organisation (TLO) of our Municipality which we hope will be a best practice resource case study in good governance for other local authorities. We wish the GUGSA regional program the every best.</p> <div style="text-align: center;">  </div> <p>Ananda Raj Dhakal (Executive Officer) Butwal Municipality Office Butwal-Rupandehi, Nepal</p> <hr/> <p>Phone: Mayor- 43693, Deputy Mayor- 41408, Municipal Sec. - 40035, Office : 40033/40112 FAX : 071-41283, E-mail :- butwalman_btw@swlink.com.np</p>	

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# 1 Introductory Summary

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## 1.1 Background

Good Urban Governance in South Asia (GUGSA) is a three-year, three-location program, which the Regional Urban Development Office for South Asia (RUDO/SA) has initiated in collaboration with the region's bilateral USAID Missions, in order to promote good urban governance in South Asia. The project area, earlier limited to Nepal, Sri Lanka and Bangladesh, now also includes India, Thailand, Indonesia and Sri Lanka under the expanded scope after the tsunami disaster.

Virtually all urban areas in South Asia are subject to rapid population growth, and a rural-to-urban migration rate far beyond the national and city government's preparedness for assimilation. Demands for essential urban services are growing at a pace far greater than the ability of the government to respond in ways that are adequate and meaningful.

For South Asian citizens, the prospect of a good urban environment is grim indeed, unless local governments are empowered, and their response capacity strengthened considerably. This is where the notion and need for good urban governance assumes significance and this is the rational basis of the Project.

## 1.2 Objectives and Outcomes

The objective of GUGSA is to document, disseminate and demonstrate good governance practices, with a view to informing municipal government bodies to improve their response capacity in order to address the challenges of sustaining a good urban environment.

GUGSA also expects to bring together local government officials through a workshop on good urban governance. The underlying objective behind this workshop/conference is to promote constructive interaction about good urban governance practices among all three stakeholder groups – the government, private sector and civil society.

### 1.2.1 Nepal Case Studies' Report

This consolidated Report represents the output of the Nepal component of GUGSA. Presented in the subsequent section is a brief version of the Topical Inventory Study of Nepal's Municipalities. This was prepared in the first phase of the exercise to provide a basis for the selection and development of two case studies, which was carried out in the second phase. This section also summarizes the approach and methodology followed for selection and development of case studies.

This study was undertaken by TEAM Nepal under the supervision of The Community Group International (TCGI), Washington, USA, who is the prime contractor for this project.



## 2 Study Design

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### 2.1 Approach to Selection and Development of Case Study

#### 2.1.1 Topical Inventory Study

##### 2.1.1.1 Development of Stakeholder List

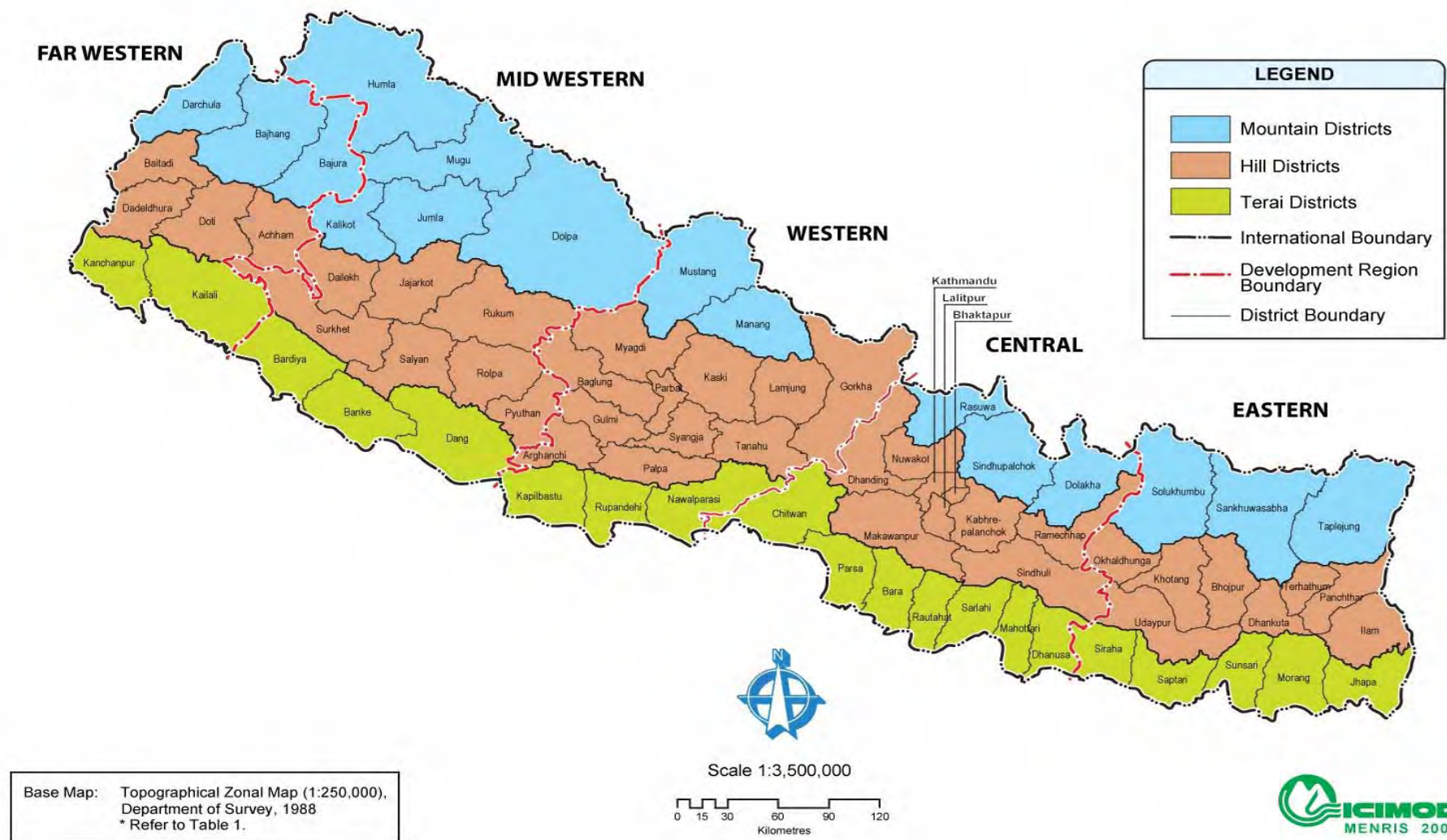
Stakeholders of good urban governance in Nepal in the public, private and civil society sectors were identified and a classified list prepared of major groups and institutions..

##### 2.1.1.2 State of the Enabling Environment for Good Urban Governance

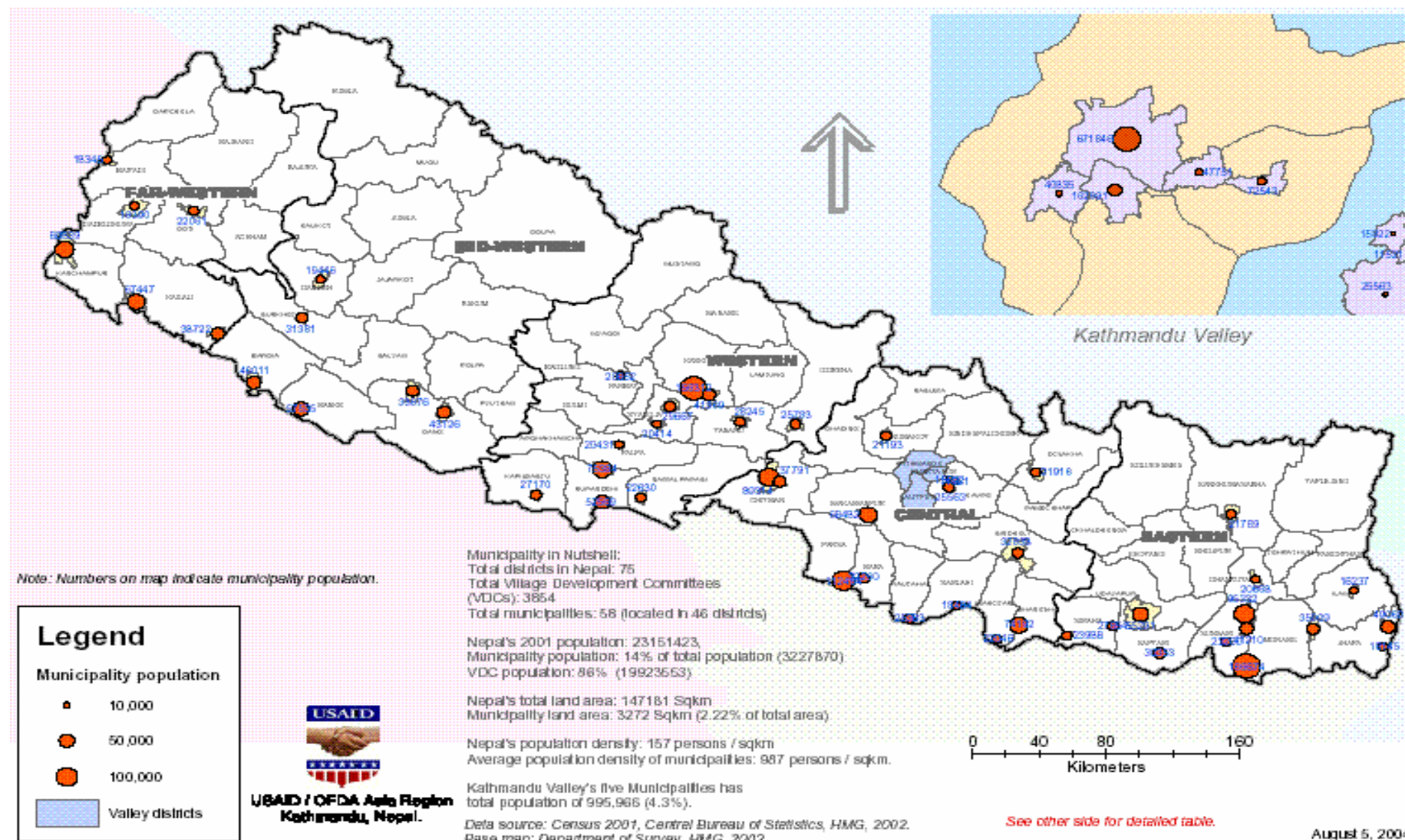
Based on geography and population, the Local Administration Act (LAA) 2032, enacted in 1971 under the then Panchayat Constitution divided Nepal into five Development Regions and seventy-five districts. Geographically, Nepal comprises of east-west belts in the form of: i) the Terai Plains and Inner Terai Valleys within the Siwalik Hills, ii) the Midland Hills and Valleys, and iii) the Mountains, from south to north. Twenty districts fall in the Terai belt, 39 in the Midland Hills belt and 16 in the Mountain belt.

The Local Self-Governance Act (LSGA), 2055 under the 2047 Constitution provides for two-tiers of local government - Villages and Municipalities at the lower level and Districts at the higher level. These are respectively called the Village Development Committee (VDC), Municipality, and District Development Committee (DDC). Interestingly and maybe significantly, these local bodies have been defined as autonomous corporate bodies rather than as local government bodies. Currently there are 3913 VDCs, 58 Municipalities and 75 DDCs in Nepal. The 58 Municipalities include 1 Metro-Municipality (Kathmandu in the Midland Hills), 4 Sub-metro Municipalities (Lalitpur and Pokhara in the Midland Hills, Biratnagar and Birgung in Terai) and 53 other Municipalities (of which 29 are in Terai, 24 in the Midland Hills region and none in the Mountain belt).

Map 2-1: Development Region and District Boundaries



Map 2-2: Municipalities of Nepal



### **2.1.1.3 Listing of Fifteen Municipalities**

A general net was cast around the 58 Municipalities in the wider scope. Through stakeholder consultations and various secondary sources of information, 15 municipalities, which feature highlights or practices that make them stand out, were selected for further study.

Five criteria (with a scale of 1 to 5) were used for ranking the Municipalities: 1) population size 2) population growth rate 3) revenue per capita 4) capital expenditure per capita, and 5) diversity of urban development planning and management programmes undertaken in the Municipalities in cooperation with development partners.

### **2.1.1.4 Short-listing of Five Municipalities**

The objective of the ranking exercise was to short-list five Municipalities based on the principles of good governance. This was done by:

- Contacting the Municipalities to gather more information on their management practices, as well as, on projects conducted that feature the principles of good governance; and,
- Involving a section of key stakeholders, well-informed about the Municipalities, to gather their impression on the Municipalities' performance of functions in relation to principles of good governance.

A customized matrix based on five criteria (as follows), keeping in mind the principles of good governance, was used for the purpose of evaluating the fifteen Municipalities:

1. Adoption and implementation of the Citizens Charter, as a mark of the Municipality's commitment to accountability and transparency in service delivery
2. Practice of participatory planning and management, as reflected by the practice of Integrated Action Plans (IAPs), periodic development plans and annual plans
3. Efforts at municipal capacity building (institutional/ financial) and improvements, by mobilizing donor and government agencies, technical and financial support
4. Synergy between the Municipality, Government and donor agencies, in promoting good urban governance, as indicated by the successful execution of donor-assisted programs/projects in the fields of i) urban planning, finance, and management; ii) training and human resources development; iii) rural-urban and public-private partnerships; and iv) infrastructure and the environment

5. Progress towards good urban governance in service delivery, covering the Municipality's functional domains - as perceived by residents and Municipality staff

The five Municipalities thus short-listed were Butwal, Dharan, Dhulikhel, Pokhara SMC and Bharatpur

#### **2.1.1.5 Further Research on the Five Municipalities**

Further research was carried out on the five short-listed Municipalities in order to identify one good practice from each municipality.

This process started with a survey of the Municipal staff and residents to obtain their overall perception on the quality of governance, of the various sub-sectors of municipal management and service delivery. These were ranked as "very good", "good", "medium", "poor and very poor". At the same time, the staff and residents surveyed were asked to identify what they felt were some of the good practices/ programs of the Municipalities. Programs or practices thus identified were further discussed with selected key officials of the respective Municipalities' and other knowledgeable officials of MoLD, MuAN and various donor-assisted (municipal/ urban development) projects, in terms of perceived overall impact, with respect to good governance principles and the potential for broader application of those practices. Based on these discussions, up to three good practices of each Municipality were identified, with the best practices in each sub-sector listed at the top.

Having identified these practices in all five Municipalities (Butwal, Dharan, Dhulikhel, Pokhara SMC and Bharatpur), an approach for selection was put in place to identify two case studies of the 15 short-listed ones. Once a comprehensive matrix was developed, each of the case studies were assessed on certain parameters and based on their scores, two case studies were selected.

### **2.1.2 Case Study Writing Methodology**

#### **2.1.2.1 Selection of Cases and Development of Outline for Study**

Based on consultation with senior governance advisors (from TCGI, USAID RUDO/SA and MuAN), the following two projects/ practices were selected as case studies:

- Shree Complex Vegetable and Fruit Market: as a Public Private Partnership Good Practice in Pokhara Sub-Metro City, and
- Bamghat Tole/ Lane Organisation (TLO): as a Community Development Good Practice in the Butwal Municipality

Case study development had to be carried out under circumstances where elected representatives were absent, owing to the fact that neither the election was held nor

the term of the elected representatives extended by the government at the time, because of Maoist insurgency and political problems. As a result, new government officials were appointed as Chief or Deputy Chief Executive Officer of the Municipalities with authority to function as Mayor or Deputy Mayor. Ironically this had to be done by the first amendment to LSGA through an ordinance issued in 2060 BS. This unexpected change in the participating municipal officials naturally affected the case study development and performance to an extent.

#### **2.1.2.2 Methodology**

The tools and methods used for research, analysis and documentation of the good governance features of the cases, essentially comprised of a checklist and questionnaire, administered during individual and group interviews or discussions. The checklist was designed to assess the overall design, management and impact of the particular case, as well as lessons from experience and pointers to possible improvements. The questionnaire was used to examine adherence to the five principles of good governance. In order to rate the answers provided by respondents, a "5 point" rating scale was used; "1" for very poor to "4" for very good performance and "0" in case the respondent had "no idea" or didn't know about the indicator in question.

Respondents' perception regarding the degree of adherence to good governance principles were measured, evaluated and their implications interpreted or understood in terms of the Good Governance Effectiveness Scale (GGES) as developed and used by the UNDP's TUGI (The Urban Governance Initiative), Kuala Lumpur, Malaysia.



### **3 Pokhara Sub-Metropolis Municipality**

#### **Shree Complex Vegetable and Fruit Market**

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#### **3.1 Background**

The Pokhara sub-metropolis (PSM) in the Western Development Region is the third largest city in Nepal. As a rapidly growing urban centre it was witness to a significant rise in consumer demands for grocery, vegetables, fruits and meat products in recent years. Growth of the organized tourism sector has only increased this demand.

#### **3.2 Pre – intervention Situation**

However despite satisfactory development of basic urban infrastructure facilities (like the road network, drainage and water supply systems etc), the sub-metropolis was found lacking in well-organized, retail market centres for fruit, vegetable and meat products. The absence of such places had given rise to street vending activities. People had to buy these provisions from the morning and evening markets set up along street thoroughfares or from scattered hawkers during the daytime.

Such ad-hoc market arrangements, as a continuation of traditional practices, had created traffic and solid waste management problems for Pokhara SMC, in terms of maintaining cleanliness in the business district of the city.

Apart from this, there were also other overriding issues. The consumers were not getting quality goods at reasonable prices. They had to trudge to various locations to check the quality and commensurate prices. Moreover, a few wholesalers who brought the goods from outside markets controlled the market. The farmers were also not getting reasonable prices for their agro-products, as there was no fixed location where they could negotiate with the smaller retailers, or could directly sell to the consumers. Marketing difficulties were more serious for smaller farmers who had taken micro-credit under the various income-generating programs launched by the city government and other agencies. In the absence of systematized agricultural markets, the farmers as well as the consumers were facing unnecessary complexities and adversities.

Hence, a need was realized by the Pokhara Sub-Metropolitan City (PSMC) for an organized and well-planned retail outlet at a proper location near the city centre. Such an outlet (market complex), it was felt, would reduce and mitigate the negative externalities and environmental pollution in the city.

### 3.3 The Intervention

The PSMC did not have land anywhere in the city centre to develop such a facility. A private entrepreneur, who held land in the area, approached the Municipality with a business plan and the PSMC readily agreed to the idea. The entrepreneur built the facility and registered it under the Companies Act. Organized spaces were created. The vendors were initially apprehensive about the organized market activity and also had concerns of moving to a new place and its impact on their business. However, over a period of time many vendors moved in. This was made possible with the unrelenting efforts of both the entrepreneur as well as the PSMC which had agreed to not allow ad-hoc vending in the area surrounding the developed facility.

Today the market is a vibrant business place. There about 80 closed shutter shops and around 30 open shutter spaces in operation. The total design capacity of the Complex is that of 116 closed shutter shops and 30 open shutter spaces. Monthly rentals are fixed at Rs. 600 for open shutters and Rs. 1500 for closed shutters, with a security deposit of Rs. 5000. Farmers who bring in their produce for sale in *Dokays* (baskets for carrying goods) pay Rs. 6 per day for using open sheds and Rs. 3 per day for using the larger open space in the Complex.

### 3.4 Unique Public Private Partnership

In the general context, a PPP arrangement is understood as a variation of privatization, in which elements of a service previously run by the public sector are provided through a partnership between the government and one or more private sector companies. Unlike a full privatization scheme in which the new venture is expected to function like any other private business, the government continues to participate in some way.

However, in the case of PSMC and Shree Complex the PPP arrangements moved away from the conventional norms. A unique PPP scheme was formulated. The following were the arrangements agreed to between the PSMC and the entrepreneur:

The PSMC agreed to:

- Restrict retail sales activities (of fruits, vegetables and meat products) by stationary and mobile street vendors in the demarcated area
- Provide sweepers, waste/ garbage collection and disposal services free of charge
- Control stray cattle in the area
- Publicize the Shree Complex Market to the citizens through signboards and other audio-visual communication media
- Recommend the Shree Complex to access loan, grant and technical support from the Government, NGOs, International NGOs, financial institutions etc



- Not permit any other party to establish a similar market complex in the area during the term of agreement
- Continue the agreed upon support facilities as long as the Shree Complex operates and manages satisfactorily

The PSMC also allotted a grant of NPR 10,00,000/- to the Shree Complex. The PSMC is not expected to retain a part of the returns generated within the Shree Complex. The entrepreneur argues that the PSMC did not expect a return on its investment, since it realizes that it is not in a position to provide the service being provided by Shree Complex and hence is providing him a subsidy by not expecting a return on the money granted.

This arrangement between the PSMC and the entrepreneur has brought in a new form of PPP philosophy to the fore. It moves away from the underlying principles of a typical PPP since the service was not previously run by the government; instead, a new facility was created. The local government has provided a cash subsidy even though the facility is privately-owned, and the local government does not expect a return on its investment.<sup>1</sup>

Although it does not fit into the conventional definition of a typical PPP, this can be considered as one since the PSMC does endorse the activity and subsidizes it through restriction of retail marketing of fruits, vegetables and meat products in the delineated area around the Shree Complex. This protects the Market from competition and helps it maintain a stable financial condition. The Municipality oversees this through a mandate provided to the Municipal Police to discourage any vendors from selling in the area.

The PSMC also provides other services, such as security personnel during the market operation period, waste/ garbage collection and its transportation to the landfill site without any cost to the entrepreneur, and allotment of sweepers to the Shree Complex without any charges. It promotes and markets the facility through mass communication channels to encourage citizens to utilize the facility, and also helps promote SCPL in harnessing funds from various sources.

Under the arrangement, the entrepreneur is bound to bear full responsibility of developing, implementing, operating and managing the market complex, as well as ownership of the associated liabilities. The entrepreneur is expected to hold full control of management and operation. He is responsible for increasing the range of products on a need basis - starting from fruits/ vegetables and other food items to livestock-based and textile-based products; as also, adjust the areas allocated to each

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<sup>1</sup>[The PSMC did provide Shree Complex with a sum of NPR 10,00,000/-. This was however channeled as a grant and not as an investment.]

product, if necessary. He is also bound to operate the market for at least five years with the option to continue or exit thereafter.

### 3.5 Benefits from the Project

There are many benefits that have accrued due to the establishment of the Shree Complex. These have been listed below:

- Availability of an urban amenity in the form of a one-stop fruit, vegetable and meat market service for residents and bulk consumers like hotels and restaurants
- A cleaner urban environment (less garbage, dirt, dust and noise pollution) in the main market area as a result of improved sanitation, decrease in street vendors and vehicular traffic congestion
- Business tax collection and fresh food quality inspection processes made easier for the PSMC<sup>2</sup>
- Direct urban market access to 50-60 rural farmers for selling their produce through temporary or permanent shop stalls in the market complex, thereby avoiding the cost on account of wholesalers in between
- Opportunities created for about 100 street vendors to become small shop owners, with the benefit of longer hours of business. Also, improved awareness of environmental cleanliness, hygiene, community cooperation and customer satisfaction
- Participatory decision-making in resolving issues like working hours of the market, maintaining cleanliness and security in the Complex, cooperating with the PSMC administration etc
- Employment opportunities created
- The PSMC has requested SCPL to carry out feasibility studies for other similar ventures in other parts of Pokhara

### 3.6 Adherence to Principles of Good Governance

#### 3.6.1 Accountability

Given the nature and amount of problems that vendor operation on streets created, it was a responsibility of the PSMC to provide for an organized market space. Since it was not in a position to do so, due to non-availability of land, it encouraged the

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<sup>2</sup> The PPP agreement period is almost over and the under the renewed contract, the entrepreneur seeks to get the business tax waived. This however, will only be decided upon the negotiations before the signing of the agreement

entrepreneur to establish such a market complex. It also remains directly accountable to the terms of the PPP by restricting ad-hoc vending in the surroundings, curbing the establishment of another facility of similar nature in the earmarked area, promoting and marketing the complex etc. This in turn allows it to remain indirectly accountable to the citizens, since it would be obliged to provide a safer and cleaner urban environment.

### **3.6.2 Predictability**

The PSMC has requested the SCPL to undertake feasibility studies for establishing other such markets at various places in the Sub-Metropolitan area. Having realized the success of the model, the PSMC has decided to replicate it under arrangements similar to the existing one, to provide similar nature of services across various parts of the city. This proves that the PSMC is willing to be consistent in not only providing services through novel approaches, but is also determined to provide the services under the same set of rules and regulations which have worked well in a previous experiment.

### **3.6.3 Transparency**

The PSMC and the Shree Complex are together determined to keep the process of providing services as transparent as possible. The rentals for the spaces in the Shree Complex are decided by all stakeholders viz. PSMC, Shree Complex management and the vendors themselves. This allows for a completely transparent process of deciding upon the rentals and preventing conflict at a later stage.

### **3.6.4 Participation**

For any grievances that are unresolved between the vendors and the Shree Complex management, any of the parties are free to approach the Municipality to seek their intervention and resolve the matter.

### **3.6.5 Rule of Law**

The PSMC upholds the clauses of the PPP agreement by providing services as are stipulated in the agreement. It provides for controlling stray vending in the vicinity of the complex through the Municipal Police.

## 4 Butwal Municipality

### Bamghat Tole/Lane Organisation - Community Development Planning

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#### 4.1 Background

Butwal Municipality (BM) has been undertaking programs related to urban economic development and poverty alleviation within the RUPP framework since a number of years. Community mobilization in the form of grass root organizations called Tole/Lane organizations (TLOs) within the municipal wards, are the backbone of the overall program implementation strategy. Through adoption of a bottom-up planning process, the TLOs have contributed effectively to the formulation of community-level annual plans/ programs as input to the annual Municipal plans and programs - a basic requirement of the Local Self-Governance Act, 1999.

#### 4.2 Pre – intervention Situation

The overall state of affairs in the Bamghat Area of Butwal Municipality was grim before the establishment of the Bamghat TLO in 2056 B.S. Deficiencies in basic urban services like drinking water, poor condition of roads and surface drains, poor state of sanitation and power supply, were not only affecting the lives of the inhabitants, but perpetuation of the situation would have sooner or later turned the area into an urban slum.

Only 30 households, of the total 88 in the community, had access to drinking water supply. The road conditions were very bad, especially so during the rainy season due to the lack of storm water drains. Intra-city public transportation was almost non-existent, which resulted in increased spending on travel. A large amount of the population was poor and struggling for daily survival; primarily because of the lack of employment opportunities. This could be attributed in part to the low levels of education and vocational skills and partly due to lack of entrepreneurial avenues. Those falling in this category were mostly women, people belonging to downtrodden communities like the 'dalits', particular ethnic groups and Internally Displaced Persons (IDPs). Because of unemployment and poor living conditions, the peace and harmony of the community was also in jeopardy, especially with reference to women.

The most crucial aspect prior to the TLO intervention was a sense of helplessness felt by the inhabitants in bringing about positive changes, not only in their habitat but also in their economic situation. They were not organized, and were reluctant to realize their potential strengths and avail of new opportunities through social mobilization.

### 4.3 The Intervention

The project is aimed at improving urban living conditions, as well as improving the livelihoods of poor and disadvantaged people utilizing the benefits of rural-urban linkage potentials through:

- Development of physical infrastructure to improve urban living conditions at the community level
- Development of community-based economic enterprises to generate employment opportunities for the urban poor, with a particular focus on women entrepreneurs
- Provision of training, technology and funding support to the TLO members for undertaking the various social, economic and physical infrastructure programs at the community level

To be able to achieve the aforementioned, the process was initiated through formulation of the "Tole" (Community) Development Plan (TDP). These are essentially neighbourhood level plans prepared by community institutions. Various kinds of Enterprise Development Plans (EDP) were developed for income and employment generation, having an impact on individuals. Also, these activities are complimented with the provision of Seed Grants, which help implement the TDPs through investments in socio-economic infrastructure at the community level, and with matching contributions from other sources, such as the community, Municipality Wards, RUPP and so on.

This project also saw the launching of Compulsory Community Savings Schemes through the creation of a savings fund ("Tole" Development Fund) to help make the TLOs sustainable and more effective towards initiating development activities.

The TLOs have covered 100% of the geographical area and 100% of households in the Municipality. Community-mobilizers are appointed by the Municipality under the RUPP office (set up within the premises of the Municipality). The community-mobilizer then carries out mass sensitization and organizes a mass meeting where the decision is taken to form a TLO. Executive members are elected during the meeting in the presence of a Municipality representative. This TLO is then registered with the Municipality.

Through a bottom-up planning process, the TLOs contribute in identifying and developing community level development plans or programs, as an input to the annual municipal plans and programs - a basic requirement of LSGA 1999. Formulated as the Tole/Lane Development Plan (TDP) and the Enterprise Development Plan (EDP), these are then forwarded to the Municipal Board for budgetary allocation. Thus the community development plans, prepared by the

community itself, are tied up with municipal planning schemes, leading to a participatory planning process.

Developing self-sustaining rural and urban economic enterprises (self-help groups, co-operatives, private enterprises, companies, associations or even clubs) is also being undertaken for the production and marketing of goods and services, leading to the generation of employment opportunities. Such enterprises are to be provided support in terms of technology transfer, skills development training, and credit assistance.

#### **4.4 Benefits from the Project**

Prior to the intervention only about 30 households had water supply provision. However with the intervention, today about 56 additional households receive water supply. Flooding was another problem that was mitigated through plans executed under the Tole Development process, since typically during the rainy season, due to absence of culverts and river training, the area often got flooded. Local transportation improved significantly as roads were built leading to better pedestrian as well as vehicular movement. Regular minibus services were made possible due to construction of internal roads. Hygiene and sanitation conditions have improved as a result of the regular Cleanliness Campaign championed by women members. Poverty alleviation, especially of the very poor is a remarkable impact felt by the participant beneficiaries of Bamghat TLO. The awareness and confidence level of Bamghat residents significantly improved as a result of the participatory and transparent TDP process and the benefits experienced from the project.

Seed grants from the RUPP/ MPDF has not only helped it take initiative for pro-poor infrastructure development activities but also unleash its resource mobilization capacity. Bamghat TLO and its micro-entrepreneur members seem to be using both external available funds as well as internal savings effectively. Similarly, micro-credit support to the Tole's micro-entrepreneurs has enhanced their financial capacity significantly.

Bamghat TLO has created a savings and credit scheme in the form of Bamghat TLO Saving Fund. The Fund collects NPR 100 per member per month, pays 12% interest on savings, charges 18% interest on credit (maximum credit amount Rs. 20,000, repayable in 20 monthly instalments). As of July 2004, deposit collection amounted to Rs. 2,50,678 and credit disbursement amounted to Rs. 2,46,800.

Buoyed by the success of its savings and credit program, the Bamghat TLO has initiated two other fund-mobilization schemes as Cooperatives since 2001, namely i) Children and Housewives Saving Fund Cooperative Company Ltd. (CHSF) and ii) Pragatishil Cooperative Saving and Loan Agency Ltd. (PCSLA). The CHSF collects

Rs. 10 to 500 and the PCSLA collects Rs. 500 from the members. The schemes pay 12% interest on deposits and charge 18% on loans.

## **4.5 Adherence to Principles of Good Governance**

### **4.5.1 Accountability**

Both the Tole Lane Organization and Bamghat Municipality have imbibed the principles of accountability to a great extent. For instance, the project is funded through the Participatory Municipal Development Fund (PMDF). This allows for keeping a check on the utilization of funds. Loans are then channelized through the Rural Urban Partnership Program (RUPP) section. RUPP monitors the usage of funds and ensures that there is no misappropriation. The RUPP, although set up as a separate entity, will gradually be internalized as part of the Municipality and hence the local government would remain accountable for the process at all times. Any major decisions are also constantly under public scrutiny.

### **4.5.2 Predictability**

The greatest indicator of the local government's predictability in this case has been the fact that there are around 218-odd such TLOs that have been formulated across the Bamghat Municipality jurisdiction. The TLOs have been following similar processes across the board and these guidelines are formulated under the RUPP framework. Also, any change of rules or regulations in this regard has to be made right through for all the TLOs, which allows for consistency in decision-making.

### **4.5.3 Transparency**

To be able to not only maintain transparency but also to decentralize the development process further, the Municipality allows the TLOs to take their own decisions for capital improvement projects. The TLO utilizes Seed Grants available through the Tole Development Fund (formed through collective contribution of the authority and people) for funding capital improvement projects in various Toles. The TLOs follow a selection process for a contractor based on the principles of competitive bidding. The TLO floats a tender. Bids are invited and then scrutinized by the RUPP section, which is more or less an integral part of the Municipality itself. Smaller projects are done through community participation. People themselves put in labour or else contribute in kind to accomplish these smaller projects.

### **4.5.4 Participation**

Formation of the TLOs is carried out through a participatory exercise. The RUPP section appoints community-mobilizers to work with people towards constituting a TLO. The community-mobilizer carries out mass sensitization programs, first to acquaint people with the objectives of the overall program and inherent benefits.

Once this is accomplished, a large Tole (lane) level meeting is organized. Officials from RUPP and representatives from the Municipality attend this meeting, where the decision to formulate TLOs is based on and taken through consensus building. Also the programs to be carried out are further are discussed amongst the Tole members and only then are proposals prepared and submitted for approval.

#### **4.5.5 Rule of Law**

To imbibe a sense of discipline, the RUPP section and the Municipality help the TLOs form their own constitution and charter. This constitution is largely a guiding tool towards the development process. It is largely consistent in all the TLOs and the TLOs are not allowed to act upon their own felt needs outside of the constitution. The community-mobilizer plays an important role in sensitizing the people as well as TLOs members towards the importance of following the rules laid down in the constitution.



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## Annexure

### Definition of Good Governance

In the approach to the case study, for i) reviewing the local governance environment and the municipal activities/practices, and for ii) selecting and developing the case study, principles of good governance defined as follows have been assumed:

- **Accountability:** Public officials, both elected political leaders and civil servants must be answerable for government behaviour and accountable to the entity from which they derive their authority.
- **Transparency:** Public policies, procedures, processes, investment decisions, contracts, and appointments should be transparent. Such public information should be reliable, widely accessible and presented in user-friendly i.e. useful and understandable ways.
- **Participatory:** Governance systems and processes must be democratic or participatory i.e. they must allow wide participation by citizens in making public choices such as policies and regulations, thereby promoting the ideal of good citizenship and leadership.
- **Rule of Law:** Government laws and rules must be fair and legitimate and be applied evenly, without prejudice, to all members of the society.
- **Predictability:** The process of making and changing public policies, rules and expectations must be predictable thereby allowing stakeholders' confidence of fair treatment and stability.



# Good Urban Governance in South Asia (GUGSA)

DOCUMENTATION OF CASE STUDY  
NEPAL

## ***Dhulikhel Water Supply Project – Documenting examples of Good Urban Governance***

Prepared by  
Darshan Parikh  
(TCGI) &  
TEAM NEPAL





**USAID** | **INDIA**  
FROM THE AMERICAN PEOPLE

## Dhulikhel Water Supply Project A Process Document



Prepared under:  
**Good Urban Governance in South Asia**

Prepared by:  
**The Communities Group International (TCGI)**  
Assisted by:  
**Team Nepal**

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## **I Background and Introduction**

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### **I.1 Background**

#### **I.1.1 Good Urban Governance in South Asia**

Good Urban Governance in South Asia (GUGSA) aims to build the capacity of the local governments with five underlying principles of good governance viz. Transparency, Participation, Accountability, Rule of Law and Predictability. USAID's Regional Urban Development Office for South Asia (RUDO/SA), in collaboration with the region's bilateral USAID Missions, had initiated a three-year, three-location, activity in October 2001 to promote good urban governance in South Asia. The activity documents, disseminates and demonstrates best practices from local government bodies to improve the response capacity of local urban governments within the country.

In the first phase, a Topical Inventory of municipalities in Nepal has been completed followed by a detailed documentation of two Case Studies; (one in Pokhara Sub – Metropolis Municipality – Case of Shree Complex Vegetable Market and the other in Butwal Municipality – Community Development Planning in Bamghat Tole/Lane Organization (TLO).

The second phase of the project was to carry out a demonstration project. However, in consultation with local USAID mission and other prominent opinion leaders it was decided to carry out a process documentation of the Dhulikhel Water Supply project.

### **I.2 Need for the Study**

Water has for long been a contentious issue in Nepal. Various capital improvement projects were undertaken during the past few decades to improve water accessibility. However, most of them remained just capital improvement projects and did not go beyond technical design and construction.

The world over answers are being sought to improve infrastructure service delivery in the developing countries. Infrastructure delivery is, in today's context, perceived differently where more participation, transparency and accountability are asked for. World over governments are slowly and steadily increasing their public outreach and are seeking to make service delivery more user friendly and acceptable.

Dhulikhel is perhaps one of the earliest examples of people oriented service design, construction, operation and delivery in lifeline infrastructure. The water supply system in Dhulikhel, since long, has been owned, operated and managed by the people of Dhulikhel. This was made possible at a time when the overall environment was not very conducive. However, this example has not been documented well. It is argued that Dhulikhel 'model' has its own shortcomings, but the fact that it set the stage for similar such models to draw upon it and improve, makes it worth documenting.

#### **I.2.1 Why the Dhulikhel Case?**

In the second phase of GUGSA, it was envisaged to undertake a pilot project to demonstrate application of good governance. After detailed discussions with various stakeholders, including USAID Nepal, it became apparent that Process Documenting

Dhulikhel Water Supply Project was the best way to highlight Good Governance practices. This project, as has come to light, is a paragon in terms of community participation and ownership of infrastructure provisioning and service delivery.

Following factors were considered while making a decision to process document Dhulikhel Water Supply Project:

- The Water Users Committee in Dhulikhel provides a great example of the value of transparency and accountability in local governance. Potential sources of conflict are identified early and readily resolved, usually with consensus and to the benefit of all participants
- This is an outstanding example of sustainable urban infrastructure service delivery that can be implemented and provide substantial benefits to communities
- It demonstrates the importance of good governance, community participation, and cost recovery in providing sustainable services
- It provides major cross-cutting benefits including economic, health, gender equity & environment

### **1.3 Methodology**

The methodology used for Dhulikhel was quite simple. In the initial stages, a thorough research was carried out on the efforts (of documenting) undertaken previously. This helped develop a cursory understanding of the process. Following this several consultations were organized with the community leaders, opinion leaders, municipality officials, other knowledgeable people within Dhulikhel. This was documented extensively and a preliminary report was developed.

This report was then presented to the DWUC officials, Municipality officials in the presence of USAID Nepal officials as well. This resulted in an enhanced understanding based on which this Final Report has been prepared.

## 2 Dhulikhel Local Authority

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### 2.1 Dhulikhel Municipality

#### 2.1.1 Origin

Dhulikhel originally a village settlement was not converted to a Municipality until 1987. Dhulikhel village for long had been facing water accessibility problems and the community of Dhulikhel, especially women, faced tremendous hardships in fetching water. This had several far reaching implications wherein people could not focus fully on economic activities; there were oft occurring conflicts within the community, and women could not attend to households fully or any other activity.

While the Dhulikhel community negotiated solving its water supply issues in consultation with GTZ, the GTZ asked the community/local authority to also contribute for water supply infrastructure. Dhulikhel being a Village Panchayat could not garner funds from the central authorities. This laid the foundation for the community's initiative to attempt upgrading the status of Dhulikhel to a Municipality. A committee called the Dhulikhel Development Committee (DDC) was instituted to oversee the formalities of transferring Dhulikhel's status to a Municipality.

One of the underlying conditions for an upgrade in the status of a Village Panchayat to a Municipality was that the Panchayat had to have a population of over 10,000. This led to the Panchayat boundaries being widened to include the bordering communities. Dhulikhel's upgrade to a Municipality took longer than routine, since it was in proximity of two other neighbouring Municipalities i.e. Banepa and Panauti. Being only 4 km. away from already existing Banepa Municipality, it was difficult to justify formation of another Municipality. It is noteworthy to mention here that the people of now Ward no. 8 & 9 of Dhulikhel Municipality had applied to join with Banepa Municipality. Only after Banepa's refusal to accept them, it became possible to form Dhulikhel Municipality.

As of today, Dhulikhel Municipality is situated in Bagmati Zone of the Central Development Region. Dhulikhel Municipality was formed from the entire area of former Dhulikhel Village Panchayat, Bajrayogini Village Panchayat and wards 7, 8, and 9 of Kavre Village Panchayat. The municipality consists of the main settlements of Dhulikhel, and Shrikhandapur as well as the scattered settlements of Chhap gaun, Chhap Bhyandol, Acharya gaun, Naya gaun, Thakali gaun, Bansghari, and Subba gaun.

#### 2.1.2 Local Government Structure

The structure of the municipal (urban) government is patterned after the concept of separation of powers. The authority is divided into three parts: the Municipal Council as legislative body, Municipality as executive body and the Arbitration Board (Judiciary) within Municipality to hear and settle the case filed in the Municipality.

To facilitate effective functioning of the municipality, the Municipal board and Municipal Council was constituted under the LSGA 1999. There are 9 wards, each represented on the board and council. The Board consists of the Mayor, Deputy Mayor and 9 ward Chairmen. The council consists of the same personnel as the board and 5 members from each ward are elected on 5 yearly term. After a short span of interim

administrative arrangement under a seven-member committee with the executive secretary exercising the power of the Mayor, the Mayor, Deputy Mayor and Ward Chairmen were nominated recently by HMG.

According to the LSGA, the council should make policy decisions at least twice a year (mainly on planning, budget and staffing), the board should make decisions once a month (for implementing council decisions) and the mayor, deputy mayor, secretary and sectional heads should make day to day administrative decisions.

### **2.1.3 Services**

The Dhulikhel Municipality provides services to the community just as any local authority would. These Services include:

- Solid waste Management
  - Collection in tractor and open burning in temporary landfill site.
- Water Supply and Combined Sewerage
- Road Maintenance and Street Lighting
- Health Posts
- Women Empowerment Programme
- Education:
  - Deputed 5 teachers to various schools, runs Dhulikhel Technical School
  - Provides Scholarships – Kathmandu University, Sanjeevani Secondary School, Sanjeevani Higher Secondary School
- Tourist Information Centre and provision of Forest Guards
- Managing religious/cultural processions and other cultural/religious festivals
- Maintaining Public Toilets and Bus Terminals
- Sports and Youth Activities

### **2.1.4 Infrastructure services delivery<sup>1</sup>**

**Water Supply:** At present about 98% of the municipal population is served by piped water supply. Water is supplied through 814 private and 206 public stand posts. About 44% of the population have private taps, 53% have access to public taps and the remaining 2% use small springs, shallow wells and streams as their source of water.

Water supply, since the formation of Dhulikhel Municipality, has been the outlook of the Water Users' Committee formed autonomously. Dhulikhel Municipality does send a representative to this committee to ensure public good is not compromised at any stage.

**Solid Waste Management:** Dhulikhel Municipality collects about 1.5 tonnes of refuse daily out of a total generation of about 2 tonnes. The collection and disposal of solid waste is contracted out for Rs 2 to 2.5 lakh per year. The municipality has 2 tractors in

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<sup>1</sup> Urban and Environmental Improvement Project, Nepal, Town Report for Dhulikhel, Vol 7, January 2002

the collection and disposal of solid waste. Ward 1 does not have the service. The municipal tractor makes a round once a day to collect waste.

**Drainage & Sanitation:** The main urban area of Dhulikhel (wards 5 to 9) is served by a 9 km long storm drain consisting of RCC pipes and masonry channels. The drainage serves 50% of the population.

The sanitary condition of Dhulikhel is poor and there is no sewerage system. There are 1,411 latrines in the municipality area and 10 - 20% of people practice open defecation in the fields. Some houses have illegally connected their latrine effluents to the storm drains. About 70% of houses in the urban area have toilets with septic tank or double pits (Sulav Sauchalaya). The municipality is promoting the construction of these double pit latrines.

**Electricity & Telephone:** These services are typically not under the purview of the Municipality. The Nepal Electricity Authority is supplying electricity to Dhulikhel. About 1,914 households are connected.

Nepal Telecommunication Corporation is operating the telephone system in Dhulikhel. There are altogether 450 telephone connections. There is one public telephone booth, and public calls can be made from numerous shops.

## 3 Project Genesis

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### 3.1 Need for Water Supply System

Water supply in Dhulikhel was originally limited to 3 public taps in Adda, Tuchhen and Lachhi constructed around 1942. The supply was augmented from Dhwashhi Muhan water source located in Ward No. 3 and 5. More public taps were added in 1954. This was followed by additional improvement works tapping new near-by water sources, resulting in the number of taps being increased to 30. This was completed around 1959 with assistance from the Government of India. Before long, this too became inadequate as a result of which sanitary condition of Dhulikhel was quite appalling. The community fully appreciated the need to improve the situation and, consequently collectively tried finding a solution to the on-going problem, which were not addressed adequately in the earlier capital improvement initiatives.

With the urbanization of Dhulikhel, the shortage of water became an acute problem. Being the District Headquarter, almost all district level government agencies had offices there. Due to the water availability problems, the officials of these offices were contemplating shifting their offices. And the hardships faced by women in fetching water, also reinforced the demand for improvements to the water supply system.

### 3.2 Conceptualising Dhulikhel Water Supply System

The idea to initiate a community owned water supply scheme in Dhulikhel was drawn from the then successful Bhaktapur development Project being implemented by the erstwhile Ministry of Panchayat and Local Development with the financial and technical assistance from an external agency – GTZ.

It was realised that the inadequacy of the water supply conditions and the appalling sanitary conditions, were the primary driving factors behind the rise of the demand for an effective solution. The concerned authorities were approached and followed up actively by dedicated community leaders, prominent amongst who were Bel Prasad Shrestha, Durga Prasad Shastri, Ram Chandra Ghinaju, Manik Lal Shrestha, Dirgha Raj Nhasiju, Mahabir Chochhe, and Hari Bhakta Khonju. During a chance meeting, Bel Prasad Shrestha, Ex-Mayor/Community Leader of Dhulikhel Nagar Panchayat/Municipality invited Peter Espania of GTZ/Bhaktapur Development Project to visit Dhulikhel, who was given a first-hand appraisal of the hardship being faced by the residents of Dhulikhel due to the acute scarcity of water. Though in the initial stages of project conception, there was no formal mechanism for discussing the issues rather it was mainly through personal contacts and small informal groups getting together as the situation demanded. In the later stages with the interest shown by the German agency, the community got together to make commitments with respect to the creation of an operation fund and voluntary local contribution in the construction phase of the project.

A group of people from Dhulikhel went to observe the activities of the Bhaktapur Project. During the discussions, a strong case was made requesting technical and financial assistance from the German Government for implementing a water supply system to meet the long-term needs of Dhulikhel. Active community participation, including women's participation, was assured and the then Village Panchayat became

actively involved in the whole process. As a result of the demonstrated commitments, GTZ agreed to provide financial assistance to the Dhulikhel Development Project.

The main thrust of the commitments was the close involvement of the community in the development of the project, which culminated in the agreement to create maintenance and operation fund, other voluntary contribution for unskilled labour and local construction materials during the implementation phase of the project and the creation of the Dhulikhel Development Committee/Project.

### **3.3 Creating Institutional Platform**

As per the requirements then in the case of rural communities, it was necessary to set up a users group and a committee to take up this responsibility besides providing voluntary unskilled labour and local materials for the construction work. Several studies were undertaken to formulate an appropriate modality, which resulted in the beneficiaries setting up an ad-hoc committee on the initiative of the then Dhulikhel Nagar Panchayat.

Post its constitution, the Municipality (then Nagar Panchayat) was involved actively in the inception and subsequent stages, assisting and working closely with the District Water Supply Organization to successfully commission the water supply project in 1991. The project was formally handed over to the Dhulikhel Water Users Committee for subsequent management.

### **3.4 Augmenting Support and Resources**

#### **3.4.1 Support from External Sources**

The major external support was from a German agency – GTZ (the German Agency for Technical Assistance). As early as 1977, the then Dhulikhel Village Panchayat, initiated informal contacts with expatriate experts assigned to the Bhaktapur Development. GTZ showed some interest following visits to Dhulikhel and meetings with local bodies to initiate Dhulikhel Development Project. As a result of the demonstrated commitments, GTZ ultimately agreed to initiate action to provide financial assistance to the Dhulikhel Development Project. Finally, the Dhulikhel Development Committee was set up under the Local Development Officer of the erstwhile Dhulikhel District Panchayat for administering the Project with the Dhulikhel Village Panchayat as the Executing Agency.

#### **3.4.2 Support from Central Government**

At the Centre level, Ministry of Physical Planning & Works (MPPW) was primarily responsible for the water supply and sanitation sector, Ministry of Local Development (MoLD) was responsible for providing management support and assistance in development works at the local level, Department of Water Supply & Sanitation (DWSS) was the lead agency responsible for the implementation of Dhulikhel Water Supply Project through its Regional Directorate and District office (DWSO).

Municipal Association of Nepal (MuAN), which is a National Level Association, provided the necessary assistance and guidance to the municipality.

### 3.5 Design

With view of providing uninterrupted treated water supply to the residents of Dhulikhel Municipality, Dhulikhel Water Supply Project came into operation in 1991. The project was formulated in 1987 with the design period of 25 years i.e. till 2012. The total population during base year was 6,840 and the population projection in the design year 2012 was 14,317 with the average growth rate of 3% per annum. The Federal Republic of Germany provided the technical and financial assistance through GTZ.

The Dhulikhel Water Supply Scheme is a gravity flow system serving seven wards of the municipality. The source is Kharkhola which is about 13.5 km. from the distribution reservoir. The present safe yield at source is about 13.5 lps. The treatment plant has two roughening filters, two slow sand filters and a chlorination unit. The capacity of the clear water reservoir is 500 cum. The number of private connections at the end of year 2001/2002 has reached 877. The total cost of the project at the time of handover was calculated at Rs. 36.7 million. The project was initially operated by the Department of Water Supply and Sewerage and handed over to the Dhulikhel Water Users Committee (DWUC) in the year 1993.

### 3.6 Implementation Method

The implementation of the DWSP can be detailed out as follows:

- **Declaring Dhulikhel as a Municipality:** After the discussion between GTZ and local bodies, Dhulikhel Development Committee was set up under the Local Development Officer of the erstwhile Dhulikhel District Panchayat for administering the Project with the Dhulikhel Village Panchayat as the Executing Agency. This arrangement proved to untenable as Dhulikhel Village Panchayat was unable to spend 5 million amount provided by GTZ for the water supply project due to limited administrative and financial authority.

Hence, Dhulikhel was raised to the level of a municipality in the early years of project implementation in order to facilitate expeditious implementation of works under DWSP. This was affected in 1987 and DWSP came under its overall jurisdiction.

- **Agreement with Bhumedanda Village Panchayat:** After some discussions with Bhumedanda VP, an agreement was congenially reached permitting Dhulikhel to use Kharkhola water source. The Dhulikhel Development Committee had to provide financial assistance to Kolati Bhumedanda Panchayat for the construction of Bal Prakash Primary School as per the agreement between the then Kolati Bhumedanda and Dhulikhel Village Panchayats. This agreement did not list down the various commitments clearly and was in general terms to assist/contribute towards the development of the communities providing assistance in this process.
- **Tripartite Agreement:** As per the tripartite agreement between the Municipality, the Government and the donor agency, the Municipality was required to contribute Rs. 300,000 and arrange to take over the responsibility for managing the project after commissioning. The District Water Supply Office (DWSO) of the Department of Water Supply and Sewerage (DWSS) was responsible for the actual execution of the



water supply project. The total cost of the project at the time of handing over has been reported as Rs. 36.7 million.

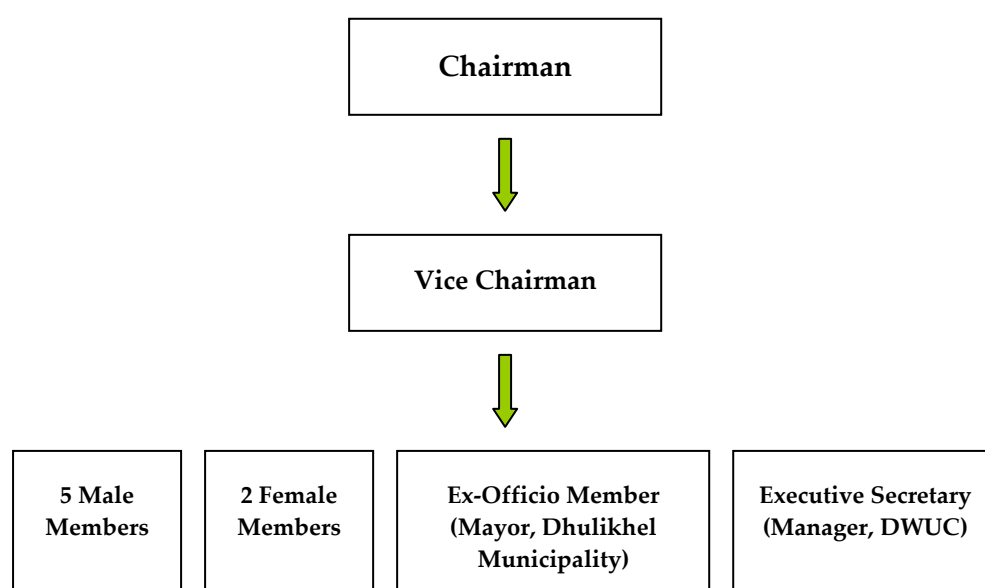
- **Detailed Design & Construction:** The actual responsibility for both the detailed design work and the construction of the project was assigned to Department of Water Supply & Sanitation (DWSS), to be carried out through the District Water Supply Office (DWSO). All major decisions were generally taken in consultation with and after obtaining the concurrence of the Municipality and GTZ - the German Technical Assistance Agency – the funding (donor) agency, supported by the UDLE – Urban Development with Local Efforts. Here, it is important to note that though formal concurrence was not mandatory, all major decisions were taken in consultation as the project was closely supervised by the Municipality and financed by GTZ. Bulk procurement of imported materials like D.I. pipes had to be from Germany and as such the donor agency was fully informed.
- **Community Involvement:** During the implementation stage of the project DWSO carried out all the procurement works and the community was only involved indirectly in so far the Municipality was consulted in all major matters ensuring that only qualitative materials would be used in project execution. During the implementation stage, the community was active in organizing meetings, collecting funds, supervising construction works and negotiating with various parties during conflict situation.
- **Formation of DWUC:** The Dhulikhel Water Users Committee (DWUC) came into existence only in October 1990. DWSO/DWSS also assisted in the operation and maintenance of the system in the initial period. The project was handed over to the DWUC in 1993.

## 4 Dhulikhel Water User's Committee (DWUC)

### 4.1 Generic Structure

DWUC was founded in 1990. The founding committee of the water user's association consisted of 11 members headed by Bel Prasad Shrestha, who was the chairman of the committee. DWUC is an autonomous body with representation from the Municipality and has been recognised as a successful venture at the local community level. The decision to maintain the autonomy of the organisation was the view of the GTZ as well as the stakeholders in the DWSP, which was basically prompted by the existing tendency of unnecessary political interference in the functioning of such organizations.

The structure of the Executive Committee is depicted in the following diagram:



Initially in the founding year of the DWUC, the Executive Officer of Dhulikhel Municipality held the post of Executive Secretary and Project Chief of DWSP was the Ex-officio Member. Municipality representation was necessary to ensure that there are no malpractices in the DWUC and that public good is always the priority of the committee. The role of the Ex-Officio Member is to clearly project the views of the Municipality and the general public during the proceedings of the Committee meetings. He has the same status and functions/responsibilities as the other members and has not been vested with any special authority.

From 1994 onwards regular elections were held to elect the members of the Executive Committee.

### 4.2 Functions and Obligations

The Rules and Regulations for the DWUC functioning were developed during the implementation phase of the DWSP with the assistance of external experts recruited by UDLE/GTZ, the funding agency, which were subsequently approved and enforced by

the concerned authorities. The then MPLD, DWSS/DWSO, the Dhulikhel Municipality (then NP), and DWUC were all involved in the process.

The Constitution of DWUC and its Rules and Regulations have been formulated covering administration and financial management procedures. The main duties and responsibilities of the DWUC are as follows:

- Maintain the regularity and reliability of water supply; prepare short-term and long-term plans; annual budgets and programmes for regular operation and maintenance and expansion works.
- Ensure the security and maintenance of the assets
- Monitor the quality of the water and the environment in and around the source
- Determine and collect tariffs and mobilize resources for making the organization financially sustainable
- Conduct financial and technical audit; administer the technical and financial units; conduct public hearings; approve new connections; recruit staff, fix salaries and benefits, etc.
- After the promulgation of the Water Resources Regulation 1992, DWUC was registered in the District Water Resources Committee under the amended 2000 Constitution of the DWUC without the assistance of any external support.

### **4.3 Tariff Fixation**

Initially, the guiding principle was to set up a maintenance fund of Rs. 300,000 and to ensure proper maintenance and operation of the systems without having to payback the capital invested. DWUC is empowered to affect changes in the tariff structure but this has invariably been opposed by the beneficiaries. In order to improve on ad-hoc nature of the prevailing practice, during the course of some of the studies carried out, socio-economic aspects did cover willingness to pay and paying capacity. The need to make provisions for system improvements and expansions has also been addressed but tariff increases that would be needed from a sound financial perspective have not usually been possible.

Based on the billing records of F.Y. 2002/03, the total annual consumption was 251,827 cu.mts. (made up of domestic – 68% and institutional – 32%). Revenue from water sales amounted to Rs. 2.79 million (of which domestic was Rs. 1.02 million and institutional was Rs. 1.77 million. The average tariff for domestic use works out to Rs. 5.95 and that for institutional use varies from Rs. 18.61 to Rs. 26.56. DWUC has been generating surplus fund except in F.Y. 2001/02 and the cumulative surplus as of 2002/03 has been shown as Rs. 5,091,824.

### **4.4 Management**

In the initial period of the project DWSO/DWSS assisted in the operation and maintenance of the system. The project was handed over to the DWUC in 1993 and since then DWUC is responsible for the management of the project. In case DWUC fails to carry out the operation and management of the system in a proper manner the Municipality would automatically be responsible for running the system in such a

situation. This is clearly mentioned in the handing-over document/agreement between DWUC, Municipality and DWSS.

It has been reported that the work of DWUC has been appreciated quite extensively. Though there have been some criticisms as well. Currently DWUC is maintaining its books of accounts on cash basis. On the general management side, the operational information and accounting are being kept manually. A computerized billing system linked with management information would be advantageous.

DWUC is updating data on population served; tap connections; and tariff structure & revenues through a private consulting firm.

In the first year of operation the numbers of connections were 441, which reached 872 in 2003. The DWUC continues to be under great pressure to extend services to adjacent areas and that an arrangement for extending services to Shrikhandapur (Khadpu) of Ward No. 8 and 9 is in the offing and is to be effective till such time as the infrastructure proposed under UEIP are commissioned and services become available.

Some of the other initiatives are underway like Dhulikhel WUC has been holding meetings with and has proposed to co-operate with Gokhureshwor Greater Dhulikhel W&SUC for jointly managing the existing and the new water supply systems. A formal Memorandum of Understanding has not been signed as yet and discussions and negotiations are on going.

## 5 Reflecting Good Governance

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### 5.1 Commissioning, Functioning of DWSP and the Role of Municipality

The Municipality (then Nagar Panchayat) was involved actively in the inception and subsequent stages, assisting and working closely with the DWSO up to the successful commissioning of the project in 1991. The project was formally handed over to the Dhulikhel Water Users Committee for subsequent management.

In addition, as per the tripartite agreement between the Municipality, the Government and the donor agency, the Municipality was required to contribute Rs. 300,000 and arrange to take over the responsibility for managing the project after commissioning. The District Water Supply Office (DWSO) of the Department of Water Supply and Sewerage (DWSS) was responsible for the actual execution of the water supply project.

Once the project was executed the Municipality was instrumental in the formation of the ad hoc DWUC and ensuring that the management and operation of the system is community-based. The total cost of the project at the time of handed over has been reported as Rs. 36.7 million. The Dhulikhel Water Users Committee (DWUC) came into existence only in October 1990. DWSO/DWSS also assisted in the operation and maintenance of the system in the initial period. The project was handed over to the DWUC in 1993.

As has already been mentioned above Dhulikhel was raised to the level of Municipality in the early years of project implementation in order to expedite implementation of works under DWSP. All major decisions were taken in consultation with and after obtaining the concurrence of the Municipality and GTZ - the German Technical Assistance Agency – the funding (donor) agency, supported by the UDLE – Urban Development with Local Efforts.

Some difficulties were encountered during the time of the actual construction work at the local level. The Bhumidanda VDC within which the water source was located and en-route VDCs through which the pipeline was laid - started putting up demands for adequate compensation quite frequently, holding up the work at times. There seemed to be no limit to these demands that burgeoned with every passing year. The Municipality took on the critical role of a mediator and initiated conflict resolution measures to ensure the successful completion of the project. In such adverse situations Municipality officials, DWUC and even representatives from Donor agency took active part in the negotiations with the VDC people. In many cases their demands were fulfilled. Municipality has been pressuring DWUC to take urgent steps to resolve the conflict, and has financially assisted in developing some local sources as ad hoc solutions and invested in the procurement of a new water source (Shishakhani/Gudgude at a cost of Rs. 2 million – now being aborted by downstream riparian irrigation/agriculture users in Panauti). The Municipality has strongly been advocating the inclusion of the areas presently not served by the DWSP. However, its thin presence in the DWUC has not been very effective in making the DWUC act pro-actively and in a timely manner.

Apart from the above, the Municipality also took initiative in all phases of project implementation by co-ordinating with the concerned authorities and providing financial and logistic support within its means at the local level.

The Municipality has always played the key role in the development of the water supply system and providing assistance and advice as and when needed. Hence, its primary role as being represented in the Water Users' Association is to promote the interest of the residents of all wards and has functioned both as a mediator (as the situation demanded) and as a provider of financial and other support.

While it might be argued that the DWSP is largely an example of proactive community initiative, it is also equally noteworthy that the Municipality has been playing a crucial facilitative role which has helped the DWUC in functioning smoothly thus far.

## **5.2 Adherence to Good Governance Principles**

### **5.2.1 Accountability**

The Municipality remains accountable to the people in the way that the Mayor<sup>2</sup> of Dhulikhel Municipality is the Ex-Officio member of Dhulikhel Water User's Committee. The role of the Ex-Officio Member is not only to project the views of the Municipality and but also that of the general public during the proceedings of the DWUC meetings. So far the Municipality has been strongly advocating for inclusion of all the wards in water supply system. Its thin representation on the committee, however, has led to a limited impact in this context.

The constituting Regulations of the DWUC clearly lay out that if at any point in time the DWUC fails to carry out the operation and management of the system, the Municipality by default will take over the system. To this effect the representation of the Municipality allows the local authority to clearly understand the procedures of management of the system and hence if at any point in time it has to take over the operations, it will be able to do so smoothly.

### **5.2.2 Predictability**

The DWUC for long had been resisting the provision of supplies to some wards in the Municipal jurisdiction. The Municipality had been strongly advocating the inclusion of these supplies for some time now. The DWUC was concerned that the inclusion of these wards would result in water not being available in adequate quantities for the areas currently served. As a counter to this argument, the Municipality advocated augmenting supplies from other sources of water. The VDCs along the water sources put up several demands, which the DWUC alone cannot fulfil. The Municipality has offered to provide both technical and financial assistance to the DWUC in meeting the demands of these VDCs.

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<sup>2</sup> The volatile political situation in Nepal resulted in Local Authority elections not being held for a very long time. During this time the Chief Executive Officer of the Municipality served as the Ex – Officio member on the DWUC. Regulations stipulate for the Mayor to be holding this position, however in the absence of Elected Representative the Municipality officials played this role.

When the Urban Environmental Improvement Project (UEIP, an ADB funded initiative) was initiated, the Municipality insisted on looking at the feasibility of improving the water supply in Dhulikhel. Thus the Municipality has been constantly following up its actions and has been showing commitment to its duties.

### **5.2.3 Transparency**

By allowing the formulation of Dhulikhel as an autonomous institution, the Dhulikhel Municipality has perhaps demonstrated quite clearly that it intends to remain transparent in its initiatives as far as is possible. It has ensured thus far that the DWUC does infact also remain transparent in its conduct.

### **5.2.4 Participation**

The formation of the Municipality has itself been a result of proactive community participation in the development process. This has been carried further by the Municipality in ensuring that all its development initiatives involve community to the largest possible extent. It also ensures that people participate actively in the affairs of the DWUC so that there is no possibility of malpractices.

The Municipality has been actively involving the community in attempts to resolve the conflicts ongoing within the Dhulikhel. Besides it is also encouraging community participation in resolving conflicts with the VDCs at the new water sources.

### **5.2.5 Rule of law**

While the Municipality has no authority over the DWUC, it does have an obligation to ensure that the DWUC does not violate its own constitution and duly follows all the rules and regulations laid out in the law pertaining to Water Users' Committee amendments. By sending a representative on the committee, the Municipality adheres to this obligation and keeps a check on the DWUC's activities.

Besides, it is also obliged to perform its own duties pertaining to the development of Dhulikhel. The Municipality has been providing various kinds of services within Dhulikhel as has been outlined earlier.

## 6 Conclusion

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Community involvement in the development process is the new mantra. Globally, efforts are being made to seek extensive participation from the communities and make the development process as transparent as is possible. To be able to achieve the aforementioned, it is crucial that authorities govern and govern well. Good Governance, as has been proven time and again, is the foundation of any successful development project.

Dhulikhel Water Supply Project in its entirety stands out as a unique example of Community Owned Infrastructure Service Delivery. While it can be argued that the Municipality, in today's context, has a very limited role to play in this system, it is also equally important to realize that the presence of the Municipality also has an impact on the overall functioning of the system.

The Dhulikhel Municipality, which came into existence only due to this project, has been actively playing a facilitative role in the overall process. It ensures that the DWUC operates and manages the water supply system efficiently. It does not limit itself to this, but also goes further to ensure that the DWUC manages its own affairs in a transparent manner.

Good Governance has been at the heart of the success of DWSP. The Municipality's efforts have played an equally critical role in this success story. During the nascent stages of the DWUC, the Municipality allowed DWUC to achieve a firm footing by hand holding it through many difficulties. In the post – development stages, the Municipality has been facilitating the smooth functioning of the DWUC and has is also playing an active role in resolving conflicts at various levels.





# Good Urban Governance in South Asia (GUGSA)

DOCUMENTATION OF CASE STUDIES  
BANGLADESH

## ***Good Urban Governance Practices in Bangladesh – Case Studies of Kushtia & Tongi***

Prepared by  
DEVCONsultants  
Limited



# **Good Urban Governance in Bangladesh**

## ***A Case Study of Best Practicing Municipalities***

**November 2005**

**Good Urban Governance – South Asia (GUGSA) Project**

**U.S. Agency for International Development (USAID)**

# **Good Urban Governance in Bangladesh**

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## LIST OF ACRONYMS

<b>BBS</b>	: Bangladesh Bureau of Statistics
<b>BSTI</b>	: Bangladesh Standards and Testing Institute
<b>CBOs</b>	: Community Based Organizations
<b>CCC</b>	: Central Coordination Committee
<b>CCDB</b>	: Christian Commission for Development in Bangladesh
<b>CDC</b>	: Community Development Committee
<b>CIB</b>	: Community Investment Business
<b>GOB</b>	: Government of Bangladesh
<b>GUGSA</b>	: Good Urban Governance in South Asia
<b>HRD</b>	: Human Resource Development
<b>IGA</b>	: Income Generating Activities
<b>LGED</b>	: Local Government Engineering Department
<b>LPUPAP</b>	: Local Partnership for Urban Poverty Alleviation Project
<b>MoH&amp;FW</b>	: Ministry of Health & Family Welfare
<b>NGOs</b>	: Non-Governmental Organizations
<b>PCC</b>	: Project Coordination Committee
<b>PG</b>	: Primary Group
<b>PIC</b>	: Project Implementation Committee
<b>SAARC</b>	: South Asian Association for Regional Cooperation
<b>UN</b>	: United Nations
<b>UNDP</b>	: United Nations Development Programs
<b>UNICEF</b>	: United Nations International Children's Emergency Fund
<b>USAID</b>	: US Agency for International Development

# **Good Urban Governance in Bangladesh**

## **A Case Study of Best Practicing Municipalities**

### **INTRODUCTION**

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Bangladesh is one of the most densely populated countries in the world. The country witnessed a rapid expansion of its urban base from 8.21% to nearly 25% between 1974 and 2003, where 33.75% out of 140 million of the total population is living in urban areas. UN estimates suggest that by 2030 the urban population is likely to cross the 80 million mark. With around 12.5 million people in 2001, Dhaka alone contains nearly 40% of the total urban population of the country. Recent estimates place the population of poor in Bangladesh at 60.9% of the total. Poverty is widely recognized as a multi-dimensional problem involving income, consumption, nutrition, health, education, housing, crisis-coping capacity and insecurity.

In order to address the growing and basic needs of urban population through alleviation of poverty, a series of development projects have been undertaken over the last decade, funded both from national and international sources. However, those projects could hardly meet the requirements of the urban poor. Although, in terms of investment, the amount spent in those development projects was not negligible, the government of Bangladesh and international donors agree that the projects would have had more impact if good governance practices had been exercised.

This study was carried out in March 2005 as a part of Good Urban Governance in South Asia (GUGSA) Project of USAID's Regional Urban Development Office (RUDO). This encompasses the objectives of assessing and disseminating practices of governance principles to improve the 'response capacity' for dealing with the problems and issues associated with accelerated urban growth, and to meet the increasing demands for essential services within the territories. The report contains the precise stories and lessons learned on current practices regarding principles of Good Urban Governance by two municipalities in Bangladesh, Kushtia and Tongi.

### **Objectives and Scope of the Case Studies**

The general objectives are to ascertain, analyze, document and disseminate the extent of urban good governance by the selected municipalities through their development projects. It also measures the extent of sustainability and replicability of the practices of accountability, transparency, participation, rule of law and predictability into the

areas of institutional strengthening to address poverty and social justice as a whole among the communities in low-income urban settlements.

### **Selection Process of the Case Studies**

The study involves a comprehensive and sequential process/ methodologies in identifying the best practicing municipalities. The process was completed in two major stages involving project partners and community participants, with active facilitation from a highly professional team of consultants. At the first stage, two best practicing municipalities were identified from a long list of two hundred municipalities using a set of criteria such as population size, population growth rate, per capita total revenue, per capita capital expenditure and program coverage. In the second stage, a detailed and in-depth study was conducted with active involvement of project partners, stakeholders and community participants in the study areas.

## **Case 1: Kushtia Municipality**

### **Local Partnership for Urban Poverty Alleviation (LPUPA) Project**

The LPUPA Project began in 1998. Kushtia municipality started implementation of its revised second phase jointly with UNDP from July 1999, with an aim of empowering the urban poor and alleviating poverty. The project involves a holistic “bottoms-up” approach to poverty eradication through urban community organizations, capacity building of local communities and establishing and strengthening linkages between the poor communities and the private sectors, with local government and non-government service-providers and policy-makers. The project follows a fundamental principle of decision-making: every decision is to be made at the lowest operational level, as major project activities are undertaken at the community level. The Local Government Engineering Department (LGED) together with Municipality under the Local Government Division is executing the project.

At the municipality level, a project coordination committee was formed to undertake planning, coordination and monitoring of the project activities. This committee comprised of individuals and representatives from the Municipality, LGED, MoH&FW, Primary Education Department, Social Welfare Department, Women & Child Directorate, DPHE, NGO Umbrella Organization, local UNDP office and from other relevant organizations. Private and other Development Organizations like UNICEF. Social Mobilization or Community Organization, Capacity Building, Community Exchange Program, Community Development Fund for Community Contracts, Income Generating Activities (IGA), Local Government Responsiveness to the Urban Poor and Resource Mobilization are major components of the project.

The project has adopted a large variety of participatory tools including Participatory Urban Appraisal (PUA) for social mobilization and forming community-based organizations (CBOs). A total of 33 Community Development Committees (CDCs) have been formed that consists of 228 primary group members. They represent 4,106 households and a total of 19,355 people from low-income settlements.



## Char Kuthipara Community Development Committee: The Specific Case Study

### Current Scenario after CDC Intervention

The Community Development Committee (CDC) in Char-Kuthipara, has operated for four years, having been officially formed on 2 December of 2001. It is located in the Ward No. 3 of the Kushtia Municipality. The household pattern in the Char-Kuthipara slum looks comparatively better than other areas. With approximately 500 houses owned by about 310 families located on 7-8 acres of land, it constitutes a densely populated area in the town. There are 10 full brick buildings, 50 houses are with brick-wall and tin-sheet roofs, 150 houses are fully made out of corrugated tin sheets and 290 with bamboo-walls and tin-sheet roofs. Most of the land in the settlements is privately owned. Of the individuals living in this community, 37% are female adults; 26% are male adults and 37% are children under 12 years of age. The male-female ratio in this settlement indicates an unfair distribution of population as compared to the national scenario. Since the number of adult females is comparatively higher than males and since many households are headed by women (20%), this community is a place where women carry an unfair economic burden.

The study shows that the majority of the population is comprised of day laborers (42%), while 11% of the populations are women working as maidservants in neighboring wealthy areas. Public and private institutions employ only 5.3% and 2.6% of the population work in small businesses, while more than 6% of youths in the slum are unemployed. According to the Bangladesh Bureau of Statistics, the district level per-capita income of the community in 2001 was Taka 16,546 (US\$329), as compared to the national average of Taka

*“We became confident on our unity and strength, and decided to use that in a partnership business”*

*- Mr. Selim, President of Char Kuthipara CDC*

A partnership enterprise named “Community Investment Business” (CIB) was formed on July 1, 2004, consisting of 18 women and 2 men to produce and sell powdered spices. Members came from 3 neighboring CDCs. They registered the CIB with the local Kushtia Municipality as a group with the purpose of empowering women to improve their economic condition.

In December 2004, members took a loan from their primary savings and credit groups to form a capital fund of Taka 40,000. The male partners visit the rural markets to obtain raw materials at the best prices. The female partners undertake the processing of raw materials (e.g. crushing, finishing and packaging). Relevant CDCs take initiative for selling the CIB products. CIB leaders acknowledge that the project helps them to organize people into community groups and it shows the strength of people’s organization and collective efforts.

The CIB earned an average of 10% profit after the first 4 months of operation. Recently it developed a proposal for business expansion and subsequently submitted it to UNDP through the LPUPA Project and to Kushtia Municipality for funding of Taka 2 million. Upon receipt of the fund, the CIB intends to expand its business and market share to maximize profits and achieve organizational goals.

24,598 (US \$421). In Char-Kuthipara only 4% of slum dwellers can secure an annual average income of Taka 48,000; 6% of households earn Taka 36,000-48,000; 16% of households earn Taka 24,000-36,000 and the remaining 74%, struggle to earn Taka 9,000-15,000 per year, which is less than the minimum requirement for managing a per capita calorie intake level as low as 1805. To meet this basic calorie requirement, a family needs an income of at least Taka 31,200 per year. Hence, most people living in the community fall below the poverty line.

Char-Kuthipara settlement has an overall literacy rate of 88% (1680 out of 1900 persons can at least write his/her name), compared to the national rate of 65%. The enrollment of students from the community is significantly improving. The CDC has undertaken a number of training programs for skills and capacity building of its members and beneficiaries. They have provided leadership training to 4 members, gender training to 4, financial management training to 2, group management training to 20, poverty alleviation training to 4, life skills (technical and vocational) training to 8 members and other community level beneficiaries.

Char-Kuthipara is one of the most densely populated settlements in the town. It has only single and narrow passages inside. During the last two years, a total of 5 kilometers of inside roads have been constructed, of which CDC contributed for 2 kilometers of earth-works using their own funds. Kushtia municipality allocated funds for the rest.

During the last 4 years of the project, water facilities and sanitation conditions have been significantly improved in the Char-Kuthipara area. The CDC took measures for increasing coverage and use of sanitary latrines, drainage, tube-wells and waste bins for promoting behavior changes and a safer environment. They have increased access to the existing government and non-government services related to essential health. The project provides basic information regarding existing health services, particularly for the women and children to increase community awareness regarding available services, as well as fulfilling their rights.

Most of the community households have electric connections. No households in the area have landline telephones; however, more than 50 individuals use personal cell-phones. All households of the slum have to use fuels like firewood, kerosene or concentrated gas for household purposes.

Char-Kuthipara slum has a community center, constructed by a NGO named CCDB, which is also used as an informal primary school. Community members use this center on various social occasions, but they still have no specific community-based facilities to be used for recreational purposes.

## **Community Scenario before forming CDC**

The community is comprised of internally displaced and migrated people from rural areas, who lacked unity prior to the formation of the CDC. This limited the community's ability to bring about positive changes in its overall socio-economic status and habitat. Lack of employment opportunities, natural disasters (e.g. river erosion) and other socio-political deprivations (e.g. divorced women, families evicted from homesteads, etc.) push rural people into the urban low-income settlements. There are major deficiencies in basic urban services provided in and around this area, including lack of access to safe drinking water, poor roads and by-roads, limited electricity and fuels, insufficient surface drains or waste disposal systems and few sanitary latrines, apart from limited information and education programs. Moreover, while communication networks and services are instrumental in bringing about changes in economic conditions, the community people did not have access to telephone, energy or the local market for promoting economic enterprises.

## **CHANGE FACTORS IN PEOPLE'S LIVES AND LIVING CONDITIONS**

The LPUPA Project of Kushtia Municipality has been performing as a replicable role model. It achieved predetermined objectives of creating a sustainable process of supporting people's efforts to overcome poverty and for mainstreaming policies of urban governance. It has created a substantial effect on the municipal service delivery system, basic infrastructure improvements and on overall socio-economic condition of the urban communities.

The increasing response capacity of the local municipality to the needs and priorities of the low-income settlements is resulting in significant changes in the lives of the community in terms of health, hygiene, safety, security and a development-enabling atmosphere through the establishment of a substantial number of sanitary latrines, tube-well, bathing places, drainage and waste bins, roads and walkways and facilitating processes of administering rule of laws.

The study clearly indicates that the current unemployment rate is only 6%; 60.41% of the slum dwellers are engaged in different income-generating activities and occupations including day labor, small enterprises, government and non-government services etc. It also suggests that through participation in the primary group and CDC activities, the community is becoming more organized and gaining a sense of ownership of the implementation processes and its outputs.

## **Case 2: Tongi Municipality**

### **Supporting Households Activities for Hygiene, Assets and Revenue (SHAHAR) Project**

The SHAHAR project started at the end of 1999. After the successful completion of the first phase of direct implementation in 2003, the current monitoring and follow-up phase is scheduled to be completed by 2010. This is one of the 4 projects under the PL 480 Title II Integrated Food Security Program (IFSP) of CARE Bangladesh supported by USAID. The project works through five major paradigms (community mobilization, institutional strengthening, income generation, health-hygiene and nutrition and minor urban infrastructure), all of which are delivered through partnerships with local NGOs and the Pourashava (Municipal Authority). It is one of the largest urban pilot projects in the world, with an annual budget of approximately USD 3 million, over a 5-year period.

The overall goal of the project is designed to achieve the objectives in its operational areas: to protect and promote household income and community resources and assets; to improve hygiene and maternal childcare practices of vulnerable groups; and, to create effective and sustainable institutional support mechanisms. The ultimate goal of the project is to protect and promote food and livelihood security of the urban poor and vulnerable households in high-risk urban areas of Bangladesh.

The operational framework of the project allows community-based organizations to maintain an administrative and financial relationship with the Municipality through their central federation, the Community Development Forum (CDF). The Engineering Division of the municipal authority directly supervises project activities being guided and supported by the Chief Executive Officer (CEO). CARE Bangladesh provides technical and financial support to the grassroots project stakeholders e.g. CBOs, their federations and the partner NGOs in consultation with the CEO and Municipal Chairman.

The project activities are designed as an integrated set of interventions keeping within the Household-Livelihood-Security framework (HLS). It is comprised of 4 discreet but integrated sets of activities: Community Mobilization and Institutional Strengthening (CMIS), Income Generating Activities (IGA), Health, Hygiene and Nutrition Activities (HHN) and Minor Infrastructure (MI). The SHAHAR project is an integrated project to be coordinated among seven principle stakeholders: LGD of MoLGRD&C/GOB, USAID, LGED, CARE Bangladesh, Tongi Municipality, Partner NGOs and CRMCs.

## Ershad Nagar Community Resource Management Committee (CRMC): The Specific Case Study

Community Resource Management Committees (CRMCs) are the local community-based organizations, and the Community Development Federation (CDF) is a municipality-based apex organization comprising of different CRMCs (76). The municipality-based CDF is registered with the Government's Social Welfare Department and is acting as the central coordinating body among all CRMCs and other development partners.

### Current scenario after CRMC intervention starts

#### Major Organizational Activities of CRMC:

Organizational: inform community people about the organizational goals, objectives, activities, importance and establish an organizational identity. This also includes the identification of local problems, mobilizing local communities and resources, creating issue-based local movement, etc.

Social Development: Identification: local issues, planning for community development, undertake infrastructure development activities, arbitration, assist community people to increase access to municipal services, create mass awareness on education, health, women empowerment, dowry, violence against women, child-marriage, child rights, anti-trafficking, etc.

Economic: fund-raising, expenditure for development activities, fund management, accounting and financial evaluation of the organizational activities.

Activities related to institutional capacity building: training needs assessment, planning and mobilizing training for the CRMC members. That includes training on leadership development, building liaison and network with local service providers, training on infrastructure maintenance, environment & development, women and children rights, financial management, human rights – social justice and good governance, etc.

The CRMC is located in Block-4 of the largest low-income settlement widely known as Ershad Nagar under Tongi Municipality. This settlement constitutes 1,130 households with a total of 5,475 people, among which 1315 are male, 1455 are female and 2710 are children under the age of 12. There are 1127 Muslim households, two Christian families and one Hindu home in the area.

According to the local people, this area began to evolve during the post-liberation war of Bangladesh in 1971, and became a full-sized, urban low-income settlement in 1974. Most of the people presently living in Ershad Nagar came from different slum areas of Dhaka City Corporation. Major reasons of their move here was eviction and periodic land acquisition by the government. The regional migration has been mostly due

to river erosion, unemployment, and various types of social or political deprivation including exploitation, violence against women, divorce and eviction. The municipality owns the entire parcel of land on which the settlement has developed, but plot-wise positions are leased-out to selected households. Perhaps due to the ownership pattern, most houses are temporary structures; these include 554 tin-sheet houses, 145 brick-wall and tin-roofed and the rest with bamboo fencing.

During an assessment conducted by the SHAHAR Project last year, it was found that only 5% of households represent middle-economic class earning an average monthly income of Taka 7000-8000; while 15% represent the lower middle class and 80% represents the extremely poor, who can hardly earn an average of Taka 3000-4000 and Taka 1000-2500 respectively. People living in the low-income settlements have better economic opportunities than those living in other areas of the country. Nearly 20% (1050) of the community, mainly women, are engaged in the neighborhood garment industries. Another 27% of households run small income- generating enterprises.

From an educational perspective, the Ershad Nagar Block 4 community is better than most, with only 2% illiterates. Approximately 80% have been able to cross the primary level (Class I – V), 15% the secondary level (Class VI – X) and 3% obtain higher secondary and above education. Presently the CRMC uses a community center building for a non-formal primary school in the daytime, and organize adult literacy classes at night, supported by the Project.

Ershad-Nagar CRMC facilitated diversified entrepreneurship in at least 44 trades in order to create employment opportunities for people of the community. Moreover, a



Entrepreneur:  
Ms. Rahima Begum,  
Age: 35  
Husband: Mr. Nuru  
Bepari  
Plot No. 125/A  
Ershad-Nagar, Tongi

*Origin: Resettled from Bikrampur under Munshiganj district through getting married to an inhabitant of the slum.*

Rahima's husband lost his job in 1996, and they became helpless. Earlier Rahima had bought a cow using the family savings in 1992, and now selling the milk of the cow was her only income source. It was really hard to maintain a family of three with this earning. So she somehow managed a small loan from TDH in 1997, and bought another cow and a rickshaw-van for her husband. Over the time her family demand increased, and she then got involved in the CRMC group activities.

Success began when Rahima started group savings, got loans from the CRMC and made proper uses of the loan. Now her average monthly income and expenditure is 9 and 7.5 thousands respectively. Rahima has now 8 cows, among which 2 are giving milk. She has bought 15 decimal lands in Gazipur. Now her family is living in a brick-constructed house having good quality furniture and facilities.

Rahima and her family have increased access to education and information. They all have knowledge about health and hygiene practices. They brought positive changes in their food habits and behavioral practices, which led to a better-off livelihood.

total of 150 community entrepreneurs have been provided with different vocational trainings by the Project. An additional 958 CRMC and Primary Group members have participated in various skills development training. A total of 779 IGA group members have been trained in the areas of IGA (income generating activities), accounts management, leadership development, advocacy, demand mediation and good governance. All these vocational and skill development-training programs have significantly contributed to develop social capital in the community.

Currently, there are about 13 kilometers of access roads and footpaths inside the Ershad Nagar settlement, among which the Municipality and CARE Bangladesh constructed 8 and 5 kilometers respectively. Last year the Municipality, in association with CARE Bangladesh, constructed 2 kilometers of roads in the eastern part of the neighborhood.

Although not properly managed, the Ershad Nagar settlement is covered with about 5 kilometers of drainage, of which 1 km. is RCC and 4 kms. is brick-walled. There are 3-4 big waste bins provided by the municipal authority and the CRMC has fixed 200 common places for disposal of household solid-waste. Municipal workers come and pick-up the waste on a daily basis.

The Project has constructed 2 community latrines, which serve 200 households. However at this time, most of the households have installed sanitary latrines for their own family use. There are 125 tube-wells in the community, of which 75 are installed by the SHAHAR Project. This ensures the community 100% access to safe drinking water and sanitation.

The Ershad Nagar low-income settlement is fully covered by electricity, but most households still remain without gas connections. For telecommunications, community members use nearby private phone-call centers. Ershad Nagar does not its own healthcare facilities. Community members mostly depend on the public and private centers established across the municipal area and in the capital city of Dhaka for essential health services.

### **Community scenario before forming the CRMC**

Before the SHAHAR Project, community members of the low-income settlement did not have enough mutual support to undertake joint actions against common social, economic and other livelihood problems. The community lacked confidence and leadership. The SHAHAR Project created a sustainable impact in improving the overall socio-economic status of the Ershad Nagar community, by organizing them into community-based groups and developing their potential and capacities.



Ershad Nagar settlement dwellers had to struggle to increase their incomes in order to survive. The members lacked basic knowledge about health, hygiene, sanitation and the environment. They had no access to information about the local service providers, or economic opportunities by which they could benefit.

Employment opportunities were limited. People worked as daily-wage laborers in construction firms and earth works, ran rickshaws and rickshaw-vans, small-scale household-based poultries etc. While the private sector garment industries began to evolve in Bangladesh during the 1990's, Tongi Municipality, located near the capital city, began to derive some trading advantages.

The physical facilities and communication services in this area began to improve during late 1990's. Local municipal authorities constructed main access roads from Ershad Nagar to Tongi town in 1996. There were no brick-topped roads and pathways inside the area at that time. The municipal authority finalized the pattern of housing settlement through signing lease agreements with the dwellers, constructed semi-pucca households and provided other relevant community facilities. However, the respondents considered this development to be inadequate.

Essential services relating to energy, electricity, telecommunications, health and basic transportation remained almost unchanged for the last five years. The community households still gas/energy facilities and basic health services.

## **CHANGES IN PEOPLE'S LIVES AND CONDITIONS IN ERSHAD NAGAR BLOCK 4 LOW-INCOME SETTLEMENT**

The model introduced by the SHAHAR Project has brought significant changes to the community in terms of lives and livelihoods. Community members in the low-income settlement have achieved their intermediary goal of sustainable socio-economic development. Following are the features of changes already accomplished.

### **Municipal Service Delivery**

Installment of 2 community latrines by CRMC and individual initiative for installation and hygienic use of sanitary latrines in households has extended the opportunity for safe disposal of human excreta among 400 new households and increased sanitation coverage to 100%. Installment of 125 new tube-wells has increased access of the households to safe drinking water. Construction of 5 kms of new drains and selection of 200 spots for solid waste disposal has helped the Municipality to solve the problem of safe disposal of household solid waste and water clogging. Construction of 13 kms



of roads and pathways under the CRMC area has increased access to local markets, communication systems, transportation and vehicle movement within the area. Moreover, the Project's successful implementation in preceding years has generated a significant amount of community demand for further project extension and new initiatives towards effective and efficient municipal service delivery.

### **Urban Livelihood (Social and Economical)**

Average household income in the community has increased by at least 3-4 times as compared to that in the previous 5 years. Not only did it provide the citizens with better economic conditions, but also enhanced the socio-political identity among the communities. Now most members of the community have found employment, and can buy essential commodities or services, including proper medical treatment, education, and clothing for their children and family members.

### **Employment and Poverty Reduction**

The current unemployment rate (below 5%) in the settlement is quite low, with approximately 70% of community members engaged in different income generating activities or occupations - including day labor, small enterprises, government and non-government services. The pattern of food intake, trends in educational development and the level of general awareness among the community contributes towards an enhanced economic condition generated from current diversified employment opportunities.

## **PRACTICES OF GOOD GOVERNANCE PRINCIPLES IN BOTH MUNICIPALITIES**

**Accountability:** Both CBOs, Kushtia and Tongi, practice participatory planning and the implementation of project activities at the community level. They select their leaders in a democratic way. Monthly committee meetings are organized to discuss and share project activities and to take decisions with the involvement of all members. These meetings are used to report progress and problems encountered during their implementation to the general community people. Moreover, municipality and project (NGO) staff often attend the CBO meetings and present the status of the technical supports planned and provided. CBO members use these meetings to raise other issues – problems or needs and required support, particularly of the un-served poor and the women. The project structure and reporting mechanism facilitates stakeholders to report to each other for their respective planned support. CBO leaders, coming back from project level coordination meetings and other workshops, routinely share issues and decisions with other committee members. They address public complaints and grievances within the community, demonstrate sincerity in performing assigned job responsibilities, and ensure proper utilization of project resources and opportunities.

**Transparency:** The community-based organizations and the projects in both municipalities maintain full transparency in all of their operational aspects. Allocated project funds and procedures are disclosed to the public by hanging signboards in front of the CBO offices. Every member clearly knows about the CBO budget, income and expenditures incurred, contracts awarded for construction works, management and distribution of funds, etc. In every project meeting, progress made and constraints encountered are discussed with respect to activities and expenditures. Community members also have access to information relating to project implementation processes, financial matters and any other queries.

**Participation:** The CBOs are making maximum efforts in order to ensure local participation, particularly of the women and the poor, beginning with community mobilization, group formation, project planning and implementation levels. In addition, they ensure participation of the civil society representatives and other service providers in the meetings. All decisions made in the CBOs are routinely documented and subsequently shared with the absent members, which reflects continued interactions and healthy relations between the members. In Kushtia, the implementation guidelines of the LPUPA project, protects the rights of participation of the community in a consolidated manner. As a result, development plans at the local and municipality levels represent needs, interests and priorities of the community

members. The urban poor and women members of the CBOs have strong roles in the project implementation and decision-making processes.

**Rule of Law:** In Kushtia, CDC leaders prefer to handle the complaints and grievances through assisting respective ward commissioners and the municipality chairman to administer functions related to the enforcement of laws. But in Tongi, the CRMC itself handles the complaints and grievances coming from community members at the initial stage, and if required, they take assistance from ward commissioners and the municipality chairman to resolve the conflicts in a fair manner. The fair and strong supporting role of the CBOs in each municipality has made significant changes in maintaining law and order. Since the CBOs extend assistance to the municipal governments in taking action against local crime, the abuse of drugs, gambling and sporadic muggings have been remarkably reduced. This helps municipal authorities maintain law and order and thus, resulting in a more congenial environment for economic/ industrial development in the area. Having increased employment opportunities, particularly for the low-income community members in Tongi Municipality has also been a positive development.

**Predictability:** The study interprets predictability as - ascertaining the preparedness and future planning of the CBOs in both municipalities for coping with the urban pattern of instability in terms of settlement, access to available economic opportunities and continuity of social development. The community members at both places are found to be fully aware of their socio-economic uncertainty and probable impacts over their political lives. CBOs and the concerned Primary Groups take these into account, and encourage members to consolidate their savings as much as possible so they can cope with any adverse situation themselves. The CRMC in Tongi has made remarkable progress in creating contingency funds through members' subscriptions, so that it can extend financial assistance to concerned members in case of further eviction or any kind of household damages caused by natural calamities. The Community Development Forum (CDF), an apex body of the CRMCs, also facilitate the process of awareness and encourages all of its member CRMCs to raise funds like the Ershad Nagar CRMC for protection against future economic challenges.

### ***CBO– Municipality Interdependency: An instance of Motivation***

Apart from practicing good governance principles themselves, both municipalities are found to be very proactive by involving all CBOs in the municipal governance system. They organize on a regular basis various occasions like national and international day observance, cultural functions, annual Poura-Mela (exhibition-Tongi) along with

CBOs and partner NGOs (for Tongi) to demonstrate progress in socio-economic development within the municipal territories. Selective CBO leaders are continuously encouraged to participate in the municipality-based different coordination committees, for example Total Literacy Movement, Slum Improvement Committee, Gender Committee etc. On the other hand, municipal authorities are also found to be enthusiastic with participating in the various occasions organized by the CBOs. All these stories indicate a high degree of inter-dependence between the CBOs and the Municipality, which helps promote effective governance.

## **SUSTAINABILITY AND REPLICABILITY OF THE KUSHTIA AND TONGI MODELS**

### **Sustainability of the Project Processes, a Calculative Hunch: Char-Kuthipara CDC, Kushtia Municipality**

The study team examined different parameters in the context of assessing sustainability of the project. The CDC has attained the formal authority and recognition by the communities as well as the local municipality. It has been in the process of developing and operationalizing its own governing systems and procedures to undertake social development issues. The planning and implementation process of the CDC takes sustainable shape through the institutional capacity strengthening initiative of the project. It demonstrated distinct group characteristics, which gives it a unique identity. The study indicates that an enhanced level of individual and group interests is involved in organizational development and in achieving the sustainable project processes. Furthermore, networks of the CDC with local service providers and local government bodies justify the belief that the process can be sustained.

### **Ershad Nagar Block 4 CRMC, Tongi Municipality**

The entire process of the project exercised throughout the interventions, is predicted to be sustainable in terms of its effects and in achieving its ultimate goals. The project undertakes its strategy revision, while the key question was always: “Will the activities be sustained after the project no longer exists?” This led to the formulation of an innovative “Pressure Plates Model (PPM)” that was developed by CARE Bangladesh. The model operates on the premise that unless the community takes charge of its own development, it will slowly erode and eventually disappear. Apart from community mobilization, adequate support structures have been established so that these communities could receive assistance in different areas. Taking this philosophy, the model attempted to create an environment where pressure emanates from one of the smallest units of the community, the household.

The project began concentrating its efforts in sensitizing and mobilizing local service providers (LSPs) at the final stage of the PPM process, where the pressure applied by the representative on the CRMC would correspondingly create a resultant pressure, which the CRMC would transfer to the relevant LSPs concerned with that issue. The hypothesis was that should the project be successful in mobilizing the different special interest groups in that community on relevant issues which affect them rather than general issues, and finally be able to make the LSPs more responsive, then the communities would be in a position to continue their development on appropriate and current issues even after the exit of CARE and its partner NGOs.

## **Replicability of the Models in Practice:**

The model of poverty reduction through local partnership among communities, local government and UNDP in Kushita has continued to achieve sustainability in terms of its program planning, implementation, financial self-sufficiency and employment generation. The SHAHAR Project has been successful in improving local governance in Tongi, compared to other municipalities. The model of community empowerment and grassroots institutional development through an effective partnering among urban low-income communities, local government, partner NGOs and CARE Bangladesh in Tongi has also achieved a measure of sustainability. The particular CBOs have successfully exceeded others (e.g. CDCs and CRMCs) in demonstrating practices of good governance, promoting participation at multiple levels and fostering CBO-Municipality interdependency, employment generation, and thus contributing to reduction of poverty as a whole.

Both models (in Kushtia and Tongi) operate within a general framework similar to most municipalities in Bangladesh. From this point of view, the study assumes that this model of participatory planning and implementation could be smoothly replicated in other areas as well. Moreover, as the major strengths and instruments of the project for urban poverty alleviation lie with the participating communities, this could also be tried out in other countries in the sub-continent representing similar demographic and socio-economic conditions.

## LESSONS LEARNED

Numerous lessons have been identified and learned from the project in both municipalities. Despite the lack of adequate process documentation on valuable lessons i.e. events and facts, which have been affecting their lives and attitudes, some community members make positive testimonies.

Vital lessons learned are:

- **Enabling environment is a pre-condition for the success of any collective actions.**

The LPUPA and SHAHAR Projects in both municipalities have created outstanding effects because of the opportunities they provided to the people of the community for participating and facilitating the process to meet their own needs and preferences. CBOs in both areas have direct funding for undertaking development activities, which provides them with authority in decision- making, undertaking collective actions and empowering organizations.

- **Women's participation makes the difference.**

Before launching the Projects, more than half of the idle people in the community were female. Efforts made by women entrepreneurs' added distinct value to the communities' struggles for better livelihood. Successful integration and mobilization of the women in the community into the development activity brings a sense of well-being to the larger society.

- **Integrity in leadership and organizational dynamics make people united.**

For many reasons, the poor people were losing the interests and trust in community development initiatives undertaken by the government and non-government agencies. However both these Projects have been able to consolidate integrity among the leadership of community organizations and continue addressing demands of groups in the community. This has helped rebuild trust and respond better to the interests of the disadvantaged people in community organizations and their leadership.

- **People follow, once the way is shown.**

At the time that the Projects began, the people did not show interest in participating, even demonstrating a lack of confidence in those initiatives. But when some innovative people started taking part and brought about success at their individual level, then others started to follow. The primary challenge of the project was to identify and mobilize the right resource persons.

- **Mutual trust and unity again proved as key power.**

The CBOs' leadership in community development significantly eradicates the common phenomenon of helplessness, lack of trustworthiness, powerlessness particularly among the women and the poor. Through the project initiative, people came together, interacted and undertook joint actions for the betterment of their community.

- **Development in entrepreneurship and social advancement goes together.**

Poor community people, particularly the women, take the opportunity to develop their entrepreneurship skills through training and exchanging experience with other CBOs. They also get access to and make use of micro-credit supports for achieving their social empowerment.

- **Access to basic services increased through network of local providers.**

A local network of essential service providers has been formed in Tongi, which greatly helps community members increase their access to basic services related to health and nutrition, micro-credit, education and life-skills development.

- **Last but not the least, the practice of good governance principles fosters acceptability.**

Although there is still room for further improvement, the overall performance of the CBOs in terms of practicing good governance principles has been remarkable. They have demonstrated good examples of establishing joint accountability, promoting participation, maintaining transparency, increasing access to information and services, extending cooperation in executing rules of law and enhancing coping capacity of the community. This has resulted in achieving high levels of organizational acceptance by the common people in both municipalities.



## **Key Messages of the Study: The Conclusion**

The CBOs have potentially emerged as a dynamic grass-roots people's institution. Their functional mechanism affects the multi-faceted dimensions of urban development through adoption of participatory planning and implementation processes. Presently the CBOs in both municipalities have been in a position to respond to the complicated urban issues and challenges, which have accelerated due to recent population boom in the country. The CBOs have also proved to be effective for decentralization of local government by showing their ability to be self-governing organizations. They have successfully accelerated women's participation in the community development initiatives, changing women's position in the society. They have learned how to play the effective role of a change agent for exploitation of greater socio-economic benefits provided by the process of urbanization, so that the poorest segment of the community can reach the benefits. This is important in the context of ever-growing disparity between the rich and the poor in the newly emerging urban societies of the country.

Lessons learned from the CBOs and their communities include recognition of the importance of an enabling environment in empowering grass-roots communities, particularly of women and the poor. Given the opportunity to plan and work, people who suffer from the problems, can find ways to more easily reach for economic, political and social advancements. All these efforts have remarkably contributed to the alleviation of poverty among the targeted communities, and thus, enhance the quality of people's lives.

The study also grasped the public interests and prevailing opportunities of improving some areas of project intervention and capacities in order to achieve organizational sustainability. These include the requirement of having legal entity of the CBOs, involving CBOs in the formulation of strategy and guidelines on taking on responsibilities, expanding local network with service providers and local government institutions in some cases, diversifying IGA components, intensifying HRD initiatives, sustainable integration of the CBOs into the operational framework of local municipalities, adopting effective documentation process for lessons learned and dissemination, strengthening environmental sanitation, and activating apex bodies of the CBOs (e.g. CDF in Tongi, Kushtia yet to initiate) towards their goals.

Finally, the study clearly showed that the adoption and practice of the good governance principles are prerequisites for organizational successes. It has created CDCs with trustworthy images to the people. As a result, the CDC has emerged as an effective and dynamic institution for undertaking integrated community development initiatives.



# Good Urban Governance in South Asia (GUGSA)

DOCUMENTATION OF CASE STUDY  
THAILAND

***Attributes of Good Governance in  
recovery planning and implementation  
after tsunami - Experience of Patong  
Municipality, Thailand***

Prepared by  
Asian Disaster  
Preparedness Center  
(ADPC)



# Attributes of Good Governance for recovery after tsunami Experience of Patong Municipality, Thailand

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## Abstract:

*This case study presents the experience of one municipality in Thailand, namely Patong municipality in the coastal area of Indian ocean that transformed from a village to a city in the last decade of 20<sup>th</sup> century attracting more visitors than its own citizens got totally devastated in one sunny morning on 26 December 2004, due to the Indian Ocean Tsunami event. This case study presents how it stood up clearing its destruction within less than two years converting its tragedy into an opportunity. The underlying theme of this success story is the Good Urban Governance of Patong Municipality.*

*Widespread destructions and extent of human losses generated unprecedented support and humanitarian assistance to countries affected which was never seen before. This might have been due to various factors and one among many is the international media coverage received by the event which culminated a great deal of sympathy within few hours of the event, even at the other end of the world. The physical infrastructure, built up areas, social fabric, environmental as well as natural resources, and production sectors all were subjected to heavy and widespread destruction along the coastal belt of the affected countries within the Indian Ocean. Even countries within the African coast were not spared by the event.*

*Indian Ocean disaster has brought to the light not only the vulnerabilities of communities in the coastal areas which is usual in many other disaster events but also the vulnerabilities of different and complex nature such as limitations in scientific predictability, technology applications in warning, dissemination & communication to at risk communities, institutional structure, etc. It is a fact that man has stepped in the moon and scientific community has started expeditions to other planets and there are many other such scientific innovations and achievements but this single event revealed many vulnerabilities in disaster risk management practice undermining the innovations world have observed and appreciated during the recent years. This single event was beyond the capacity or the ability of the scientific community to predict or issue timely early warning to communities in the affected countries despite spatial distribution, all the sophistication and capacity of modern communication networks.*

*On the other hand it has shown the failure or limitations in various levels of governments to ensure the safety of population, thus creating a severe damage to social fabric thus highlighting the fact that this type of disaster events also pose a serious challenge to governance. Therefore it is a fact in addition to the economic, social and physical impacts Indian ocean tsunami event has more importantly underlined the need for ensuring the human security at large. It highlighted the need for constructive changes in governance functions through integration of appropriate disaster management systems for the protection of human lives, economic assets,*

*infrastructure and all in all the gains of development achieved over many years. Underline principal here is the need for advocacy for promotion of good governance policies within the countries to ensure human security & safety, as the effective step for disaster management. No longer should it remain as a discretionary function of the government where it may or may not be taken seriously by the countries. Tsunami has stressed the need for recognition of the disaster risk management as a mandatory responsibility of any government to ensure human safety.*

*In order to ensure that the governments are constantly performing to the high level of good governance, the performance of governments need to be evaluated against the commitment towards the disaster preparedness and mitigation and made accountable to people and to the international community. There is no opportune time than this post disaster period of tsunami event to evaluate the performance of the governments against the good governance principals, as it will allow the authorities to make necessary modifications to existing structure to integrate the measures for human safety and the governments to be more responsive to the needs to ensure high level of performance.*

*Thailand is one of the countries affected severely due to Indian Ocean tsunami. This case study which focuses on the experience of Patong municipality in Phuket, Thailand is an attempt to investigate on the positive aspects of governance before, during and after the tsunami. This evaluation of the performance of one of the highly affected municipalities in Thailand may help to demonstrate the issues, complexities and challenges posed by such rare but high impact events to bring to the surface positives or negatives of governance process.*

*The Thai society admires its unique qualities associated with the governance process influenced by its traditional wisdom, ancient practices, culture, religion etc. It is assumed to be presented in its originality as the Thai society is not very much influenced by major societal disturbances such as world war, rule by foreign powers, colonialism etc. The government structure in Thailand is unique given its oscillation from semi-democracy to democracy with 18 military coup d'etat in between since the re-establishment of Constitutional Monarchy in 1932. For instance, the economy gained more momentum since 1980s despite the political instability that changed the leadership at short intervals.*

*The promulgation of the Constitution in 1997 is the highest point of democratization in the history of Thailand and tsunami occurred during the transition period of devolution. As a result of the same democratization in Thailand started progressing slowly but steadily. Therefore in the immediate aftermath of the disaster event, it was easy for the national leaders to take the leadership role spontaneously in managing the crisis situation. On the other hand taking over the leadership role by national leaders in managing the post tsunami affairs was felt as a need and as more an advantage due to the complexities created by Tsunami in terms of loss of lives, physical devastations, economic losses and instability of the national economy. Obviously it has lessen the impacts to a great extent. The inherent cultural, religious and social traditions and practices in the Thai society and Royal Patronage contributed to the success to a very great extent of the post tsunami relief and recovery operations. Given its capacity and resources Thailand did not request the international financial assistance therefore the*

*role-played by the international community was relatively small. The Thai corporate sector also contributed considerably to the speedy recovery process.*

*The Tsunami had devastating impacts on the areas administered by local bodies in six provinces of Thailand. In light of the facts mentioned above in relation to the ongoing devolution process in Thailand, the local government bodies were neither autonomous nor competent to manage their standard functions let alone to face an unprecedented challenge like Tsunami at the time it hit Thailand in December 2006.*

*Given the factors that are unique to Thailand, and considering the magnitude and severity of the event, the standard Good Urban Governance practices in global sense may have limited applicability to the scenario in Patong during the immediate aftermath of tsunami. The good governance principles practiced by all the municipalities in Tsunami affected areas were found similar in character as the scope of activities assigned to local government in post Tsunami period was limited to one set of homogeneous activities such as clearing debris, waste disposal, treating the affected people and victims so on*

*The principle attributes of good governance as they apply to the corresponding phase of the post Tsunami operations are more significant and visible although there are difficulties in applying all principles equally across the entire spectrum. Thailand is now ready to commemorate second anniversary of Tsunami. The national governmental agencies have completed fully the recovery activities and are now in the process of sustaining the momentum gathered. The potential areas of Tsunami threats are supported with early warning systems, evacuation plans, emergency response teams and operations. The safety and security of tourists both local and foreign, is a key concern significantly addressed in this effort. The municipalities have successfully managed to bring back destroyed environmental services to attract tourists.*

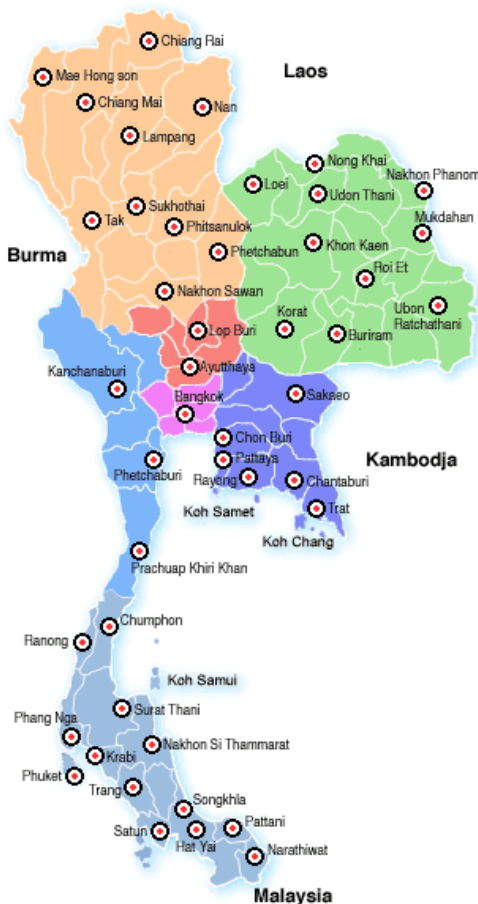
*It is worthwhile to highlight some difficulties in conducting research of this nature. While witnessing such an unprecedented recovery efforts by local governments to bring back the pre tsunami life in a record time to tsunami affected areas in Thailand, in physical terms, it is pleasant but difficult task to obtain accurate and detail information from the officials of local authorities on the projects they have been actively involved. Discussing principles of good governance seems less important and some times irrelevant for the municipalities. The language barrier too added further complications. From the point of view of the citizens of Patong municipality too the Tsunami is history now. The tourists are arriving at prior Tsunami rate filling all hotel rooms starting from October 2006. The livelihoods of the people in the Tsunami affected areas depend on the influx of tourism and its being recovering fast. They are too busy in earning their lost income with the influx of the tourists.*

*However one of the major findings of the research is that the Patong Municipality of Phuket province has shown significantly high level of performance after Tsunami in many areas of municipal services. If the success story of recovery in Patong can not be attributed to good governance it will not be fair. The results are being demonstrated and the municipality has allowed the achievements during the two years after tsunami to be witnessed and get convinced by the visitors, and it is a better approach rather than elaborating them only as research findings.*

# Attributes of Good Governance for recovery after tsunami

## Experience of Patong Municipality, Thailand

### Brief Introduction to Government Structure in Thailand



The government structure in Thailand is unique given its oscillation from semi-democracy to democracy with 18 military coup d'etat in between since the re-establishment of Constitutional Monarchy in 1932. The economy gained more momentum since 1980s despite the political instability that changed the leadership at short intervals. However, the democratization in Thailand was slowly and steadily progressing. The promulgation of the Constitution in 1997 is the highest point of democratization in the history of Thailand.

There are three levels of administration in Thailand, namely central, provincial and local administration. The central administration consists of the Prime Minister's office, ministries, departments, agencies and other public organizations that have the same status as departments. The Provincial administration consists of provincial and districts offices of various central ministries, departments, and public agencies. There are 75 Provinces excluding Bangkok Metropolitan Administration (BMA), and Pathaya City Administration (PCA), and 795 districts and 81 minor districts within the Provinces.

The Local administration consists of 1129 Municipalities known as Thesaban and 6,745 Tambon (sub-district) Administrative Organizations (TAOs) according to the data of Ministry of Interior in 1999. Tambon is the smallest geographical unit with

autonomy under the decentralization legislation. The Thesabans are the urban organizations within the local administration structure of Thailand. These are classified in to three different categories according to the size of population as stated in Table 2 in section 3.3.

### Process of decentralization in Thailand

There had been series of decentralization efforts since 1990s. Article 78 of the Constitution of 1997 prescribed the promotion of decentralization as a basic policy of the government. It reads

" The State shall decentralize powers to localities for the purpose of independence and self determination of local affairs, development of local economics, public utilities and facility systems and information infrastructure thoroughly and equally throughout the country as well as develop a province ready for such purpose, having regard to the will of the people in that province"

The Articles 282 to 290 of the Constitution 1997 further explain the policies for local autonomy and decentralization. Within these broader policies, the RTG enacted or amended nearly ten acts promulgating autonomy to local governments during the two year period following the Constitution of 1997. The Act of Decentralization Plan and Procedures enacted in 1999 is considered as the most significant one amongst the acts that were enacted since the Constitution 1997.

National Decentralization Committee (NDC) established under this Act was entrusted the responsibility of implementing and monitoring allocation of budgetary resources, transfer of civil servants and delegation of administrative work of the central government to the local government. The Act prescribed that starting from fiscal year 2001 at least 20% of the government budget should be transferred to the local governments. The target is to increase this allocation to 35% in the fiscal year 2006. The Cabinet approved the Decentralization Master Plan prepared by the NDC in October 2000. This Plan has undergone series of revisions at public consultation and hearings in local regions before it was approved by the Cabinet and then reported to the two houses of the Parliament.

The Master Plan is divided in to three parts as follows:

#### Part 1: Rationale, needs, visions, objectives and goals of decentralization

**Part 2: Means to decentralization.** Section 30 of Decentralization Act (1999) lays down definitions of plans, process and general principles of decentralization as well as time frame for the following 6 categories of functions to be transferred gradually within four years (2001-2004) with full transfer be achieved by 2010.

- Infrastructure
- Promotion of quality of life
- Community and social orders and security
- Planning for investment, commercial and tourism promotion
- Management and conservation of natural resources and environment
- Local arts, culture, tradition and knowledge

#### Definition of “Urban” in the context of Thailand

Urban is defined as a spatial area with higher concentration of population with relatively advanced life styles and urban amenities such as electricity, piped born water, technologically advanced communication facilities, road network etc. compared with the rest of the country. However, there are many parameters including legal provisions and those that distinguish urban centers depending on the economic, social, political and historical perspectives of the respective countries. For the purpose of developing the topical inventory of good urban governance, the factors such as existence of urban amenities, life styles, exposure to global socio- economic and cultural practices are considered in addition to the legal classification of local government in Thailand.

**Part 3: Administrative system development-** This includes monetary system, finance and budgeting, local revenue, personnel management, organizational reforms, planning system, evaluation, inspection, data collection, application of laws and regulations for long term and sustainable decentralization

The time period envisaged for the realization of complete decentralization is of importance to the present study. Having started from the time of fiscal year 2001, the decentralization was still in progress at the time of Tsunami in December 2004.

The focus was on easy delivery functions when transferring the functions to local bodies. This included public works and provision of milk and lunches to primary schools. The government has fully realized the target of allocating 20% of the total government revenue to local government in FY 2004. However, the technical and administrative difficulties inherent in the system did not permit the transfer of functions to the local

governments adequately. They were also not addressed simultaneously or at the same speed of allocating financial resources.

### 1.3. Structure of Local Government in Thailand, its functional responsibilities and Relationship between national and local government

#### A Review of "Urban Governance"

There is no lack of citations on the definition and use of the term 'Urban Governance'. In the documents of the United Nations the term Governance is defined as the "Process of decision making and the process in which these decisions are implemented or not implemented". According to UNDP "The exercise of political, economic and administrative authority in the management of a country's affairs at all levels is governance. It comprises of the mechanisms, processes and institutions through which citizens and groups articulate their interests, exercise their legal rights, meet their obligations and mediate their differences." (Ref. Governance for Sustainable Human Development, UNDP/New York, 1997). The emphasis is on the key players as well as on the processes of decision making and its implementation according to this definition. Within this general definition, the Good Governance is characterized by the following principles or attributes;

- Accountable
- Transparent
- Responsive
- Equitable and inclusive
- Effective and efficient
- Follow the rule of law
- Participatory
- Consensus oriented
- Strategic vision

UN-HABITAT in its Global Campaign on Urban Governance proposes the following additional principles of Urban Governance

- Sustainability
- Subsidiary
- Civic engagement and citizenship
- Security

These principles are not mutually exclusive but interdependent and mutually reinforcing. Adding the adjective 'good' to 'urban governance' increases its complexity exponentially. Different people, organizations, municipalities and others will define 'good urban governance' according to their own experience and interests. According to UN-HABITAT "urban governance is the sum of the many ways individuals and institutions, public and private, plan and manage their affairs of the city. It is a continuing process through which conflicting and diverse interests may be accommodated and cooperative action can be taken. It includes formal institutions as well as informal arrangements and social capital of citizens" (Global Campaign on Urban Governance, Concept Paper, UNCHS, UN-HABITAT, March 2002).

Some experts have clustered the some of the above attributes of governance to reflect 'urban governance' in a more meaningful manner. For instance Metha (1998) introduced the attribute of *Accountability* as how cities manage their finances, communicate on use of funds and achievements to their citizens, adhere to legal requirements and administrative policies. According to this concept, *Accountability* includes *responsiveness*, which indicates the local authority's ability to determine and respond to the needs of its constituents and also in doing it involvement of its citizens and therefore *participation*.

Urban governance is essentially implying the welfare of its citizenry. Good urban governance therefore must provide opportunities to all citizens to access the benefits of urban citizenship irrespective of their gender, social status and other differences. In other words no person shall be denied access to the necessities of urban life such as adequate shelter, safe water, sanitation, a clean environment, health, education safety and other needs that ensure their social and economic conditions. Given this premises, a concern is raised as to the applicability of the good governance principles in the Tsunami context as Tsunami was an unprecedented crisis in many respect, particularly in respect of human suffering. The deaths, injuries, psychological trauma, children without parents, families lost their children etc. were greater than the damage to infrastructure and economic losses. This "crisis triggered" different decision-making modalities and processes. In a crisis situation such as Tsunami the role of national leaders considered to be highly critical in bringing the country and devastated areas back to normalcy within the shortest possible timeframe and thus their role to be involved in shaping the decision making process was very important from immediate response to reconstruction phases. Another unique feature that is continuously emphasized and stressed upon was the term "Thai Culture" during the fieldwork of this study. It is explained as the spontaneous desire of the Thai people to help and to give (to donate) another person who is in trouble or in pain/ loss /need etc. This they attribute to their religion, Buddhism and the patronage to the King of Thailand. The outpouring of donations in cash as well as in kind to the affected areas by the individuals and by corporate sector of Thailand therefore was unprecedented. That level of support had its own decision making process on which no records were kept and maintained.

As mentioned before Good governance in Disaster Management (DM) is not a goal but an evolutionary process of constantly improving political and social environment for greater transparency, accountability, performance and equitable control of assets after a disaster. The decisions are crisis driven to start with. The emergency response in many instances can be chaotic despite the scale and degree of preparedness. This was the situation when Tsunami hit the Indian Ocean countries.



The Local Administration Act of 1914 provides the prescription for Districts, Tambon and villages in Thailand. The provincial administration today is still based on this Act. There is no unifying Act as far as local authorities are concerned. Instead there are number of Acts Governing local authorities such as:

- The Provincial Administration Organization Act of 1997
- The Thesaban Act of 1953
- The Tambon Council and Tambon Administration Organization Act of 1994
- The Phatthaya City Administration Organization Act of 1999
- The Bangkok Metropolitan Administration Organization Act of 1985
- The Act Changing the Status of Sanitary Districts to Thesaban of 1999

There are 1,129 *Thesaban* Municipalities in Thailand following The Act Changing the Status of Sanitary Districts to Thesaban, 1999. These Municipalities are classified in to the following categories;

**Table 2. Classification of Thesabans (Municipals) in Thailand**

Category of Municipality	Title in Thai	Total number	Number of Members per local authority	Population
Metropolitan	Thesaban Nakorn	20	24	Over 50,000
City	Thesaban Muang	86	18	Over 10,000
Town	Thesaban Tambon	981	12	Less than 10,000

Source: *Directory of Agencies and Positions* edited by Department of Local Administration, 1999

The total population is the main criteria for determining the status of a Municipality in Thailand according to the above classification. However, it is observed that the Term “Muang” is used in local authorities where there are less than 10,000 people. The following Table shows the local bodies affected by Tsunami that belong to the category of Thesaban Norkon and Thesaban Muang. The population of each Thesaban given in the last column shows that two local bodies in Phang Nga province are titled “Muang” although the population in both places is less than 10,000.

**Table 3. Thesaban Affected by Tsunami**

Province	Name of the Local Authority	Population
Ranong	Muang Ranong	15,359
Phang Nga	Muang Takuapa	8,142
	Muang Phang Nga	9,230
Phuket	Phuket city	74,127
	Ka Thu	18,377
	Patong	16,483
Trang	Nakorn Trang	59,182
	Muang Kan Tang	13,452
Satun	Muang Satun	21,708
Krabi	Muang Krabi	25,459

Source: *Department of Local Administration*

In addition, numbers of council members as well as personnel, job ranking and organizational structure are based on these categories.

Recognizing the above criteria of "Urban" in the context of Thailand, the study covered the first two categories, namely Thesaban Nakorn (City Municipality) and Thesaban Muang (Town Municipality) affected by Tsunami. However, using the criteria of 'Urban' established for the purpose of this study the Tambon areas of Thailand affected by Tsunami too were visited by the study team during its field observations.

The Thesaban government structure consists of a legislative body known as the Municipal Council, Municipal Executive Committee and Municipal administration. The title of the head of each committee is given below for better clarity.

**Figure 1-Thesaban Structure**

Structure	Head
1. Legislative body/Municipal council	Council President
2. Municipal Executive Committee	Mayor
3. Municipal Administration	City or Town Clerk

In terms of functional administration, these Municipalities typically organized on the following units/departments:

- Civil works
- Community health and / medical services and social welfare
- Environment including sanitation
- Education
- Finance
- Planning and technical support
- Water supply

A noteworthy element of decentralization in Thailand is the effort of De-concentration at the Provincial level. The Provincial Administrative Organizations (PAO) were established originally to cover rural areas namely Tambon which were not Thesaban or sanitary districts. After the establishment of Tambon Administrative Organization (TAO) in 1994, PAOs lost its jurisdiction over rural areas (Tambon) and remained as a Multi-Municipal based regional body.

The Governor appointed by the Ministry of Interior is the Chief executive of the PAO. It is therefore unclear whether PAO operates as a Multi-Municipal based regional organization or regionally based central government body. There is an ongoing debate about the relevance of PAO in the decentralization context and therefore the future of this body is vague.

However, the purpose of stating the presence of PAO is to draw the attention to the fact that "The Province in Thailand is not yet a local administration organization but a field agency of the central government that is in charge of the supervisory control of local governments in that Province" (Ref: JICA study March 2001) This has its serious implications on the autonomy, institutional and financial capacity of the municipalities

As far as regulations are concerned there seems to be an intention of clarifying the authority and duties between National, multi-municipality based regional organizations (POA), Municipalities (Thesaban) and Tambon Administrative Organizations (TAO). However, in real terms these

bodies do not have completely separated authority and duties. In fact much of the authority and many of the duties do overlap. For instance the development of industry, tourism, sports and local culture, protection of socially vulnerable groups of people, disaster prevention and alleviation, maintenance of security, conservation of natural resources and environment are prescribed as the duties under the authority of all these bodies.

### **Capacity of local authorities in general and on emergency response in particular**

Capacity is defined as the ability to perform assigned functions effectively, efficiently and timely manner for the purpose of this case study. The capacity thus depends on the authority, financial and human resources of the institution. It is therefore be of relevance to understand the capacity of the municipalities following the formal approval of the Decentralization Master Plan in October 2000, particularly at the time that the Tsunami hit them in December 2006.

It is reported that the local governments were poorly informed of their roles and responsibilities following the approval of Decentralization Master Plan. They are technically less competent to deliver the respective functions in a reasonably effective and efficient manner, constrained by required rules and regulations particularly the rules governing procurement, grant utilization and budgeting, and more importantly shortage of staff due to disincentives involved in transferring staff from central to local government. (Wegelin, Emiel A., August 2002). As stated above, the time frame set for the gradual transfer of six (6) categories of functions is by 2004, with full transfer to be achieved by 2010. The experience in planning, programming and budgeting varies considerably while articulation of local economic planning is relatively poor" (Wegelin, Emiel A, August 2002).

The municipalities lack the ability to raise revenue, predict income levels and expenditure and invest in city development and management in a planned and proactive manner due to unclear regulations and lack of staff. "Thailand's decentralization process is both fiscally and politically asymmetrical. It is fiscally asymmetrical because the central government is devolving responsibility and authority for expenditure but not for revenue." (Ref. Kanakpon, 2002). It is politically asymmetrical because of the manner and the nature of the power and authority devolved. The local authorities were assured of a predetermined portion of the central government revenue with no concern over how well or poorly this money is spent. This arrangement is an impediment for the local government gaining fiscal discipline.

The involvement of the civil society in the affairs of local governments similar to other countries in the Region is yet to emerge fully in Thailand. "Co-operation with civic groups in resolving specific issues and utilizing the capacity of the private sector and NGOs in a variety of ways seems accepted wisdom in theory, but practiced selectively" (Wegelin 2002). This is mainly due to the lack of experience on the part of the Municipal bodies to give practical shape to this principle. On the other hand the NGOs also are still generally interested in their own specific mandates and therefore the facilitating of public participation in decision making is not yet a priority concern in their agenda.

However, the Tsunami shattered this slow motion situation to a greater extent. The City Halls in the affected areas became the center of operation at the aftermath of Tsunami. The city leadership and officials had to participate in the relief operations along with the national and international figures. The private sector took the lead role in most cases on voluntary basis in activities such as clearing debris and carrying out immediate repairs to essential services such as water supplies, electricity and telecommunication. It was reported that the debris in Patong



About 70 percent of Phuket is mountainous; a western range runs from north to south. The highest peak is Mai Tha Sip Song, or Twelve Canes, at 529 meters, which lies within the boundaries of Tambon Patong, Kathu District. The remaining 30 percent of the island, mainly in the center and south, is formed by low plains. Streams include the Khlong Bang Yai, Tha Jin, Khlong Tha Rua, and Khlong Bang Rong, which are not major rivers some are perennial.

Since the early 1980's the tourist business has been Phuket's chief source of income. Hotels, restaurants, tour companies, and souvenir shops are much in evidence on the west coast. However, while once all-importance tin mining has ceased, tourism is by no means the island's only activity. Agriculture remains important to a large number of people, and covers by far the most part of the island. Principal crops are rubber, coconuts, cashews, and pineapples.

Prawn farming has largely taken over the east and south coasts. Pearl farming is also important income generating activity that communities are involved in. Phuket's fishing port is a busy place with various kind of occupations and fishing industries being the users, and processing of marine products, mainly fish, makes a significant contribution to the economy. With so many varieties of industries contributing to the economy, construction has become a major factor in employment. This range from massive public works projects, large office buildings and hotels, resorts and housing estates with hundreds of units, down to single family homes, apartments and additions.

Official population in Phuket outnumber the migrating population through out the year. The official residents are those who are registered as living in Phuket but many involved in service sector commute from other areas and also tourists are added to the migrating population. Phuket's attraction as a center of economic activity has resulted in many living on the island whose registration is elsewhere. The total population of Phuket varies considerably depending on the time of year. Phuket's weather conditions are dominated by monsoon winds that blow year round. It is therefore always warm and humid. There are two distinct seasons, rainy and dry. The rainy season begins in May and lasts till October, during which the monsoon blows from the southwest. The dry season is from November through April, when the monsoon comes from the northeast. Highest average temperatures, at 33.4 degree Celsius, prevail during March. Lowest averages occur in January, when nightly lows dip to 22 degree Celsius.

The Phuket province administratively divided into three districts, Thalang in the north, Kathu in the west, and Muang in the south. As mentioned before Thailand's system of government relies upon a strong central authority, thus the Provincial Governor of Phuket is a civil servant appointed by the Interior Ministry in Bangkok, as are the Nai Amphoe, or District Chief.

Phuket and Patong areas have been designated as cities and both have their own city governments, with elected city councils, the leading member of which serve as the Mayor of the City Government. There are also elected provincial, district, and sub-district, or Tambon councils. The local constabulary is a part of the Interior Ministry.

This case study presents the experience of the municipality of Patong which is located in the coastal area of Indian ocean. The Patong has significant development during last few decades as it transformed from a village to a city in the last decade of 20<sup>th</sup> century attracting more visitors than its own citizens. The City got totally devastated due to the Indian Ocean Tsunami event. However the city stood up clearing its destruction within less than two years converting its tragedy into an opportunity.

## Patong Municipality an attractive tourist destination in Phuket

Patong Municipality in Phuket Province of Southern Thailand is an attractive tourist destination with 4 kilo meter long silver sandy beach front. The Tsunami that hit the beach claiming the lives of many foreign tourists and local residents on 26 December 2004 also destroyed the progressive development emerged towards the last decade of the 20<sup>th</sup> century. However the Tsunami failed to destroy the spirit of Thai people and their solidarity.

Patong Municipality Administration working day and night and side by side with their national leaders removed even the last scar of destruction within ten days of Tsunami. The city was ready to receive their visitors after one year. However, the visitors were afraid to come. Only less than 30 % of the pre Tsunami tourists were coming to Patong.

The City leaders then realized the need to build the confidence on the safety and security of the city as of paramount importance along with comfortable accommodation ranging from budget to five star, entertainments in endless means but more importantly nature served relaxation that one needs in a busy life. Patong Municipality now awaits to commemorates the second anniversary of Tsunami with no trace of destruction. The visitors are arriving in higher numbers demonstrating their confidence in a city that ensures safety and security in addition to comforts and relaxing environment. The case presented here reveals that courageous story of one city among many in Thailand which raised its image within a record time from the rubbles of destruction after tsunami.

The 21<sup>st</sup> century is already experiencing increasing transformation of its landscape from predominantly rural to a predominantly urban one.,The hidden spatial corners of the globe are being exposed to global traveler resulting sprawling cities appearing in remote islands and capes of hot Tropical oceans.

Equally the nature of disasters is changing, new kinds are emerging and some of them are unprecedented. A common view of the global community is that a fresh thinking and innovative approaches are needed to mange disasters. It is high time to look back and take a stock of what happened and how those who were affected managed to stand up from their destruction and learn from their experience in addition to relying on new theories and conventional wisdom.

### Patong Municipality

Website: <http://phuketdir.com/patmunicipal/index.htm>

### What is Municipal and how they have responsibility

Municipality is the local governmental organization that the management team is from the votes of people that can say it is a clear democracy that people can participate and develop by themselves.

### Duties of Municipality

- Construct, repair, and take care of streets and rivers.
- Provide consumed water and water for agriculture.
- Clean the streets and collect garbage.
- Protect and take care of natural sources and environment.
- Provide electricity.
- Help people from flood or dry weather.
- Support education, religions, culture, women, children, and elderly, disables people development.
- Commercial management for example, markets
- Support sports, parks, help and prevent distributed diseases

(Web site provides information on Policies and procedures aspects such as on Population Registration, Birth registration information, Death Information registration, Address Change Information, Destination Change Information, Updating the House Registration Inform, Address Number Information, House Re-construction Information, Information on application for I.D. Information on building tax, Information on the methods to pay the building tax, Sign Tax, Area Supported Tax, Policies on granting Permission for Building ,Duties of Sanitation Department ,Information on Business Permission requests etc)

This is not a service or function generally provided by the local government in other countries. The Municipality considers the Pawn shop as an essential service in support of people. Given the reliability, transparency, convenience and integrity on the part of the municipality the people seem to have placed their trust on this service vis a vis the private sector mortgage services.

The social development strategy of Patong Municipality emphasizes the importance of the “family” which is a strong institute of the society. Patong municipality in its commitment to create a “Happy City” promotes the concept of “Happy Family” through united and happy family extending its strength to the community and then to the city. The Municipality has specially allocated one park, Loma, for family entertainment aiming at building families to stay together and to facilitate uniting families through entertainments, religion, sports and similar activities. This is certainly a best practice that has not been recognized so far by either the social scientists or the experts on local governance.

Patong Municipality implements an efficient system to prevent pollution of the environment. The strategy is to involve the participation of people through a strong campaign on how to manage garbage and how to deal with environmental issues. The city officials visit problematic sites regularly and supervise the operations of the municipality services.

In order to maintain “**Patong’s Healthy City**” the concept promoted and declared by the Mayor of Patong city, several activities are undertaken. The pre and post- natal health care for mothers, house visits by medical officials, vaccination program for children, general health education, mobile health clinics, sterilization of dogs and cats are some of the key activities in this respect. The Municipality has developed a comprehensive health information and instruction brochure to educate people on their dietary habits, primary health care, physical exercise and also to prevent home and road accidents.

In order to maintain physical and mental health quality of the city population, sports activities including Aerobics are being promoted. Special attention has given to the physical well being of the elders and youth.

#### Urban Good Governance Principles

Within the broad terminology of “urban” and “Good Governance” discussed above in general, the focus of this study is limited to five specific principles that define good governance. These are the five principles that the SOW of the present study entails it to focus on. A brief explanation on how each of these principles applied in the study of “good urban governance in Tsunami perspective in Thailand” is presented below:

**Accountability** – The elected members as well as appointed public officials of the local authorities are held accountable to the citizens on all financial transactions made on behalf of them

**Transparency** - The procedures and processes, on investment decisions such as formulating budget, collecting revenue, inviting bids, awarding contracts, making payments and also selecting, appointing, promoting and providing other opportunities to the staff. The access of the community to this type of information and the frequency with which the information is communicated is also considered under this principle.

**Participation** – The policies and programs that encourage the participation of citizens, private sector and civil society, the extent of the partnership among these three groups and the involvement and mobilization of participation in the decision making processes are the key concerns examined under this principle

**Rule of Law** - The existence and adequacy of rules and regulations, fair and impartial enforcement of these rules and regulations, adherence and respect to rules and regulations by the citizens and actions taken on public grievances within the framework of the existing rules of the local authority are the main areas of focus under this principle.

**Predictability** - The present study use this principle to denote the long term (futuristic) responsiveness of the local government to ascertain the needs and aspirations of the stakeholders of the city on safety, security, health and environment in addition to the lead economic activity, namely tourism and how these aspirations are met or planned to be met by the local government

It should be noted here that the above interpretation of the principles of good governance is the result of the attempt that was made to blend standard governance attributes with unique situation in Thailand in post tsunami context.

## Tambon to Thesaban (From Village to a Municipality)

### A brief history and organization of Patong Municipality

Patong was a fishing village in Phuket, an island of Southern Thailand's Andaman sea coast in the Indian ocean at the turn of the last two decades. It was largely comprised of sea gypsy hamlets on the coast and sparsely populated rural agricultural community towards the landside. The 4 kilo meter beach was not known to outsiders except for the sea gypsies who were the sole user of the coast for their livelihood.

However, the beach attracted 'Back Packers', low scale tourists traveling to new places. The momentum gathered rapidly attracting 'High end' tourists with large- scale investors opening the tourism trade towards the beginning of 1990s. The chain effect spun opened with tourism elevated the fishing village of Patong from its "Tambon" in the hierarchy of the local government to a municipality known in Thailand as "Thesaban". Patong was established as a Thesaban Tambon" (Town Municipality) in the Thai year of 2537 (1994). It was elevated to a "Thesaban Muang" (City Municipality) on 5 October 2002.

The Patong Municipality has a land area of 16.4 sq.km. with a 4 km long beach front. It is located in Kathu District (Ampher) of Phuket Province. The population in the Municipality was 15,705 as of 22 February 2005. Of this 7,966 (50.7%) are female. The population density is 957.62 per sq.km. The registered number of household with the Municipality is 3,288 in 2005. However the municipality records higher number of migrant population as high as 35,000 to 45,000. In addition Municipality attracts average of 20,000 tourists per day in the peak season of November to March. This implies a population density of 4,311 per sq.km within the municipality.

#### Thesaban Structure:

Structure	Head
1. Legislative body/Municipal council	Council President
2. Municipal Executive Committee	Mayor
3. Municipal Administration	City or Town Clerk

In terms of functional administration, these Municipalities typically organized on the following units/departments:

- Civil works
- Community health and / medical services and social welfare
- Environment including sanitation
- Education
- Finance
- Planning and technical support
- Water supply

The organizational structure of Thesaban Muang consists of three components. The legislative body known as the Municipal Council has 18 elected members. The head of the Municipal Council is known as the Council President. The Executive committee consists of a Mayor and three Committee members. The Municipal administration is under the supervision of City Clerk. The Municipality administrative structure is given below

The services provided by the Patong Municipality are determined according to the Act. As reflected in the above organizational structure the main services are the following;

- Sanitation
- Health and Environment
- Education
- Social Welfare Safe and security including Disaster Prevention
- Technical services and Planning
- Public works



These functions are closely supervised and monitored under the guidance of three deputy Mayors.

The progressive development of Patong Municipality from a Thesaban Tambon (Town Council) to Thesaban Muang (City Municipality) within a time span of eight years (from 1994 to 2002) seemed to have facilitated in enhancing the institutional capacity of the municipality. The municipality has acquired engineering and technical skills and competencies over these years to manage its key services particularly waste water treatment and civil works. The policy of the Municipality to attract high level skills and also its concerned effort to retain the educated citizens within the city may have contributed to this achievement.

The general administration of the Municipality is under the direct supervision of the City Clerk. The transparency, honesty and higher professional standard of service are the values promulgated in the administrative strategy of the municipality. The Annual reports, brochures, hand outs, information on all the projects undertaken by the municipality, Newsletters are some of the instruments through which the municipality ensures full transparency of its functions. King Prajadipok Institute of Thailand has recognized its efforts in maintaining high level of transparency and effective involvement of people's participation in the affairs of the municipality and awarded a certificate appreciation to the Patong Municipality in 2006.

### **Policies and Strategies**

The Patong Municipality is a vibrant organization that persuades a consistent economic policy focused on growth. The tourism is the lead sector that brings multiplier effects to the economy. The strategies of the municipal council therefore designed to achieve the economic growth through tourism in Patong.

The tourist infrastructure and other facilities for tourists are the main components of this policy. The Tsunami destroyed exactly this core resource base of the economy of Patong. The efforts in bringing back the lost and destructed resource base are highlighted in the separately.

The economic strategy of the municipality focuses on creating jobs for its people by organizing technical and vocational training programs and thereby opening more opportunities for job seekers. Particularly the jobs that serve tourism, the lead sector of the economy are supported and facilitated by the municipality. The objective of enhancing the job skills required in the tourism is to ensure sustainable economy through increased income of its citizens.

The notices published in the web site dedicated to Patong municipality (<http://phuketdir.com/patmunicipal/index.htm>) provides a good account of general policies and strategies of the municipality that provide the justification for identifying Patong Municipality for its good urban governance practices adopted in Tsunami perspective *vis a vis* other local urban local bodies in Thailand. Patong Municipality respects democracy and democratic governance. "Encourage knowledge on democracy and people's participation" is the theme for promoting democracy by the Municipality. The brochure published by the Municipality in November 2006 announcing the traditional Lighting Festival (Loi Kratong in Thai) upholds the values of participation, committed to serve people, acceptance of majority decision while respecting minority views. It even stresses the power of people in monitoring the government directly and indirectly as all are equal in the law. The Municipality publishes a regular monthly News Letter enabling its citizens to participate in the events organized by the municipality.

The committees established in the communities of Patong that consist of respectable citizens participate in planning, checking, implementation and evaluation of activities of the municipality demonstrating the importance placed on people's participation in Patong. Another innovative feature reported is the 'Mobile Thesaban' that goes to people to attend to their grievances and problems.

There is a Tourist Information Booth established by the Municipality to provide information to tourists and also to solicit their views as to the development of the city in addition to complains and grievances if any so that the Municipality could take prompt action to rectify the issues. This two-way communication process is working effective as the municipality is highly committed to promote its tourism.

In addition, clear information on each and every service provided by the municipality is made available in the form of brochures at the entrance to the city hall. For instance the conditions and requirements of registration of births, deaths, moving out of the municipality, settling inside the municipality limits, permission for building new, demolition or alterations, obtaining the national identity card, changing the status of household etc, are given in the brochures already developed and placed for any person to collect should he requires such services. The amount required to be paid and also the penalty charges for not complying with the law too are clearly stated in these brochures. This facilitates informed decision making and also preventing corruption as the service seeker is fully informed of the requirement he needs to fulfill in order to obtain the service delivered by the Municipality.

An important service delivered by the Municipality is the "Pawn Shop". This service aims at helping the poor and needy in case of financial distress. The terms and conditions of pawning and also how and when to redeem the pawned assets are clearly stated in the brochure. The minimum amount for mortgaging is Baht 500 at the rate of interest of 0.75% per month. The maximum mortgage amount is Baht 3,000 with this interest rate.

It is interesting to note that the rate of interest on mortgage is reduced at the beginning of the school term. This is to facilitate the parents who are in need of money to send the children to schools. Under this scheme Baht 3,000 or less is provided at the rate of 0.75% per month while more than Baht 3,000 is provided at the rate of 0.90% per month.

The items pawned but not redeemed on the due date are sold on the Saturday of the first week of the following month. This may provide an opportunity to the person who pawned his item to bid at the auction giving him another chance. This facility seems very attractive as many people seek the service daily. The items such as gold, diamond, gem stones, wristwatches, VCDs, CDs, DVD, electronic items, sewing machines, optical glasses, woodcutting and polishing equipments, refrigerators are the items accepted for pawning.

The municipality has special support program for disabled, elders and homeless children. Prevention of drug addiction and enforce the law on drug trafficking is strictly adhered by the Social welfare division of the Municipality. The culture, particularly indigenous knowledge and traditions among the new generation, is encouraged by the Municipality. Every month the municipality organizes a cultural event to promote local cultural talents such as carnival, music and dancing performances, Thai Boxing etc that also appeal to the tourists.

#### Regional Analysis of Socio-Economic Impacts of the December 2004 Earthquake and Indian Ocean Tsunami

The magnitude and extent of the human toll of the 26 December 2004 Earthquake and Indian Ocean Tsunami caused widespread interest and mobilized an enormous effort for humanitarian assistance never seen in the past. The special coverage given by the international media, coupled with the unusual and infrequent type and intensity of the natural event and the presence of foreign nationals among the victims gave rise to an unprecedented sense of international solidarity.

The severity of the human suffering was accompanied by widespread destruction of physical, social and productive infrastructure caused by the action of the earthquake and the ensuing tsunami waves that spread havoc in the shores of the Indian Ocean and reached as far as the African coast. As a result, the economies of the affected countries were negatively impacted in both the immediate and medium term. Furthermore, environmental assets were damaged or destroyed, and the associated environmental services they render were disturbed or eliminated in its entirety.

The immediate impact was represented by the loss of human lives, temporary and permanent physical and psychological injuries, total or partial destruction of physical assets. In the medium term, the impact will require the reconstruction of physical assets at unit prices over and above their original value, caused the decline in production of affected sectors, a negative impact on economic growth for the affected provinces and countries, and the loss of livelihood and well being for the affected population.

#### Selected Social Indicators for the Affected Countries in 2003

	India	Indonesia	Maldives	Sri Lanka	Thailand
Population, million	1,064.4	214.7	0.293	19.2	62.0
Population density, per sq. km.	324	113	977	293	121
Population growth, per cent <sup>a</sup>	1.52	1.21	1.96	0.94	1.14
Urban population, per cent	28.4	40.9	27.4	23.6	21.6
Life expectancy at birth, years <sup>a</sup>	62	68	65	74	73
Infant mortality at birth, per thousand <sup>a</sup>	68.0	41.4	21.0	15.4	21.5
Literacy rate, per cent	45.4	81.9	96.8	89.0	93.9
GDP per capita, US\$	564	970	2,440	950	2,306
Human Development Index	0.602	0.697	0.745	0.751	0.778
Surface area, sq. km.	3,287,260	1,904,570	300	65,610	513,120

Sources: World Development Indicators 2005, World Bank; Basic Indicators 2002, World Health Organization; and <http://hdr.undp.org/reports/global/2005/> for 2004 Human Development Index.

<sup>a</sup> Data for 2002

The Patong Municipality is implementing a planned program to develop its human resources particularly to develop good attitudes, correct vision, professional and technical capacities among its officials in order to deliver quality service to its constituency. The policy of inviting and attracting educated and professionally competent persons of the municipality to return to Patong after their studies is an innovative approach to stop brain drain.

Information technology is fully harnessed at present to manage the functions of the Municipality. The management of household register, tax system and use of GIS in planning of civil works enhance the efficiency of the Municipality service to the people. The tax system is being revised using GIS for the system to be more efficient, convenient and transparent.

### The Tsunami and Its Impact on Patong Municipality

The Tsunami hit the economic, political social and cultural center of the city on Sunday morning of 26 December 2006. The city life just woke up to enjoy a sunny Sunday on the beach with highest number of tourists given the peak period of the tourist season in the Phuket Province.



The waves rose up at 09.30 a.m on 26 December 2006, were never experienced in the history of this region. The Patong beach beaming with visitors, children, adults, vendors, masseuse, tattoo makers, beach attendants, boat operators, motor cyclists were caught by shock when the first wave hit them at 9.30 a.m killing and injuring large numbers. Of the 987 total deaths recorded in the Phuket province a larger number was caused at Patong beach. No location specific data on death and injury is available as these were not recorded at the place of the incident. Given the scale of the tragic event of the Tsunami seeking data of that

precision is beyond imagination even. Patong municipality too was one the victims that suffered the brunt of the Tsunami. The drainage system got blocked with sand. The waste water pipelines and water pond were full of sand. The water pumps and five pumping stations were damaged. The water treatment system and the under ground electric system were submerged with salt water. With the disruption to the waste water treatment facility untreated and accumulated waste water was flowing freely to sea causing further damage to the already damages natural marine resources. The telephone lines and electricity distribution system were fully destroyed. The damaged structures, vehicles, equipments, furniture etc were strewn closer to the Patong beach.

#### The Tsunami and Its Impact on Local governments in Thailand

Total Impact and Magnitude of Disaster by Province (Million US\$)

Country and Province	Gross Provincial Domestic Product	Damage	Losses	Total Impact	Impact to GDP ratio, %
<b>Thailand</b>					
Krabi	733	113	391	504	69
Trang	1,030	8	54	62	6
Phuket	520	219	135	354	68
Phang Nga	1,333	139	1,062	1,201	90
Ranong	297	12	36	48	16
Satun	508	17	14	31	7

Source: Estimates by ADPC

#### Economic Vulnerabilities and Risk

The Indian Ocean disaster has brought to light the vulnerability of the countries' economies to this type of events. The human toll and the total economic impact (US\$ 9,930 million) makes this disaster one of the most destructive world events in recent times, and certainly in the Asian region. The destruction of physical assets has been of significance in terms of its replacement value (US\$ 5,597 million). The losses in economic flows arising from the damage (US\$ 4,333 million), combined with the relatively slow reconstruction and recovery rates, are causing a not-negligible reduction in economic performance.

#### Value of Economic Losses, by Country and by Most Affected Sectors (Million US\$)

	Total Value of Losses	Tourism	Fisheries	Agro-based Industry and Commerce
Thailand	1,690	1,470	100	93
Indonesia	1,531	--	409	280
India	649	--	338	38
Sri Lanka	310	24	114	127
Maldives	153	136	6	3
<b>Region</b>	<b>4,333</b>	<b>1,630</b>	<b>967</b>	<b>541</b>

Source: Estimates by ADPC

The city hall was converted into a coordinating center. There had been 24 hours service to receive and deliver services at the city hall during this emergency period according to Mr. Chairat Sukkaban, Deputy Mayor of Patong Municipality. The Municipality used Baht 20 million available with them at the time of Tsunami on relief operations according to the Deputy Mayor. It was

obviously crisis decision making. "We did everything. Carrying dead bodies, taking injured to hospitals, supplying food for the people who were hungry, consoling those who were crying etc. giving medicine to the sick. You name any kind of service that is arising from an event of this magnitude. We have provided it" was his reply. It was learned that the performance of the local bodies during this period is beyond imagination and therefore to request the records on their activities was impolite and therefore not even attempted by the study team.



การช่วยเหลือ ขนส่งผู้บาดเจ็บจากเหตุภัยพิบัติ  
Transferring injured foreign tourists at Patong Beach

The services disrupted such as electricity, water, telecommunication are not the services provided by the municipalities in Thailand. The respective corporate sector attended to the repairs with utmost efficiency and they were back to normal in many areas within four days after Tsunami. In fact drinking water was not at all a problem as the portable water was available and supplied. The telecommunication too came back to normal once the peak congestion period gradually phased out after the Tsunami rush hours. The damaged land telephone lines too have been repaired within few days.



ความเสียหายจากเหตุภัยพิบัติ  
The damage at Patong Beach (2)

The serious disruption to Municipality services in Patong Municipality was reported where the underground sensors of the central waste treatment plant stopped due to salt water intrusion. The private sector Company replaced the sensors and the repairs were completed by 3 January 2005 according to officials of the Patong municipality.

The immediate aftermath of Tsunami was a chaotic situation. The people who never had any experience on a disaster of this magnitude knew nothing except adding to the chaos. The

Royal Thai Government (RTG) led by the Prime Minister, was at the helm of this massive relief and rescue operations. The Prime Minister and the entire Cabinet of Ministers were in Phuket, to command the disaster relief operations within few hours of Tsunami.

The emergency search and rescue commenced with the Prime Minister being the On Scene Commander within a matter of less than three hours after Tsunami mobilizing the next wave of support of Military, volunteers, private sector and others who ever offered their help. The medical teams consisting of doctors, nurses and others came to take care of injured persons. The massive emergency response operation was largely handled by the military of RTG. More than 5,000 soldiers joined by 20,000 local officials and volunteers in the rescue operations. The crisis coordination center set up in the Phuket City Hall with special communication system linking all affected areas covered the operations in the Patong Municipality.

The forensic operations led by the forensic specialist of Thailand including DNA search and matching techniques expedited the process of identifying and clearing dead bodies for final removal. The large number of foreigners who were the casualties had been handled with utmost

precision with death certificates and highly efficient repatriation facilities. It is reported that almost 5,000 foreigners who lost virtually everything including passports and got stranded following Tsunami were assisted to return home within ten days.

The provision of food, cloths and other supplies including shelter was exclusively in the hands of the Thai society in the first day. The solidarity demonstrated during the immediate aftermath of the Tsunami was unprecedented. There was no dearth of help and donations in material form to the victims of the Tsunami in Thailand. The Royalty, military, local and foreign volunteers, NGOs and INGOs, Thai corporate sector and the entire nation were out to help the victims of Tsunami.

In the national government structure of Thailand, the Prime Minister is the responsible authority for national disaster management. His authority is exercised through the Minister of Interior and National Defense Council. This structure is replicated at provincial and district levels under the authority of the Governor and of the District Civil Defense Director. The Royal Thai Armed Forces under the command of National Defense Council brought into the emergency response framework. Given this clear line of command the role of the Patong Municipality was limited to cooperate with ongoing emergency operations in the Municipality in addition to the immediate repairs necessary to bring back the essential services provided by them to the community. The Patong municipality had provided their support to the relief operations and various compensation schemes offered by the agencies of the RTG. However, their role was limited to provide support and cooperation and wherever necessary to coordinate these activities.

### **Taking care of our own future-The Recovery Phase**

"After things began to get back to normal, the next mission was the recovery of the damage in the disaster area" (Ref. December 2006, The Tsunami on Phuket). Within this objective, A Recovery Plan for Economic, Social, Natural Resources and Basic Infrastructure of Phuket Province was developed by the Provincial government. This plan was resented to the workshop held on 27 January 2005 chaired by the Prime Minister of Thailand with the presence of the Governor of Phuket. This had two designated period for recovery.

1. An intensive period from 1 to 3 months after Tsunami
2. Medium period of 1 to 2 years

The vision of this Recovery Plan is

**Phuket Province as an "International marine tourism center with high living quality, unique culture and sustainable development"**

The two pronged strategy developed to achieve this vision was

- a. "create Phuket image"
- b. derive competitive advantage by developing value added in tourism sector, strengthening capacity, and developing infrastructure in order to reach international standard and be the leader in tourism"

The Patong Municipality tirelessly devoted to comply with the requirements of the intensive period of three months. The longest time was taken to clear the debris. The private sector companies volunteered to remove the debris with heavy equipment and machinery. The people particularly volunteers, hotel and business owners organized to bring the debris to one side of the road clearing their own premises. This enabled heavy machinery to remove the debris within first eight days according to Mr.Claude Crissey, owner of Panwadee Hotel in Patong. The



cooperation between the private sector and the municipality worked effectively in clearing the debris in many areas. The land suitable to dump the debris was available closer to the destruction. This was an advantage in Thailand.

With the commencement of planning for recovery and reconstruction, Patong municipality focused on rebuilding tourism industry. This being the lead economic sector around which rest of the city economy in Patong depends on, the Municipality focused its entire attention on rebuilding the tourism infrastructure and facilities.

The hotel industry is provided with highly attractive incentives to build back better. The banks provide loans at an annual rate of interest of 2% with three-year grace period and no upper ceiling for the hotel industry to renovate, reconstruct and even for new construction. The tax rebates and relief announced by the RTG too enabled this sector to recover from the destruction. At the time of the visit of the study team the hotel occupancy rate was 100%. This is the result of the cooperation between public and private sector partnership at all levels of the Thai government structure i.e national, provincial and local government.

### **Highlights- Rising through Debris "Mai Pen Rai"("Don't worry, be Happy")**

The spirit of the life style of Patong is demonstrated in the above words of the Deputy Mayor Mr. Chairat Sukkaban. (Ref: Clean river, Protected Beach 2006). Rising from the destruction of Tsunami, the City Authorities implemented the projects assigned to the Municipality under the Economic, Social, Natural Resources and Environment and Infrastructure Development Plan Phuket Province that contained total of 44 projects. However this case study will focus on several areas that the Patong Municipality has achieved significant progress with highest degree of responsiveness, accountability, transparency and predictability.

These the following;

- Setting up an early warning system
- Clean River, Protected Beach project-
- Environment Management Systems and ISO 14001
- Private- Public Partnership for Tourism Promotion
- "Safety and security of life and property of People"

These interventions are not mutually exclusive. In fact they are interconnected and therefore integrated in order to achieve the vision of "International marine tourism center with high living quality, unique culture and sustainable development".

## Setting up an Early Warning mechanism



Patong beach in Phuket, as one of the major destinations for many visitors to Phuket Islands and the municipality need to see the aspect of human security seriously as it should limit the room for any type of repetition of the Tsunami type of disaster in future. Patong is often regarded as the living area of Phuket islands. The municipality authorities are gearing up for the new high season with a number of attractive events in the present high tourist season falling during the months of November and February 2007. It's a pleasant observation for any visitor to Patong the Tsunami early warning towers within the beach. It's a system now fully functioning, the clear evidence of the hard work put in by the municipality with the help of Central government to and attract visitors and reassure visitors its commitment for human security. It demonstrates its predictability and good responsiveness for the well being of the citizens and visitors alike.

During a visit to Patong by a group from the Macau Government Tourist Office, the Vice Mayor of Patong, Khun Chairat Sukkaban, explaining the measures taken up by authorities to date for establishment of the Early Warning System, stated: "Now it is connected to satellite, so everything is controlled through linking up the towers with the National Early Warning center located at Bangkok, I also wish to state that we have a leased line to Patong Municipality so we can control directly from our office. And obtain necessary information". As stated by Khun Chairat Sukkaban the Patong towers will broadcast any tsunami warnings in 5 languages and more may follow: "We have 5 languages – Thai, English, Chinese, Japanese & German."

The Royal Thai Navy has established a permanent rescue centre on the beach and together with the city authorities the Navy has trained local volunteers to enhance their capacity to act as a team of search and rescue personnel so that they will be able to help others during any emergency. The most important aspect is that the volunteers are given a training to act during any an emergency not only in case of tsunami. Khun Chairat Sukkaban stated "We already at local municipality have training for our volunteers, we have about 200 volunteers and also train them to use radio, walkie-talkie, so I think if anything happens, everybody knows about this and know how to help others."

The municipality has organized a Tsunami drill and it was executed under the observation of the Prime Minister and other local and foreign dignitaries in April 2005. The municipality is aware of the fact that to be more effective such public evacuation drills should be undertaken more frequently and also to see the adverse conditions. The tsunami or any other natural calamity can emerge in the night or in any other unusual time. So Khun Chairat Sukkaban stated "this time maybe we should organize the drill at night, to remind everyone what to do if it occurs during night. Also we invite managers of the hotels to assist us. I think since we are connected to emergency satellite link now, we have to make sure everything works well after getting the information through the communication channels"

The deputy mayor emphasize the fact that the municipality aims at training of large number of volunteers to help others and to have sign boards to evacuate them in to designated safe evacuation areas. The municipality has placed the sign boards giving directions for safer



evacuation. The visitors and residents of the city now feel that they will receive adequate warning in case of future tsunami and feel more safer than before and more prepared to overcome the difficulties during a future event.

### Clean River, Protected Beach project

The sandy beach of Patong is its lifeline. The economy of Patong depends entirely on this sole commodity. The beach is a half circle shaped shoreline that keeps the sea water circulating within Patong Bay. Therefore water that enters the bay from the only natural river Pak Bang gathering from even untreated water outlets connected to the river stays in the shallow waters of the bay before it flushes to the sea. The resulting pollution on the beach due to washed up waste with sea waves poses a severe threat to the economy.

The Municipal Waste Water treatment Plant that commenced operations in December 2004 having started its construction in 1999 has the capacity of treating 12,250 cubic meters per day. This enhanced capacity managed to treat only 60 percent of the waste water generated in the city. The rest is flowed to the river Bang Pak and flowed freely to the Patong Bay polluting the beach.

The Municipality initiated Clean River Program to treat wastewater with funding and technical support of the Danish Government. The constructed wetland is the system installed to treat waste water carried by Bang Pak river and its tributary Pak Lak canal. The Project of Constructed Wetland is a good example of 'good urban governance' of Patong Municipality. "Following design, public hearing and tendering among local companies the works related to the constructed wetland and systems were initiated in Patong" (Ref Tsunami Thailand One Year Later UNDP 2006).



"We have launched a Clean river Program for Patong, focusing not only expanding the capacity of our existing waste water treatment plant, but also on the ways we collect and treat waste water. And, it turns out, having a clean river that is a key factor in protecting our beach" says the Deputy Mayor.

The Clean River program demonstrates the commitment of the Municipality to win the tourists to Patong city. The increasing competitiveness in the tourism trade and the dependency of the economy of Patong Municipality on tourism have

contributed very effectively for the protection of natural environment.

### Environment Management Systems and ISO 14001

Patong Municipality was successful in obtaining ISO 14001 on 17 April 2006 from the Management System Certification Institute (Thailand) having confirmed to the requirements of the award. The scope of the award consisted of

- Activities and operations within the municipal building
- Activities for the environmental programs with the interested parties.

The Municipality cooperated with two parties in implementing Environment Management System (EMS) in order to qualify for ISO 14001 standards. These two parties include one school namely Saimunyen School and the Royal Paradise Hotel in Patong city.

The activities implemented include the following;

- Reduce electricity consumption within the Municipality building
- Reduce fuel usage in the municipality owned vehicles
- Attract houses to save electricity
- School recycling programme
- Reduce electricity use in the Sainum Yen School
- Campaign for **“One Finger to Touch for saving electricity”**
- Campaign on **“Paradise Love Environment”**

The city officials were fully involved in planning, implementing, monitoring and evaluation these actions. The communities of the municipality are involved in energy saving and conservation measures through networking. Patong is the first municipality in the Southern Thailand to win ISO 14001 award and the third in the country. The success of this initiative gives evidence to the good governance practiced by the Municipality.

#### Private- Public Partnership for Tourism Promotion



There exists a strong partnership between the Municipality and the private sector, particularly tourist hotels in Patong. The city authority is concerned over its inhabitants and more importantly “more than one million visitors who come to enjoy the beauty of Patong each year” says Mr. Pian Keesin Mayor of Patong Municipality. “At the Municipality we strive to make a safe and clean environment balanced with the income generating tourism” says Mr. Chairat the Deputy Mayor Ref: Clean River Protected Beach 2006).

In their thrust to promote tourism, the city authorities invite the participation of the private sector who play a substantial role in attracting tourists. It was learned that the hoteliers were consulted during the recovery phase after tsunami and their views on reconstruction were solicited. Their cooperation is particularly sought in the treatment of wastewater in the city. Mr Claude Crissey, Managing Director of Panwadee Hotel expressed his gratitude to the Mayor and his team at the Municipality for their prompt and efficient action in clearing debris, removing waste and repairing the waste water system after tsunami. It is learned that hoteliers are closely involved in tourism promotion campaigns launched by the municipality

The hotels are compelled to install individual waste treatment facilities depending on the number of rooms they operate.. The cleaned water can be reused to water plants and gardening. In addition hotels pay a levy to the Municipality for the collection of solid waste generated in the hotels. “The system works very efficiently” according to the Manager of royal Paradise Hotel. Whilst the hoteliers comply with the rules and regulations, the Municipality too performs its

functions to meet the expectations of the hoteliers. Thus there is an effective co-existence of two parties to protect environment whose prime motive is tourism.

### “Safety and security of life and property of People”



Patong Municipality in its commitment to provide safe and secure life for its people including visitors has embarked on number of measures to ensure that city is a safe place for all. Joining the national efforts of disaster preparedness and risk reduction, the Municipality is working closely with the Department of Disaster Prevention and Mitigation (DDPM).

Seven sirens have been installed to give early warning to people on incoming disaster. The evacuation routes are clearly marked enabling people to run for their safety. Early Warning System (EWS) is regularly being tested and drills are being carried out to make that all are aware of the systems and also to ensure the EWS works. The wooden beach benches were replaced with plastic benches as the wooden items caused severe injuries to the people during tsunami.

Another very innovative action that the Municipality has undertaken is the deployment of 160 youth who are otherwise wasting their time in discos, riding motorcycles etc. to join as Volunteers. These volunteers are trained on Search and Rescue operations, maintaining law and order, safety and security that are the prime needs of the city with its diverse population. These young volunteers are provided with communication equipment (walkie talkies) and uniforms to give them a kind of pride in the job that they perform.

Following the Tsunami event the Tourism Authority of Thailand has issues guidelines for design and execution of tsunami mitigation initiatives within the coastal zone through integration of them in the urban land use plans initiated by the respective municipalities in Phuket area. Patong municipality has undertaken to integrate such guidelines in their future city planning and encouraged the private sector investors to integrate some of the options into their designs as appropriate.





The Idea is to integrate some of the essential aspects of structural and non-structural mitigation measures for tsunami risk reduction as practical land use planning options. These include development of beach walls, sea walls etc where appropriate to provide Wave breakers for tsunami currents. Development of high grounds on the beach facade to make them evacuation areas and also reclamation of some beach areas unused due to rock outcrops formations and other environmental reasons as evacuation areas, viewing platforms etc for observers along the beach. The advantage is most of the proposed structural modifications and such installations can be managed by the private sector including hotels and some of the features proposed can be integrated easily into design of hotels or in their rehabilitation programs. Municipality has undertaken to construct some of the structures along the beach façade already.

### Solving future potential problems-Landslide Risk management

The previous incidents of landslides, other types of mass movements and flash flooding have accounted for considerable damage to social and economic assets, natural resources, and environment in the Patong area. During the past few years, such events have had significant negative impact on the development initiatives especially connected with development of Tourism infrastructure. There were many complaints to the municipality by the residents about the landslide threat created by development of upslope with the approval of the municipality. Despite the measures by municipality with the assistance of government departments and technical institutions to rehabilitate the impacted areas, losses continue to result in, due to infrastructure damages, property losses and incremental degradation of slopes. As population increases and societies become more complex, the economic and societal losses due to such events will continue to rise. Increasing anthropogenic activities in the upslope mountain areas outside the Patong municipality and above slopes visibly add to the existing vulnerability of communities living in landslide prone areas within the municipality.

However, little efforts have been made by the Municipality to understand the social and technical dimensions properly and to develop cost effective landslide mitigation solutions. Now Municipality authorities feel that more and more development will be moved to mountain slopes in future since after tsunami investors feel more secure when they locate their tourism infrastructure on slopes. Also

#### Lessons learned.

- Good governance practices can be easily integrated in to municipality administration structure and it will improve the performance of the municipality.
- Municipalities are beginning to understand the importance of human safety and security as essential and priority issues that they should focus on. The areas affected by tsunami has provided a window of opportunity to demonstrate the ways that municipalities can fulfill the task of dealing with human safety through implementation of risk management interventions.
- The research on Good Governance should not be merely based on the global indicators. Indicators of good governance may have to be modified to suit the country situation. The cultural practices, religion, traditional wisdom so on have great influence in decision making process in any country. Its not easy to change such practices since the community respect them as values of the society.
- Disaster event will cause destruction and also provide opportunities for development. If the post disaster programs can be implemented with the participation of local authorities it can bring better results. The development initiatives within local community is better understood by the local authorities than others.
- Disaster Risk management has to be mainstreamed within the local government sector. The areas need focus are
  - Emergency response and early warning
  - Land use planning at local level
  - Building by laws and approval process
  - Budget allocations through annual budgets

scenic beauty can be enjoyed by tourists and it adds to the investment potential. Information needed for implementation of such initiatives aimed at understanding the social and technical dimensions, have not yet been fully taken up and Municipality wants to involve professionals in landslide studies to delineate the risk and advise the municipality on future actions to ensure the safety of people and infrastructure. The municipality plans to integrate risk management interventions in future land use and other developmental planning and implementation and to obtain the services of technical professionals involved in critical decision making process of development planning and environmental protection.

Moreover, the service sector involved in infrastructure development such as human settlement development, water, power and road development do not have adequate specialized knowledge in landslide mitigation work and when the planning decisions are taken, the landslide proneness and issues related to reduction of impacts is generally not considered. In most cases, the impact of landslides is visible when the services are disrupted, and again due to lack of provision of sufficient maintenance and repairs budget, the rehabilitation of the affected area(s) are impeded. They plan to develop guidelines for such institutions to be used in mountainous areas within the municipality and also in the upslope neighborhood.

The Municipality has requested the assistance of Asian Disaster Preparedness Center (ADPC) to delineate the risk and develop a hazard zonation map for the landslide prone area. The Asian Disaster Preparedness Center (ADPC) in collaboration with the Department of Mineral Resources and University of Kasetsart is engaged in a demonstration project to assist the Patong Municipality. Other activities planned are development of threshold limits for landslide initiation, monitoring of rainfall and installation of instruments for slope stability monitoring, development of early warning systems for high risk slopes, development of guidelines for construction and infrastructure development.

Municipality is actively participating in ongoing project interventions aimed at reducing the landslide disaster risks. Given the high terrain of the Patong city towards the land, control and remediation of its proneness to landslides is the objective of the interventions. The above described project on Landslide Mitigation Demonstration Project presently being implemented by Asian Disaster Preparedness Center (ADPC) receives funding and technical support of the Royal Norwegian Government. This is also an indication of Good Governance as Municipality is more responsive to the future needs and potential risk management and demonstrates its adherence to the principals of predictability and responsiveness.

## Conclusion

The Patong Municipality actively involved in providing relief to Tsunami victims at the immediate response phase. The municipality managed to repair the damaged infrastructure with minimum time and maximum efficiency. The post Tsunami recovery and rebuilding efforts were carried out together with other partners to achieve full recovery by 2006. The governance practices demonstrated by the Municipality during the post Tsunami recovery provides a good model for other city authorities.

The Patong Municipality's forward looking approach is demonstrated in many areas. They have undertaken very essential projects after tsunami through mobilization outside funds to serve people better. The authorities uphold the value and right of the people to have safer living and taken adequate measures to ensure human safety and security. The web site, brochures and others tools are used actively to promote the image of municipality by elaborating services that municipality will be rendering. It increases the accountability of the duty bearers and municipality has demonstrated its transparency in providing information to all using all popular channels of communication. The municipal government has shown its responsiveness and demonstration its dedication and commitment to ensure safety of population. Early warning system set up and also the volunteer network provides clear evidence to that. The government is taking measures to attend to future potential problems by undertaking a project on landslide risk management and demonstrates its predictability in identifying future problems and looking for remediation.

The municipality has demonstrated more than once that the Tsunami failed to destroy the spirit of Thai people and their solidarity. They have worked tirelessly to bring the pre-tsunami life back to Patong and the clear indication for that is the recovery of their main income source the tourism sector. The governance practices demonstrated by the Municipality during the post Tsunami recovery provides a good model for other city authorities.



# Good Urban Governance in South Asia (GUGSA)

DOCUMENTATION OF CASE STUDY  
INDONESIA

## ***Good Governance in Post Disaster Recovery: Case Study of Barrack Alpen II / PUSKORINFO Aceh - Indonesia***

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(Center for Local Government Innovation)



# Good Governance in Post Disaster Recovery: Case Study of Barrack Alpen II / PUSKORINFO Aceh - Indonesia

Presented jointly by

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 <b>USAID</b> FROM THE AMERICAN PEOPLE	 <b>LGSP</b> GOVERNMENT • COMMUNITY • CITIZENS
USAID INDONESIA Local Governance Support Program	 <b>YIPD</b> Yayasan Inovasi Pemerintahan Daerah (Center for Local Government Innovation)

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# 1 Introduction

There was a long period of conflict in the Province of Aceh as a result of the separation movement. In this situation, administration in the *kabupaten* (District) of Aceh Barat could not be carried out normally. According to Mr. Cut Agam - Vice Speaker and Chairman of DPRK (Local Legislature) of Aceh Barat, most projects conducted in rural areas, outside Meulaboh City (capital of Aceh Barat) were not effective, and never managed to achieve their targets successfully - as they were hampered by the separation movement. It was in this time of uncertainty, threat to security and orderliness, and already paralyzed performance of the District Government, that the earthquake and tsunami disaster hit Aceh, on December 26, 2004.

The tsunami destroyed the coastal region, and affected areas 3-5 kms further inland. The 384-km long road that ran along the west coast, from Banda Aceh (capital of Aceh Province) to the south eastern territories of the province, was badly damaged. The alignment was no longer recognizable and parts of the road had disappeared, washed away - severing the connection to affected cities in the south-eastern segment of Aceh Province, including Meulaboh which is about 250 kms from Banda Aceh.

As of January 27, 2005, data collected indicated that about 240,000 people had been lost to the tsunami - buried, killed or missing. The total number of internally displaced persons (IDPs) from cities and districts along the coastal areas of Aceh Province stood at 436,820 (equivalent to about 130,527 households)<sup>1</sup>.

Located on the west coast of Aceh Province, Kabupaten Aceh Barat (the District of Aceh Barat) spreads over an area of 2,426 sq. kms. and consists of 11 *Kecamatans* (Sub-districts). Of these, the ones worst-affected by the tsunami were Meureubo, Samatiga, Arongan Lambalek, Bubon and Johan Pahlawan district, where Meulaboh (the capital city) is located.

In the Aceh Barat District, the tsunami destroyed 14 bridges (which is all bridges along the main road), 2 clinics, and 99 school units (from kindergartens to senior high schools), killing 185 teachers. All the sub-district (government/ municipal) offices needed to be rebuilt.

In February 2005, the population of Aceh Barat District stood at 198,541; most of them, farmers, fishermen, traders or small businessmen, by occupation. As many as 12,794 people had died in the tsunami, and the number of survivors at 56 temporary shelters (tents/ barracks) was recorded as 31,077.<sup>2</sup> According to the Command Base of Coordination Unit for Disaster Tackling Execution<sup>3</sup>, a provincial-level emergency response co-ordination unit in Meulaboh, total IDP figures had reached about 61,000 people, including those staying at their relatives and outside Aceh Barat.<sup>4</sup>

Under pressure of the conflict, the District Government of Aceh Barat was slow to respond in days following the disaster. However by early January 2005, the *Bupati* ad-interim (Head of Sub-districts) and other officials had got together and consolidated their efforts. In keeping with Disaster Management Regulations, they, along with the TNI (Indonesian Army), responded to the emergency by - helping the wounded, evacuating displaced persons, burying the corpses and cleaning up the city (settlements). They coordinated with other aid agencies in providing logistical support, supplying food, medicines and fuel, as well as constructing temporary bridges and roads. The various donor institutions and international NGO's played a significant role, especially in ensuring food supplies, first-aid and health-care.

Given the local government's limited resources, the challenge was to improve its capacity in serving the community better. Some agencies worked with local authorities by sending in experts to help with problem-solving and service delivery improvements. However, only few providers (i.e. NGOs or donor programs) coordinated with sub-district offices, while most others did not. Even after the emergency response phase, support services such as technical assistance for community-based village mapping, housing or livelihood benefits, were delivered directly to communities, through the *Keuchik/ Kepala Desa* (Village Head).

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<sup>1</sup> [Vebry, 2006]

<sup>2</sup> [Ensiklopedia Aceh Barat, 2005]

<sup>3</sup> [Pos Komando Satuan Koordinasi Pelaksanaan Penanggulangan Bencana]

<sup>4</sup> [KOMPAS, 04/02/2005]

As per its mandate, UN-OCHA (United Nations Office for the Coordination of Humanitarian Affairs), carried out coordination activities during the emergency response period. While it was finding its feet, there was a time when the public officials seemed to be unresponsive and ineffective in dealing with information flowing in. In a situation where information was not easily available, the coordination media became an effective tool for the implementation of NGO programs, but did not play the same kind of facilitative role in aiding the local government function as a coordinating agent.

There were donor programs (relating to governance) that were faced with this issue of sketchy, imprecise information, and were able to remedy it both at district and sub-district levels. PUSKORINFO is one such success story.

The scope of support in rehabilitation and reconstruction efforts was extensive, but two sectors requiring immediate attention were 1) housing and 2) livelihood. Livelihood programs were not considered instantly, as it was felt that they could be worked out directly between the providers and beneficiaries when they met. The matter of housing was complicated, with problems arising from issues relating to land (i.e. law, administration, provision etc), planning, construction and systematic allocation or distribution.

The next four Chapters (II – V) describe our study. Chapter II illustrates the situation after the disaster, dealing specifically with housing issues and provision to the IDPs. It describes the roles and efforts of the various institutions/ agencies involved in the rehabilitation and reconstruction process. Chapter III discusses the USAID-LGSP initiatives with Barrack Alpen II and concludes with the establishment of PUSKORINFO (Center for Coordination and Information, at the district level). Chapter IV evaluates the result and achievements, and includes a discussion on the trend and sustainability of the activity of PUSKORINFO in Aceh Barat. Chapter V reflects on lessons learned and the transferability of PUSKORINFO and good governance practices in this case.

## 2 Situation before the Initiative

[3rd Quarter of 2005 to 2nd Quarter of 2006]

### 2.1 IDPs and Housing Assistance

Survivors, whose houses were destroyed by the tsunami, became internally displaced persons (or IDPs), who either stayed within the village, moved in with their relatives or friends at the same sub-district, or possibly shifted to Medan (capital of North Sumatra Province, nearest to the Province of Aceh) or even to Jakarta (capital of Indonesia on Java Island).

In relation to land and housing, some of the IDPs were owners and others paid rent. Regarding the status of houses, few had proper land certificates and papers, while others had none. Land parcels were either not properly registered earlier, or if there were supporting documents, they were lost with the tsunami. Most cases were houses without clearly defined plot boundaries. In some instances, constructions were unauthorized or land was illegally occupied (living as squatters). Thus from a legal and administrative point of view, verification and sanction, was not easy.

Meanwhile, continuing in the same manner of operation from the emergency response phase, the housing providers directly contacted beneficiaries through the Village Head. Successful housing delivery required a certain amount of committed collaboration between the two sides.

At this stage, the issue of appropriately and precisely identifying the community's needs was encountered. Officials from The Rehabilitation and Reconstruction Executing Agency for Aceh and Nias (BRR)<sup>5</sup> were consulted and this matter raised at the coordination meeting conducted at the district level. Nevertheless, manipulations and discrepancies occurred. Various members of a family made requests for housing to different providers. It became more complicated in cases where providers had no references in granting housing to newly married IDP couples, or where the children wished to divide the land of their parents' previous house. There was also an argument for having more than one dwelling unit for each family, as some of the house sizes (being provided)<sup>6</sup> were not suitable to accommodate the number of persons in the family.

Houses were to be provided according to the status of the IDPs, under the following categories:

- 1) The renters - these families were not eligible to receive a new house, they were limited to have funding support for housing rehabilitation;
- 2) The owners - each family could have a new house, on their original plot of land or nearby in the same village;
- 3) The owners - those who had agreed to relocate to another area, which might be outside their village or even the sub-district, were also entitled to a new house.

In general, relocating IDPs could mean from the tents/ temporary shelters to barracks or from barracks to permanent houses. However this report specifically discusses the relocation of IDPs from barracks to their permanent houses.

Of the 37,233 houses in Aceh Barat, 13,740 units (37%) were badly wrecked and 2,473 units (6.64%) were lightly or moderately damaged. 5,240 families lived in temporary shelters at 47 points.<sup>7</sup>

Over time, the pace of resettlement in Aceh Barat has indicated acceleration. In 2005, the rate of construction and provision of houses was about 1.5% of the housing demand, climbing to 21% in 2006 and 39% by May 2007 (Refer table below). This includes housing provided by the BRR, various donor programs and NGOs.

No.	Year	2005	Units	2006	Units	May 2007	Units
1	Production	80	Units	1,111	Units	4,189	Units
2	Rate	20	Units/month	93	Units/month	838	Units/month

<sup>5</sup> [Badan Rehabilitasi dan Rekonstruksi Aceh-Nias]

<sup>6</sup> [House sizes differed from one provider to the other]

<sup>7</sup> [PUSKORINFO, Bappeda, Aceh Barat, Nov. 2006]

This increase was because the number of groups involved in construction and rehabilitation efforts grew over time, and also access to land (for housing) improved. However the yet unaddressed problem, concerning the lack of consolidated and accurate data on the eligibility and rights of IDPs, requirement of houses, their locations etc, hampered the allocation process.

By mid-2005, the housing providers had begun to allocate houses. Some people were unhappy with the distribution of houses, as they felt it was unjust. For instance, while many IDPs were still waiting for their housing units, several others with fewer problems had already got one. Some severely destroyed areas received less attention as compared to others with only light or minor damage.

The District Government was aware of the situation, but there was little initiative towards compiling a precise record of information relating to IDPs that needed houses, and their intention to stay in the area or relocate. Should the IDPs agree to be relocated, the government had not yet worked out where and how they could provide the land. As such the housing providers had little or no reference base from where to conduct housing reconstruction and distribution.

Head of *Bappeda* (District Development Planning Agency of Aceh Barat), Mr. Minzar Wood and his colleague, Head of Research and Information, recalled the early rehabilitation situation in Aceh Barat, as follows:

- In the beginning, the UN, Donor Agencies and NGOs at the tsunami-affected areas, directly met the communities and offered their assistance or started support programs; and they did so individually. Efforts to coordinate among the housing donors/ providers were conducted through the Shelter Working Group Meetings.
- Observing developments on site, the District Government in a way felt alienated, and at a loss. An evaluation indicated that construction activities (on the ground) were not based on priority. Critical areas of work or urgent needs were not yet handled, while other, less pressing issues already had ample support. If this state of affairs was not promptly rectified, it would certainly discredit the local government and lead to increasing tensions among the communities.
- UN-ORC (United Nations Office for Recovery Coordination) was in the capacity to support the various NGOs and Donor Agency Programs. However, the need for more effective coordination in their direct dealing with the IDPs, was obvious.

In February 2006, the District Government of Aceh Barat acquired a 53-ha parcel of land, for the purpose of relocation. This did not go down well with the local community, and particularly the IDPs, as the government had done so independently, without consulting the public, or bothering to find out their needs and aspirations.

## **2.2 The Institutional Condition**

District Government agencies involved in providing housing to the IDPs were, the Executing Unit for Disaster Tackling<sup>8</sup> (SATLAK-PB), *Bappeda* and *Dinas Cipta Karya* (District Government unit of Public Works on Housing and Settlement). Support from UN-OCHA and later by UN-ORC was significant in conducting Shelter Working Group Meetings in Aceh Barat. Deliberations mostly revolved around:

- Settlement on any overlaps between the new housing areas of the providers;
- Discussions on land suitability for new constructions;
- Resolving cases of dispute between the communities and providers, or antagonized relationships within the community that was affecting the donor's performance.

*Bappeda* and *Dinas Cipta Karya* were actively involved in these meetings. Their role in particular involved, providing planning advice and arranging the venue for meetings. However at the time, this forum was not utilized to discuss openly either the government's intention to acquire the 53-ha land for relocation, or thereafter, respond to the community's unfavorable opinion regarding the same. Discontentment was at its peak when they realized that the land also had a technical problem, and

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<sup>8</sup> [Satuan Pelaksana Penanggulangan Bencana]

was not suitable for developing a housing area. Later on it also became known that the price, at which land was acquired, was too high as compared to what was offered to the communities in direct negotiations. The government price ceiling had to be lowered thereafter.

Continuing from the emergency response phase, the SATLAK-PB carried out registration and updating of IDP data, by recording the number of buried victims and evacuees. A national level organization, with working units at all levels of government, its existence, role and function is regulated by the Ministry of Home Affairs Decree No. 131, Year 2003 on Guideline for Disaster Tackling and Handling the IDPs.

SATLAK-PB had obtained IDP information from the Electronic Data Processing Agency<sup>9</sup> of Aceh Province. These statistics had been copied and distributed to the Sub-districts for verification. However due to the lack of resources and supervision at the Sub-districts, there was no response to the initiative and the data was not corroborated.

As such, the available or useable information concerning the status of IDPs was based on early 2005 data, which was neither accurate nor up-to-date. This problem resulted in less reliability and accountability when it came to the allocation of houses to IDPs. Even the communities had no clear information or idea of where to convey their grievances on housing provision.

The above situation needed to be dealt with and sorted out quickly. On June 20, 2006, the late *Bupati* ad-interim of Aceh Barat, Dr. Sofyanis issued a decree for constituting the Coordination Team for IDPs Handling and Housing Construction for Victims of Earthquake and Tsunami in the District of Aceh Barat<sup>10</sup> This team had the responsibility to:

- conduct IDP registration and update the number of houses needed;
- provide counsel in identifying problems and finding solutions, as it may occur on site;
- provide necessary guiding information to the donor agencies and NGOs;
- evaluate and report activities to the Bupati.

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<sup>9</sup> [Badan Pengolahan Data Elektronik]

<sup>10</sup> [Tim Koordinasi Penanganan Pengungsi dan Pembangunan Perumahan bagi Korban Gempa dan Tsunami, Kabupaten Aceh Barat]

### 3 Initiative and Recovery Actions towards Good Governance

[4th Quarter of 2005 - 3rd Quarter of 2006]

The *Bupati* decree to form a Coordination Team was a step in the right direction, towards a more efficient handling of IDPs and their housing provision. In June 2006, the activities of some agencies were synchronized and their efforts consolidated, to improve coordination and information management in the District of Aceh Barat.

The District Government's responses and initiatives in dealing with post-tsunami issues were satisfactory. Some failures could be attributed to insufficient resources. Prompt actions such as forming the SATLAK-PB, coordination with the Indonesian Army (TNI) and police, involving the Provincial Government of Aceh, the Minister for Social Affairs, and creating a forum for information gathering through volunteers and NGOs, were all aimed at effective disaster management.

Donor agencies or support programs operating in Aceh Barat after the emergency response period were not limited only to IDP rehabilitation. Some of them were related to capacity-building and governance.

#### 3.1 USAID-LGSP Initiatives and Response for Alue Penyareng II Barrack (Barrack Alpen II)

USAID-LGSP (Local Governance Support Program) is funded by USAID. Its core functions were in the field of planning and budgeting, capacity building of councilors, facilitating and supporting community organization, and mass media initiatives. These capacities were utilized to support the District Government's priorities, which were formulated at a planning workshop. Involving multiple stakeholders, this workshop was intended as a need-assessment exercise for developing better governance practices.

On October 1, 2005, a decision was taken to improve service delivery to IDPs through the establishment of a -

- Center for Relocation Services, and
- Initiate programs to improve local economic development, in particular the community's access to working capital.

These activities were demand-driven. For each of these projects, a detailed working plan was prepared along with the related *Dinas* (organization unit of the District Government). Strategies for local economic development were prepared by *Bappeda*, *Dinas Perdagangan and Perindustrian dan Koperasi* (District Government unit for Trade, Industry and Cooperative) of Aceh Barat. The working plan for establishing a Center for Relocation Services was designed in consultation with *Bappeda*, *Dinas Cipta Karya* and SATLAK-PB. This was completed and ready for implemented in January 2006. Part of the arrangement between USAID-LGSP and the District Government of Aceh Barat was that both parties would share an office and equipment for the Center.

Dealing with the issue of relocation was complicated as each agency or unit working in the area, were doing so by themselves. There was little coordination or planning, and at that time the BRR was still more focused on policy-making and budgeting.

The community's extreme displeasure with regard to the earlier acquisition of land was a big blow to the District Government's standing. For USAID-LGSP, this experience only reinforced the fact that in order to facilitate and successfully carry out relocation activities, it was essential to tune into the needs and aspirations of the community.

After directly interacting with the IDPs and gaining a better understanding of their requirements, the role and function of the Centre for Relocation Services became clearer. In the relocation process, 'transparency' was of the essence.

### **3.2 Understanding the Relocation Process: Case of Barrack Alpen II**

Chosen out of 42 Barracks in Aceh Barat, USAID-LGSP first made contact with Barrack Alpen II (located at Desa Ujong Tanah Darat, Sub-district of Meureubo) in October 2005. Abdussalam, the Barrack Coordinator discussed the problem of uncertainty in housing provision by the government.

It was noted that this barrack management had a good reputation in catering to its residents' needs. The inhabitants of Barrack Alpen II were accustomed to discussing and finding solutions in a participatory manner. Small meetings were facilitated by the Barrack's management whenever important issues arose. Their consensus was presented at the general meetings, where all residents were invited. The management had got the women to participate in the decision-making. An instance of a case resolved in this manner was the provision of clean water for residents using a shallow well and cleaning the barrack's yard (ensuring the availability and reliability of water supply). In the relocation planning process, the community was actively engaged in determining the site plan and location of public facilities.

IDPs living at Barrack Alpen-II were a cohesive community with good a management structure. However in other cases, where such a foundation was lacking, a citizen's forum needed to be established.

Steps in this community-based relocation process were:

#### **1. Data Verification**

An important first step in the process was the verification of beneficiary data, and to ascertain who wanted to be relocated.

#### **2. People's Agreement**

The People's Agreement was a show of the community's commitment; to be signed on legal format.

#### **3. Establishing a Committee of Relocation**

A Committee for Relocation was elected by the community through participatory means. This committee was in charge of managing the relocation process.

#### **4. Land Identification (by the Community)**

The Committee for Relocation was responsible for land identification. In the case of Barrack Alpen-II, some options were identified and their suitability evaluated. Finally, a parcel of land not too far away and adjacent to an existing road was settled upon through common consensus.

#### **5. Land and Subsurface Soil Investigation**

Some technical aspects relating to the land were analyzed. Soil composition and structure was studied using the Dutch Cone Sounding (SONDIR) technique and drilling boreholes. The possibility of floods was also examined. A basic infrastructure needs assessment, and an environmental impact analysis was carried out. That is, access roads, electricity, drainage, fresh water resource, spatial planning, and the potential for further expansion to accommodate other housing communities, were all looked into. To end with, the socio-economic aspect (neighboring communities/ villages and access to - sustainable livelihoods, basic education for children, markets, health-care facilities, places of worship etc) was also assessed.

#### **6. Negotiations on Land Price**

In the case of Barrack Alpen-II, the community was able to negotiate a land price for only Rp. 6,500 per square meter - significantly lower than the government's standard price for land acquisition in the same village, which was more than Rp. 15,000 per square meter. After the price and the process of land acquisition were published in the local newspaper, the government standard price came down to Rp. 10,000 per square meter.

#### **7. Site Planning**

Based on his experience as a building contractor, Mr. Abdussalam (head of Barrack Alpen II), prepared a blueprint for their housing settlement - the outcome of a participatory planning exercise involving the community. USAID-LGSP improved and digitized the plan, and facilitated this initiative with the BRR. A presentation and discussion was held on February 2, 2006, where the BRR stated that they would provide land for relocation.



The plot measuring 15 m x 20 m in size was subdivided into smaller sites, with a 7 m wide road and some common facilities like a playground, musholla (small mosque) etc. Which family got which lot was determined through a lottery. Every site was numbered and the head of the family picked a number. The blueprint was signed by the *Keuchik* (Head of Village) and *Camat* (Head of Sub-district) of Meureubo. The entire process was facilitated by USAID-LGSP and supported by two other USAID programs, the Environmental Support Program (ESP) and Health Service Program (HSP).

The scheme was submitted to *Bappeda*, requesting for an approval to build the houses on site. The feasibility report (prepared by World Vision) stated that the land was viable for relocation and housing purposes.

## **8. Land Administration**

After all the documents were ready, the Committee for Relocation submitted its proposal to the *Bupati* for approval. Once this was received, the documents were presented to the National Land Agency<sup>11</sup> who carried out partial planning for detailed relocation. The Committee for Relocation then conducted negotiations with Committee 9 (consisting of 9 persons) for land acquisition.

In the Barrack Alpen-II case, the land owner had given a time limit for full payment - from January to May 2006. At the time, the Aceh Barat Government did not have a budget for land acquisition (no APBD - approved district budget) and the BRR was also unable to pay for it. The alternative for the community was to use their own resources. The residents received money from World Vision through a "cash-for-work" program, where 50% of their income was allocated for payment towards the relocation land.

Finally by the end of November 2006, the Asian Development Bank (ADB) as one of the housing providers through the BRR program, called for tenders from contractors, to build the houses and infrastructure. Work on site began in January 2007 and is estimated to be completed by August 2007. What was important was that the residents of Barrack Alpen-II were given access to monitor the construction of their houses. Prior to this, a three-day training program was conducted by USAID-LGSP on how to supervise the process of housing construction. If the residents found some discrepancies between the plan and what transpired on site, they could directly contact ADB-ETESP (Earthquake and Tsunami Emergency Support Project) to submit their grievances regarding implementation of the contract.

### **3.2.1 Replication of Barrack Alpen-II**

Activities of the Barrack Alpen-II community inspired other barracks at Meureubo Sub-district (in similar circumstances), to do the same. Residents of the other barracks agreed to assemble together and discuss the relocation issue. Mr. Abdussalam then took the initiative of inviting USAID-LGSP to facilitate these meetings.

In collaboration with teams from Alpen-I, Alpen Perumnas, Paya Peunaga-I and Paya Peunaga-II, the Meurebo Forum for Coordination of Relocation<sup>12</sup> was established; endorsed by a decree from the *Camat* (Head of Sub-district) of Meureubo.

Considering that housing issues were linked to the beneficiaries - who had to be differentiated from non-victims eligible for housing assistance - the housing providers needed to know precisely how many houses were required by the IDPs. The *Keuchik* and *Mukim* (Heads of Village) had to participate in determining how many residents were entitled to housing assistance. One of the main tasks of the forum was to verify such data.

Understanding that such an activity needed to be comprehensive, the network was extended to include all the Barrack Managements. On January 24, 2006, an assembly of 36 Barrack Managements in Aceh was held. This and other similar meetings were monitored or facilitated by USAID-LGSP. A growing involvement with the community helped the USAID-LGSP to gain a better understanding of the situation and housing provision problems. This network of Barrack Managements was continually expanded, and subsequently they succeeded in forming a district-level association of Barrack Managements (IPKTs).

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<sup>11</sup> [Badan Pertanahan Nasional]

<sup>12</sup> [Forum Koordinasi Relokasi Meurebo]

After establishing a citizens' forum in the Meureubo Sub-district, on August 30, 2006, the USAID-LGSP facilitated the creation of a district-level IDPs association in Aceh Barat. Citizen forums of all the different Barracks came together to form the Association for Tsunami Internally Displaced Persons<sup>13</sup> (IPKTs). This forum was expected to access the Center for Coordination and Information as a complaint center.

### 3.2.2 Center for Coordination and Information (PUSKORINFO)

Communication and coordination functions were actually introduced from an early time in the emergency response phase. On April 23, 2005, the *Bupati* ad-interim of Aceh Barat, Drs. H. Nasruddin, had formed the SATLAK-PB in accordance with the Home Affairs Ministerial Decree No. 131 Year 2003, on Guideline for Disaster Tackling and Handling the IDPs.

This unit was responsible for the rehabilitation and reconstruction process, but had limited resources in addressing all the issues involved. Various stakeholders in the District of Aceh Barat had determined at the start that the government needed to establish a Center for Relocation Services. This task force was expected to accelerate the rehabilitation of internally displaced persons (IDPs). A clear mechanism was required for efficient resettlement, and an anticipated issue complaint center to avoid similar mistakes from being repeated. Also, it was evident that the regional government needed an effective form of management to ensure better implementation in the future.

On the other hand, USAID-LGSP was fully aware that the IPKTs would need information support. Sooner or later it had to connect with government institutions in order to communicate and coordinate all related information, for better performance on housing delivery to the IDPs. So, having facilitated the formation of the IPKTs, the USAID-LGSP at the same time met with *Dinas Cipta Karya*, *Bappeda* and the BRR office at Meulaboh to summon their response on the matter of leading the coordination and information management concerning IDPs and housing delivery. By this time the USAID-LGSP also had a better picture of relocation issues - through their experience with Barrack Alpen II and monitoring of other Barrack Management meetings.

On July 30, 2006, USAID-LGSP, the heads of *Dinas Cipta Karya* and *Bappeda* got together for an in-depth discussion on:

- the need for data verification (in view of the fact that there were IDPs who got more than one house from different housing providers, while others received none; and other related issues such as housing provision to new IDP couples who married after the tsunami);
- the concept of establishing a Center for Coordination and Information (PUSKORINFO - *Pusat Koordinasi dan Informasi*), its role and functions;
- procuring equipment, training computer operators for database management and programming a database application; and
- the action plan.

On August 1-2, 2006, the Coordination Team (that came into existence by the *Bupati*'s decree), held a meeting with the heads of *Bappeda*, *Dinas Cipta Karya* and USAID-LGSP. The next day, USAID-LGSP confirmed its funding support for the soon-to-be PUSKORINFO. On August 3 2006, in a meeting facilitated by USAID-LGSP, it was agreed to establish PUSKORINFO as a joint secretariat on IDPs and resettlement planning. It was meant as a complementing apparatus to the Coordination Team, where the Head of *Bappeda* was made Team Coordinator and the Head of *Dinas Cipta Karya* was Chairman.

In the data collection process, initially the provincial government through the Electronic Data Management Agency<sup>14</sup> (BPDE) agreed to supply PUSKORINFO with a soft copy of the information, but later were only able to provide a hard copy. After procuring this information, a database training session was conducted for the operators (through collaboration between USAID-LGSP and AIPRD-LOGICA)<sup>15</sup>. The operators came from each of the different SKPD (District Government units) in Aceh

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<sup>13</sup> [Ikatan Pengungsi dan Korban Tsunami]

<sup>14</sup> [Badan Pengelola Data Elektronik]

<sup>15</sup> [Australia-Indonesia Partnership for Reconstruction and Development - Local Governance and Infrastructure for Communities in Aceh Project]

Barat (*Dinas/ Badan/ Kantor*). AIPRD-LOGICA provided resource persons, trainers and the database application.

Between August 18th and September 12th 2006, the operators had completed the data entry on IDPs. These statistics came from BPDE of Aceh Province, UN-ORC, and the Heads of Villages and Barracks. On September 13 2006, PUSKORINFO was ready to present this for public consultation and cross-checking of beneficiary data. Important points that needed to be verified were: overlapping data (where one person was recorded by more than one donor program/ NGO), manipulation of beneficiaries' data (husband, wife, and son, or daughter all submitted a request for housing assistance to different NGOs, whereas they only had the right to receive one house). Some of the NGO staff was also alleged to have manipulated some data. PUSKORINFO found that some beneficiaries' names had been finalized for delivery, though in reality the community had never heard of these names. What was achieved at the end of this exercise was a more precise record of: the number of IDPs needing housing assistance, the number of houses planned to be built in one village and, name of the housing provider. From the findings, it was also possible to learn who had received more than one house, who had not received any, and the number of houses without beneficiaries.

These results were published and made available to 128 *Keuchiks* (Head of Villages), 4 *Camats* (Head of Sub-districts) and 42 barrack and tent managers (united through the IPKTs), and all the housing providers (from international agencies to local NGOs). In the introduction, the function and working mechanisms of PUSKORINFO were presented, along with an announcement that PUSKORINFO was equipped with a complaint desk to accept grievances on the housing delivery to IDPs.

After the launch of PUSKORINFO findings, and handling of complaints, USAID-LGSP and AIPRD-LOGICA actively worked on data verification. With its resources, AIPRD-LOGICA corroborated the information and directly updated the villages in its program, at the Sub-districts of Johan Pahlawan, Arongan Lambalek, Samatiga and Meureubo. In other Sub-districts, AIPRD-LOGICA facilitated the IPKTs to carry out the verification. This work of confirming facts and figures brought into sharper focus the priorities in housing construction. Needless to say, it increased accuracy as to the number of houses that needed to be provided, at the same time, allowing for correction in the allocation of houses already distributed.

PUSKORINFO supported the Coordination Team with information so that:

- the housing providers and other resource agencies involved in the redevelopment of Aceh Barat were aware of local priority issues for development;
- challenges and problems could be foreseen or resolved, based on similar experiences in the past. In this way PUSKORINFO helped to 'anticipate' better.

PUSKORINFO has now become a part of the Aceh Barat District Government. Today, it has changed in name and structure, because as a task force it would not have had any allocated budget from the Local Government Annual Budget (APBD)<sup>16</sup>. To keep PUSKORINFO running well, *Bappeda* has made it a part of *Bidang Informasi dan Penelitian*, under the SIPD<sup>17</sup> program. Now an institution with operating funds from *Bappeda*, PUSKORINFO is at the right place with the right funding source. The database format with information on housing provision is effective and can be used as reference.

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<sup>16</sup> [Anggaran Pendapatan dan Belanja Daerah]

<sup>17</sup> [Sistem Informasi dan Pendataan Daerah]

## **4 Good Governance and Evaluation of the Achievement**

### **4.1 Major Conclusions and Recommendations**

- a) Community-based participatory resettlement is more effective than relocation by the Government alone. The process is also more transparent and accountable. Involvement of the beneficiaries/ IDPs in the rehabilitation and reconstruction activities naturally accelerates the process.
- b) The District Government of Aceh Barat showed good initiative towards the handling of IDP services. This is demonstrated in the formation of the SATLAK-PB and the Coordination Team to manage the relocation and housing construction for IDPs.
- c) PUSKORINFO is a manifestation of good governance in the District of Aceh Barat. There were interactions between the government and citizens' forums, beneficiaries' lists were published transparently, data manipulation issues concerning housing provision were resolved, accountability was ensured and services for registration and dealing with complaints provided.
- d) The government regulation on the process of land acquisition (Presidential Regulation No. 36 Year 2005) should be amended to include a committee for land price analysis.
- e) The regional government's lack of knowledge and skill in disaster management was evident in the post-tsunami situation. It is recommended that a capacity-building plan and program be developed for regional/ local government officials and non-government stakeholders.
- f) Technical assistance should be provided to the provincial government for preparing Local Strategic Plans for Disaster Mitigation and Management. It is suggested that international aid agencies give greater attention to such activities in their agendas.

### **4.2 The Good Governance Discussion on the Case**

The principles that form the basis for good governance have been identified as sustainability, equity, efficiency, transparency, accountability, civic engagement, citizenship and security. These principles should be reflected in the institution's behavior, procedures, and outcomes.

#### **4.2.1 PUSKORINFO**

As an institution, PUSKORINFO has upheld the principles of good governance. Its information base is transparent and accessible to anyone; in turn leading to more accountability in actions. Its information comes from the housing stakeholders in the region - the providers (NGOs, Donor Programs, the BRR), and the beneficiaries (updates from the Heads of Villages and Barracks, building on previous counting that was delivered to the Provincial Government).

As a coordinating agency, it has support from all related *Dinas* (District Government units) to deal with complaints and proffer solutions. PUSKORINFO has a strategic function in the process of housing delivery to IDPs.

The challenge to this institution was its sustainability. Here the authorities responded by including it within the structural constitution of the Local Government. PUSKORINFO is part of an initiative towards accountability in housing delivery - to prevent inefficiency and malpractices in housing allocation.

#### **4.2.2 Management of Barrack Alpen II**

It was of significance that the community of Barrack Alpen II recognized the effectiveness of its management, which played a proactive role in resolving issues encountered by its residents and further determining their future. The management was alert to and aware of the issues faced, and these were tackled by involving the stakeholders in the decision-making process. This inclusiveness reflects civic engagement and brings about transparency.

On the other hand, good governance is also about how institutions exercise their authority. The Barrack Management was able to distinguish between situations where they were required to take decisions themselves, from cases where they should include the residents. In addition, the Management was sensitive to gender issues and women were given a voice in the decision-making.

#### **4.2.3 Shelter Working Group Meeting/Forum**

The international NGOs and housing providers found these meetings very effective in cross-checking the areas of their housing projects (and avoiding overlap), in its suitability, land status, etc. The effectiveness of the forum came from its transparency; where participants were free to open a case, convey information and accept comments.

These meetings were found to be ineffective when it came to dealing with the beneficiaries. Housing providers got a list but it was difficult to guarantee its reliability. There were no representatives of the beneficiaries at the meetings, either the *Keuchik* (Village Head) or its *Imuem Mukim* (Supervisor). The donors/ NGOs usually met with them directly to procure information, but their absence reduced the efficacy of the conference. Also, discussions were limited to the effectiveness of NGO/ Donor Programs in the region and issues like the Government's intention to acquire land for relocation were never addressed in these meetings. The Government had failed to recognize the potential of such a forum.

#### **4.2.4 District Government**

The tsunami hit Indonesia before other areas, and Aceh was the first to experience its devastating impact. Considering the pressure and threats to the Government pre- and post-disaster, one finds that progress is taking place.

With PUSKORINFO, the need for a coordinated effort was fulfilled. It has been a useful tool in reaching out more effectively and carrying out relief, rehabilitation and reconstruction efforts in a coordinated manner.

## 5 Lessons Learnt and Transferability

### 5.1 Lessons Learned

- a) The SATLAK-PB had made attempts at data verification, after receiving the initial information from the Provincial Government. But PUSKORINFO was able to affect better responses from Village Heads and group leaders (and subsequently update this data), when they published the information on the number of houses constructed and names of beneficiaries in each village, and directly distributed them to the *Keuchik* (Head of Village).

#### *Rationale:*

- The Sub-district offices were poorly supported with funds and know-how to do the verification;
- Data verification did not directly influence the interest of the Sub-district officials. It was a big issue for those treated unjustly with the housing delivery 'system'.
- PUSKORINFO carried out the verification with updated data from the Barracks Association (IPKTs) and a report from the Village Head - with whom the IDPs had a closer association. PUSKORINFO provided a platform for the IDPs to express their concerns, register complaints and follow-up on actions taken.

#### *Lessons Learned:*

- The right motivation and individual interest is more critical for effectiveness of initiatives.
- The strategy to launch PUSKORINFO by publishing its findings and its role in the process, is in itself an example of transparency in processes.
- In order to have effective governance, the stakeholder has to have access to government initiatives in planning, implementing and monitoring the results of those actions. Only then can governance be said to be based on a responsive, participatory, transparent and accountable way of conduct.

- b) Upto January 2006, it was clear that in the relocation process, donor programs and NGOs would provide houses and the District Government would provide land (either with or without the support of the BRR). However the methodology adopted in the actual relocation process was suspect. Therefore USAID-LGSP took the step of facilitating the process of relocation planning and implementation through the formation of organized stakeholder groups amongst the affected people. This also improved information dissemination, critically needed in facilitating housing delivery to the IDPs.

#### *Rationale:*

- In this issue of housing delivery to IDPs, all stakeholder groups were aware of their commitments, role and functions. Dissatisfaction on the part of the IDPs was primarily because they were not consulted in issues which affected their future and safety.
- Clarity satisfies stakeholders Clarity means exposing the details, objectively and reasonably.
- At the same time, facilitating/ or getting the IDPs to organize themselves was an action of strengthening one of the most important stakeholders involved - the beneficiaries.

#### *Lessons Learned:*

- It is important to keep commitments once made and stay the course of work. Once preliminary information was given out, it was essential to provide detailed information from time to time; and finish the activity in totality once the commitment was made.
- All stakeholders involved should interact in a transparent manner. This is important in building trust and improving the quality of governance.

- c) The effectiveness of the USAID-LGSP's observation on the process of relocation and IDPs issues during the process, was a result of the proper data obtained for developing its information system. This would not have happened if there were a general environment of suspicion. It is important to be open to improving the program and initiatives in future. Further effective involvement of stakeholders is also essential for any innovation to take place.
- d) Before PUSKORINFO was established, there were tsunami survivors who did not get the assistance they deserved; survivors in less dire need received more attention. Moreover, there were indications that some parties took advantage of the assistance given. After PUSKORINFO was launched, the possibility of malpractices was reduced significantly. This shows that a (good) information system is a prerequisite for the implementation of just and accountable governance.
- e) Openness, good intentions and sincerity will give way to improvement. Threats to discredit other parties are quite frequent, that is why the discourse should be proportional. A balance between the willingness to accept reality and its causes should be reached. All of these are dependent upon the atmosphere created by the decision-makers at the highest level in the regency of southwest Aceh.
- f) In the assistance program, effective capacity will be based on careful identification of suitable beneficiaries. Only after the parties are known can the empowerment begin - be introduced, trained and improved.

## **5.2 Transferability**

Based on the above discussion, the PUSKORINFO process can be replicated under the following conditions:

- a) When stakeholders have the openness to share and work together to improve the future.
- b) Stakeholders are aware of the assets of each faction or group – who is stronger in knowledge, authority, resources etc. The recognition of one's ability and role will facilitate the implementation.
- c) Technically, the replication of PUSKORINFO is easy because the software is easily available and the basic data can still be accessed from those still working in Aceh. What needs to be done is to increase funds and establish the database in each regency/ district and appoint human resources for various roles. The stakeholders can follow the manual as it is, and there is the opportunity for changes in accordance with the local condition. AIPRD-LOGICA used PUSKORINFO's software in one of their data entry trainings for Sub-district staff; after which the trainees can verify and update the data on housing for tsunami displaced persons. PUSKORINFO at Bappeda has become the database for regency's activities with regard to grievances management and coordination in the construction of houses and infrastructure.

## 6 Glossary/Abbreviations

**ADB** - Asian Development Bank

**ADB-ETESP** - (Earthquake and Tsunami Emergency Support Project), an ADB Project to support Aceh, post-tsunami and earthquake

**AIPRD-LOGICA** - Australia-Indonesia Partnership for Reconstruction and Development - Local Governance and Infrastructure for Communities in Aceh Project

**Barrack Alpen II** or **Alpen II** - short term/abbreviation for Alue Penyareng II barrack, referred to residents of a temporary IDPs shelter, in the sub-district of Meurebo in Aceh Barat

**APBD** - *Anggaran Pendapatan dan Belanja Daerah*, Local Government Annual Budget

**Banda Aceh** - the Capital City of Aceh Province

**Bappeda** - *Badan Perencanaan Pembangunan Daerah*, Local Government (District) Agency for Development Planning

**Kepala Bappeda**, Head of District Agency for Development Planning

**Kepala Bagian Penelitian dan Informasi, Bappeda**, Head of Research and Information at Bappeda,

**BPDE-Provinsi Aceh** - *Badan Pengolahan Data Elektronik - Provinsi Aceh*, Agency for Electronic Data Management, of Aceh Province.

**BPN** - *Badan Pertanahan Nasional*, National Land Agency

**Bupati** - Lord Mayor of a *Kabupaten* (District/Regency)

**BRR** - *Badan Rehabilitasi dan Rekonstruksi Aceh-Nias* (The Rehabilitation and Reconstruction Executing Agency for Aceh and Nias) , an national agency formed by Presidential Decree for Aceh and Nias post tsunami rehabilitation and reconstruction.

**Camat** - title for Head of a Sub-district

**“Cash-for-work”** - an amount of funds (from an institution) allocated to some individuals / community for an agreed of activity.

**Dinas Cipta Karya** - District Government Unit of Public Works on housing and settlement issues.

**DPRK Aceh Barat** - *Dewan Perwakilan Rakyat Kabupaten* of Aceh Barat, the district council of Aceh Barat

**Desa Ujong Tanah Darat** - Village of Ujong Tanah Darat in the Sub-district of Meureubo.

**Ensiklopedia Aceh Barat** - a website on Aceh Barat.

**Forum Koordinasi Relokasi Meurebo** - Meurebo Forum of Coordination of Relocation.

**IDP** - Internally Displaced Person

**International NGOs** – Non-Governmental Organization with international wide operation.

**IPKTs** - *Ikatan Pengungsi dan Korban Tsunami*, literary means Association of the IDPs and Tsunami Victims/Survivors - comprise of Association of Barrack Managements formed in Aceh Barat. This association is expected to access the Center for Information and Communication as a complaint center at District Level.

**Jakarta** - Capital City of Indonesia in Java Island about 2¾ hour by jet from Banda Aceh

**Kabupaten** - District/Regency, a sub-provincial local government at district level

**Kabupaten Aceh Barat** - District of Aceh Barat

**Kecamatan** - Sub-district

**Sub-district of Meureubo** - a sub-district in *Kabupaten* Aceh Barat

**Samatiga** - a sub-district in *Kabupaten* Aceh Barat



**Arongan Lambalek** - a sub-district in *Kabupaten Aceh Barat*

**Bubon** - a sub-district in *Kabupaten Aceh Barat*

**Johan Pahlawan** is a sub-district in *Kabupaten Aceh Barat* where the Capital City of *Kabupaten Aceh Barat* is located

**Keuchik** - title for Head of Village in Aceh

**Kepala Desa** - generic title for Head of Village in Indonesia

**Kepala Bappeda** - Head of District Agency for Development Planning

**Kepala Bagian Penelitian dan Informasi, Bappeda** - Head of Research and Information at Bappeda

**Keputusan Bupati tentang Tim Koordinasi Penanganan Pengungsi dan Pembangunan Perumahan bagi Korban Gempa dan Tsunami Kabupaten Aceh Barat** - Bupati Decree on Coordination Team for IDPs Handling and Housing Construction for IDPs of Earthquake and Tsunami in District Aceh Barat, issued on June 20, 2006 in Aceh Barat.

**KOMPAS** - an Indonesian national daily newspaper

**Masa Tanggap Darurat** - emergency response phase

**Medan** - Capital of North Sumatra the nearest province to Aceh.

**Meulaboh** - the Capital City of Aceh Barat resides at Johan Pahlawan Sub District

**MoU Helsinki** - a Memorandum of Understanding between Republic of Indonesia with GAM (Gerakan Aceh Merdeka - Free Aceh Movement) on peaceful settlement, signed on August 15, 2005

**NGOs** - Non Governmental Organizations

**Pejabat Bupati** - Acting Bupati, Bupati ad-interim

**Pemerintah Provinsi** - The Provincial Government

**Pengungsi** - In Displaced People (IDPs)

**Perpres 36 tahun 2005** - Peraturan Presiden No. 36 Tahun 2005, President Regulation No.36 Year 2005 on Land Provision for Public Infrastructure

**PLN** - Perusahaan Listrik Negara, State Electricity Company.

**Posko Satkorlak Penanggulangan Bencana Alam** - Pos Komando Satuan Koordinasi Pelaksanaan Penanggulangan Bencana, Command Base of Coordination Unit for Disaster Tackling Execution, an emergency response coordination unit at provincial level

**Provinsi Aceh** - Aceh Province.

**PUSKORINFO** - Pusat Koordinasi dan Informasi, Center for Information and Coordination (for IDPs issues and housing)

**SATLAK-PB** - Satuan Pelaksana Penanggulangan Bencana, Taskforce for Executing Disaster Handling, an emergency response unit working at district level

**Sekber** - Sekretariat Bersama, Joint Secretariat of Local Government and BRR for planning, implementing and monitoring rehabilitation and reconstruction post tsunami in Aceh Barat.

**SIPD** - Sistem Informasi dan Pendataan Daerah, Local Government (District) System on Data and Information

**SKPD** - Satuan Kerja Perangkat Daerah, Working Unit of Local Government Apparatus, a generic term for the working unit/office/agency/institution in local government organization.

**TNI** - Tentara Nasional Indonesia, Indonesian Army

**Tata Pemerintahan yang Baik** - good governance, a condition of governance at sufficient quality of conduct that base on (at least) transparent, responsive, accountable manners.

**UNOCHA** - United Nation Office for the Coordination of Humanitarian Affairs

**UNORC** - United Nations Office for Recovery Coordination, an office continuing the UNOCHA function on post emergency response phase.

**USAID-ESP** - United State Agency for International Development - Environmental Support Program, technical assistance funded by USAID on supporting environmental development in Indonesia.

**USAID-HSP** - United State Agency for International Development - Health Support Program, technical assistance funded by USAID on supporting health development in Indonesia.

**USAID-LGSP** - support program for governance, funded by USAID.

**Wakil Bupati** - Vice Bupati

**World Vision** – an international Non-Governmental Organization of USA.

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# Good Urban Governance in South Asia (GUGSA)

DEMONSTRATION PROJECT

INDIA

***Demonstrating Principles of Good Urban Governance through preparation of 'Strategic Development Plan' for Colachel, INDIA***

Prepared by  
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Sowmya Haran



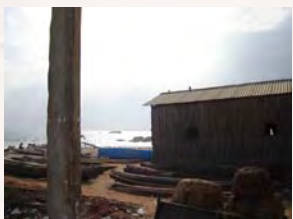
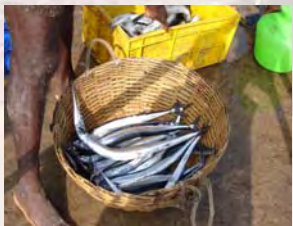
# Good Urban Governance in South Asia (GUGSA), India Phase II – Post Tsunami Recovery



**USAID | INDIA**  
FROM THE AMERICAN PEOPLE

## **STRATEGIC DEVELOPMENT PLAN FOR COLACHEL, TAMIL NADU**

*Supported by the Commissioner of Municipal Administration, Tamil Nadu*



THE COMMUNITIES GROUP  
INTERNATIONAL, LLC (TCGI)

**Prepared by  
B.R.Balachandran  
&  
Sowmya Haran**

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# Demonstrating Principles of Good Urban Governance through the Strategic Development Plan for Colachel

## 1 Background

USAID's Regional Urban Development Office for South Asia (RUDO/SA), in collaboration with the region's bilateral USAID Missions, initiated a three-year, three-location (Bangladesh, Nepal, and Sri Lanka) activity in October 2001 to promote Good Urban Governance In South Asia. GUGSA activities document, disseminate and demonstrate best practices from local government bodies to improve the response capacity of local urban governments within the country and will culminate in a Regional Conference for dissemination. The five principles that define good governance are Transparency, Predictability, Accountability, Rule of Law and Participation.



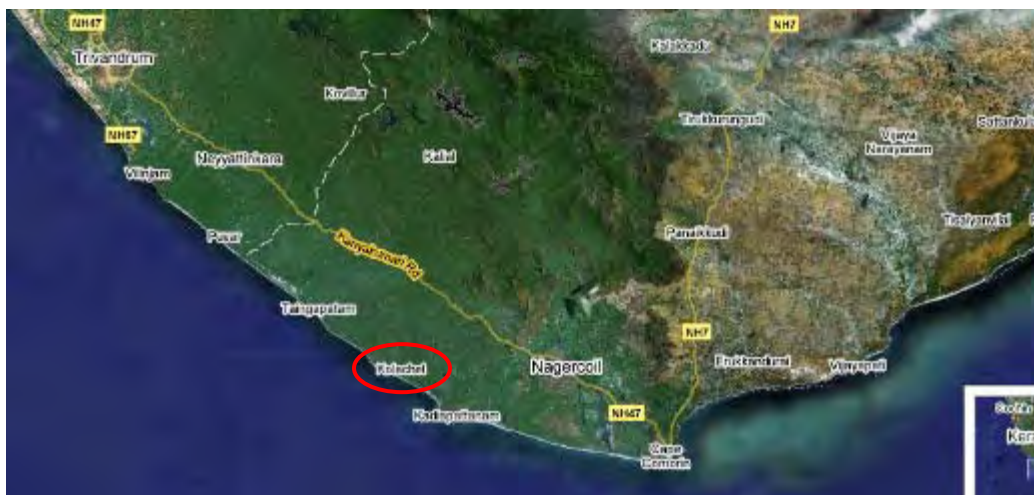
In the aftermath of the Tsunami it was felt that the scope of GUGSA should be modified to include post – Tsunami works in India (as well as Thailand and Indonesia) to be able to build on GUGSA's strength of regional networking. The pilot project will involve local institutions in The Tsunami affected Indian state of Tamil Nadu advocating Good Governance and Disaster Mitigation practices. It will also help to create relationships for facilitating the exchange of information that can continue well beyond the tenure of the project. The ultimate outcome of the activities will be presented at the Regional Conference so that the dissemination benefits are available to all the cities participating in the GUGSA work.

### 1.1 GUGSA in Tamil Nadu

Additional funds have been made available to the GUGSA program for documenting and strategically supporting Tsunami affected communities in Sri Lanka, India, Indonesia and Thailand. International funding has been abundant in the post tsunami situation in India for relief and rehabilitation. The GUGSA team met with government stakeholders in Tamil Nadu state (most affected in the Tsunami). The stakeholders suggested that, while Nagapattinam and Cuddalore were worst affected, a lot of resources had already gone into various activities in these two areas.

Therefore in order to extend strategic support to affected communities and illustrate the need for integrating disaster mitigation into mainstream planning for the city, it was decided to undertake a strategic planning exercise for Colachel. Colachel is a port town on the West Coast, in the Kanyakumari district of Tamil Nadu, India. Colachel was the thirdly most badly affected area in the entire State with a death toll of about 600 people. The government stakeholders suggested that a demonstration project in Colachel would be most useful.





## 1.2 Strategic Development Plans

The objective of the strategic planning exercise in Colachel, Kanyakumari is to enhance future disaster resilience of the urban settlement and improve efficiency of the post-Tsunami recovery through managerial capacity building for the urban local body and implementation of management reforms; thereby demonstrating a good governance initiative. The specific objectives of the exercise are as follow:

- Facilitate the Municipality in articulating a post-Tsunami development vision for the town through a participatory consultative process involving citizens and as wide a range of stakeholder groups as possible
- Clearly benchmark the current status of the Municipality in the delivery of services to citizens and in its internal management, with special attention to Transparency, Predictability, Accountability, Rule of Law and Participation in the post-disaster recovery and disaster mitigation process.
- Facilitate the Municipality in identifying broad strategies and specific actions for managing growth and development and enhancing disaster preparedness of the city
- Assist the Municipality in formulating a shelf of well-defined post-Tsunami recovery projects ready for approaching potential funding agencies for assistance in implementation

The deliverables under this exercise include a spatial strategy that is futuristic, a bundle of infrastructure projects and an investment plan.

## 1.3 Colachel – An Introduction

Colachel is a minor Town situated on the west coast of Kanyakumari District in Tamil Nadu state. The tip of the peninsula, Kanyakumari is only 40 Km, along the cost in the south – easterly direction, where the three major seas, viz. Arabian Sea, Indian Ocean and Bay of Bengal meet. The nearest town is Nagercoil, which happens to be the district headquarters and commercial center.

## 1.4 The Post Tsunami situation in Colachel

In the state of Tamilnadu about 8,90,885 people were affected by the tsunami (Dec 26 2003). This includes the loss of 7981 human lives in 376 villages/ hamlets. Of this the death toll in Kanyakumari district was 815. A big portion of human lives lost (nearly 418 people) was from Colachel.

Of the 24 wards in Colachel, 11 are along the coast and are dominated by the fishing community. They have been greatly affected by the tsunami. Majority of the rehabilitation works have been to manage immediate needs and are therefore piecemeal attempts.

About 50 houses have been allotted in the adjacent village panchayat of Karungal; where land has been reclaimed from salt pans to build houses for those affected by the tsunami. About half the numbers of new houses has been constructed in Colachel Municipality area and have been allotted. Colachel Municipality does not own land and has been unable to assemble land for public or other purposes. Land acquisition is becoming increasingly difficult and therefore the state government has been unable to construct more houses or adequate common infrastructure. The houses which are to be constructed in the same location as the old house have been exempted from CRZ regulation.

Many NGOs have contributed to enhancing economic recovery through livelihood rehabilitation programs. Self help groups of women especially in the fishing community have become stronger and very active. While isolated initiatives in reconstruction of houses or livelihood rehabilitation is prominent, there is a general lack of an integrated approach to long term planning.

## 1.5 Stakeholder Mapping and Core Team



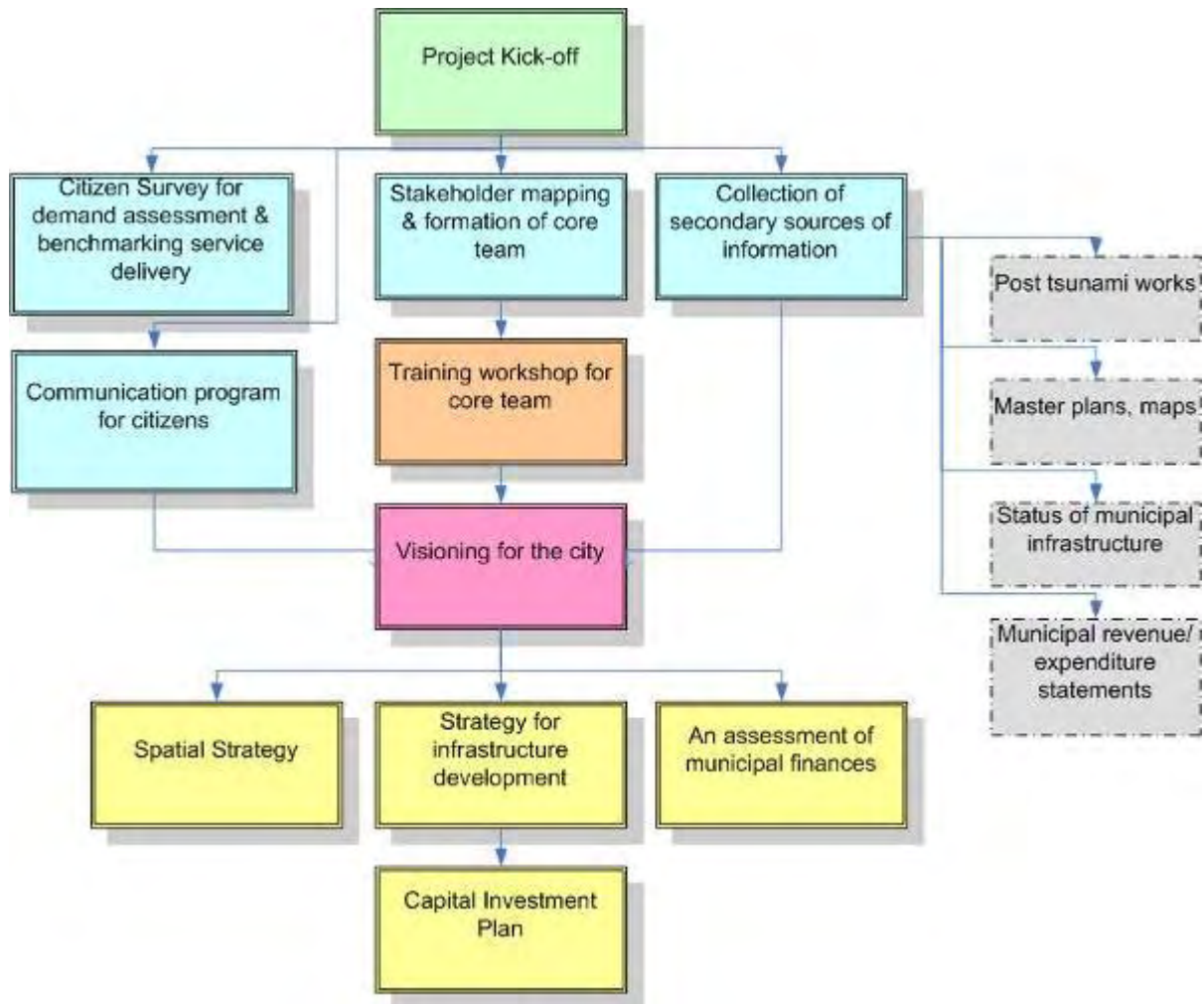
Colachel town has a total of 24 wards. About 11 wards are along the coast and are dominated by the fishing community. They are predominantly Christians consisting both of fishermen and daily wage laborers. There is also a significant proportion of Muslims. These people are mostly laborers working in hotels and petty shops. Some local NGOs working in the region pointed out that there are many families whose male members have migrated to nearby cities in search of economic opportunities. Many self help groups have been formed and micro-credit assistance has been extended to them by the NGO's working in the region.

The Chairman of the municipal council was requested to name 20 members belonging to a wide range of stakeholder groups to form the core team. This group includes the municipal engineer, municipal accountants, some ward councilors, representatives of different types of self help groups & vulnerable groups, etc.



## 2 The Process

The following methodology was adopted for the preparation of the Strategic Development Plan. At every stage innovative methods of ensuring public participation was undertaken. The entire process has been documented here to provide for a ready reference on the learning's and experiences from the project.



### 2.1 Stage 1 – Rapid Assessments

The objective of this stage was to assess the nature of post-Tsunami recovery issues in the city and establish the Municipality's current status in terms of municipal service delivery and in terms of its internal management processes.

At this stage preliminary stakeholder consultations were carried out to establish the key concerns of the Municipality, citizens and stakeholder groups. The following tasks were carried out and data collected was analyzed:

### 2.1.1 Preliminary Consultations and Stakeholder mapping

A kick off meeting was organized, with key stakeholders of the city including both the members of the Municipality and key officials of other relevant government agencies to identify the areas of concern (Mission Areas) and to identify stakeholder groups to participate in the exercise.

The consulting team met with the Municipal Engineer (the commissioner in charge) and the Chairman (of the council) in Colachel and explained the Scope of Work for the preparation of a Strategic Development Plan for Colachel. It was also explained that the crux of this process was to institutionalize and demonstrate a participatory approach to planning for the future. In order to introduce the consultant team and formally kick start the project, the Chairman of the municipal council called for a meeting (in their premises) with key stakeholders and decision makers on the 7<sup>th</sup> of November, 2006.

The meeting was chaired by the Chairman of the Municipal Council. Other participants included the municipal engineer, ward councilors, Urban Development Specialist to the Commissioner of Municipal Administration, representatives from important NGO's and other stakeholders (besides the consultants).



Preliminary consultations at the kick off workshop helped establish contacts with various stakeholders. Interviews of various NGOs working in the area gave insights into the internal dynamics of the social fabric of the town.

It was decided that a two day training workshop would be conducted by the consulting team for municipal officials and a few elected representatives. Primarily three types of people need to be trained - the city manager, city engineer and the city finance manager. However in the social context such as in Colachel, it was essential that the elected representatives of the wards also be trained as these people greatly influence implementation of plan proposals. This would also ensure better understanding of issues in each ward, greater public participation and more realistic and pragmatic approach to implementation of plan proposals.

It was therefore decided that a group of 30 to 35 people including the key stakeholders of the Municipality, the ward councilors, representatives of citizen groups (Self help groups, NGO's); etc will be asked to participate in the training workshop. However the Chairman requested that all elected councilors be included in the training program as it would be beneficial in the long term. This would help cultivate systematic thinking and analytical reasoning. Besides it would also serve as a platform for the consulting team to build rapport with the key stakeholders and understand the town better in order to ensure a smooth process.

It was important that a few experts with local knowledge be involved in the workshop. Besides it had to be organized at a neutral venue so that each stakeholder felt at ease to express his point of view. The conference room of a Hotel close to the Municipality was utilized for this purpose. Key experts included Dr. S.P. Sekar (Professor at Anna University, Chennai) an expert in land management, Dr. Abdul Razak (Professor at Anna University, Chennai) a social scientist, Dr. Johnson Raj (Kanyakumari Resource Centre) a person with similar strategic planning experience in the southern region and Mr. B.R.Balachandran (Urban Planning Expert).

The workshop was held on the 5<sup>th</sup> and 6<sup>th</sup> of November. It was inaugurated by the District Collector Mr. Sunil Paliwal, IAS and was also covered by the media. Each day was organized such that there were presentations in the morning sessions by the experts and break out sessions/site visits in the afternoon. There were about 35 to 40 participants on each day.

## 2.2 Communication Strategy

It has been 2 years since the Tsunami struck the coast of Tamil Nadu. However the people of small towns and hamlets in coastal Tamil Nadu are still in hope of external assistance and free money. It is in the long term interest of these people to create awareness and build capacities of how they could help themselves. In order to enhance awareness and improve public outreach for the Strategic Planning Exercise that has been started a communications strategy is essential. Different stakeholder groups have been approached and asked to contribute to ideas for improvement of the town with a vision for the future. The following events have been conducted for the citizens of Colachel.

- Focus group discussions & generation of ideas – (Age Group: 35 and above) Self help groups, Elders, Professionals, etc.

5 focus group discussions (with about 10 people each) have been conducted in different zones of the town to involve diverse groups of people. Problems and potentials of Colachel town were discussed and a competition on generation of ideas for tomorrow was conducted in each of these groups. There are more than 300 self help groups in Colachel. Members of these groups have actively participated. Each of these discussions has been documented and minutes prepared.



- Youth discussions & debates (Age group 18 to 35)

4 youth debates have been conducted. The topic of debate was, "Do the youth of Colachel have a future here?" It was found that almost every community in Colachel had a Youth group that contributed to social activities in small ways. These were utilized to assemble participants in the debates.





- Competition for Children (Under 17)

Essay writing, drawing and elocution competitions were conducted in the schools of the city on 'Ideas for tomorrow'. There has been active participation on most fronts.



### 2.2.1 Assessment of post-Tsunami recovery and disaster mitigation

The issues covered included rehabilitation/reconstruction of housing and infrastructure, restoration of livelihoods and initiatives for disaster preparedness and mitigation. Through data collection and public consultations an assessment of the Municipality's recovery programs and their impact on beneficiaries as well as their overall usefulness was assessed. Reports of NGO's and the Kanyakumari District website proved helpful in this process.

### 2.2.2 Assessment of urban growth management and serviced land delivery

The issues covered included the legal and institutional framework for local spatial planning, status of land use planning and development control/ regulation. Spatial Planning practices were analyzed for their periodicity, timeliness and appropriateness of approach. An extrapolation of trends and analysis of potential opportunities and threats has also been done to assess future growth directions and need for augmentation of serviced urban land.

### 2.2.3 Assessment of status of municipal service delivery

An assessment of the status of municipal services delivery was carried out through a combination of data collection and consultations with citizens as well as concerned officials. Services covered included roads and transport, water supply, sanitation, primary health and education, etc.

### **2.2.4 Assessment of management capacity of the Municipality**

Managerial efficiency of the Municipality in terms of finance management and human resource management has been assessed. Accounts statement over a period of 3 years has been collected for Revenue and Capital funds and analyzed. Further issues regarding organizational structure and roles and responsibilities have also been detailed out.

## **2.3 Stage 2 – City Visioning, Strategic and Action Planning**

The consultants have assisted the Municipality in organizing a series of structured consultation processes leading up to a participatory Town Hall meeting. For each Mission Area, based on the rapid assessments, the consultants assisted the Core Team in carrying out SWOT analyses and arrive at objectives, strategies and proposed actions. These analytical outputs were presented at the Town Hall meeting to a larger gathering of stakeholders and further refined. The consultants also helped the Core Team in building consensus on a Vision Statement for Colachel, Mission Statements (objectives) for each mission area and an outline of specific actions.

The people of Colachel have formulated a vision based on their aspirations for the future as follows.

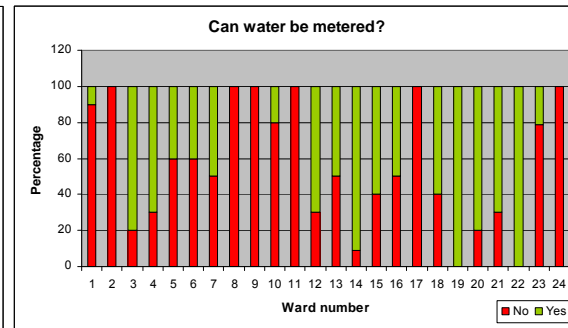
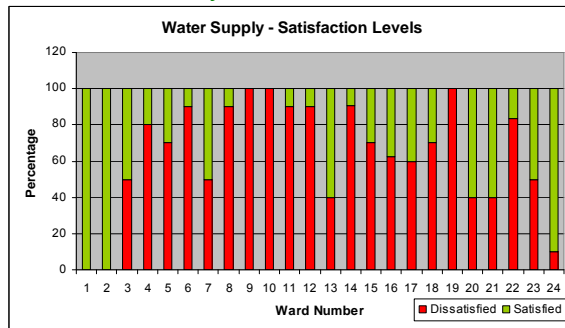
**“An Attractive Tourist Destination and a Place of Diverse Economic and Education Opportunities for the Entire Region, and a Safe and Hygienic Living Environment”**

Key plan components were decided upon by the stakeholders themselves in the training workshop. Other important sectors which cannot be ignored in the long term interests of the town have also been included. Each sector or focus area was then subjected to a SWOT analysis. This was done by the stakeholders with facilitation from the consultants. Key issues were identified in the stage 1 report and were further substantiated by the household surveys. About 250 households were surveyed (nearly 5 % of the households) and the data has been compiled. Considering the above, an objective has been worked out for each focus area. A set of strategies have then been formulated to achieve the objectives.

To illustrate, the status of water supply was analyzed as follows:

**WATER SUPPLY****SWOT Analysis:**

<b>Strengths</b> Most of the houses have access to municipal water supply. Public taps are also adequate in most places The Pambur Vaikal, a fresh water stream, is a good source of water that presently flows into the sea	<b>Weaknesses</b> Municipal water supply is untreated. Due to frequent power failures the municipal water supply is unreliable and inadequate. Wells belonging to the Municipality are not maintained properly and many have become unusable.
<b>Opportunities</b> Water meters were in use earlier and can be brought back to use if service delivery is improved. The fresh water stream can be diverted and utilized before it reaches the sea.	<b>Threats</b> In the event of improved economic activity, a surge in population level is expected which will aggravate the current water inadequacy problem.

**Household Survey:****Demand Supply Gaps**

No	Parameter/ Component	Existing Levels & Norms				Service Gap				
		Service Level	Unit	Norms	Remarks	Existing	Current Demand	Gap	Demand By 2020	Unit
1	Water Supply	72	lpcd	120	Inadequate	17.13	28.54	11.42	42	lakh liters
2	Treatment Capacity	0	% of supply	100	Ground water does not require treatment	0	6	6.00	19.46	lakh liters
3	Storage capacity	80	% of supply	33	Adequate	13.9	9.42	-	13.86	lakh liters
4	Distribution system coverage	97	% of roads	85	Good but existing length of roads are inadequate for the town	29.92	42.5	12.58	12.58	Km
5	Non revenue water/ Unaccounted For Water	NA	% of supply	15	NA	NA	NA	NA	NA	

**Objectives**

Every household should have a water supply connection and 120 lpcd of water will be supplied.

**Approach and Cost Estimates**

At present 17.12 lakh liters of water are sourced from Vellipilliyar coil (a ground water source) and distributed. The quantity of supply is 72 lpcd and water is supplied for 15 minutes to an hour. If the benchmark for water supply is taken as 120 lpcd as prescribed by Tamil Nadu government then the present gap is estimated at 11.5 lakh liters. The Vellipilliyar coil source is quickly depleting and therefore we assume that of the total shortfall only 5.5 lakh liters may be sourced from there. It is assumed that another 6 lakh liters may be obtained from the Pambur Vaikal (a surface water source). This must be treated and distributed. There are 7 OHT with a total capacity of 13.9 lakh liters. Another 3 OHTs with capacity of 3 lakh liters have been proposed under the Tsunami reconstruction program.

**Cost Estimates**

No.	Item	Unit	Rate per Unit	Quantity	Cost
<b>Capital Projects</b>					
1	Source Augmentation	Lakh Liters	75000	11.5	862500
2	Treatment	Lakh Liters	150000	6	900000
3	Reservoirs	Lakh Liters	60000	3	180000
4	Distribution Network	Sq Km	300000	20	6000000
	<b>TOTAL</b>				<b>7,942,500.00</b>
<b>Awareness &amp; Training Programs</b>					
1	Rain Water Harvesting				25000
	<b>TOTAL</b>				<b>25,000.00</b>
<b>Detailed Assessments</b>					
1	Preparation of Master Plan for Water Supply				200000
	<b>TOTAL</b>				<b>200,000.00</b>

<b>Support Systems and Sustenance Measures</b>	<b>Other Actions and Measures</b>
<p>Introduce slabs for connection and monthly charges depending on income levels – at present Rs.1200 is collected as 1 time charge and Rs.42 as monthly charges for domestic connection</p> <p>Improve water tax collection efficiency to 80%</p> <p>Revision of tariff every five years starting 2008-09 by 25%</p> <p>Promote rain water harvesting</p> <p>Position well trained and reliable staff in the regular operation and maintenance of pumps, etc</p>	<p>Prepare an asset inventory and map the water supply system for effective monitoring</p> <p>Protect catchment area of the Pambur Vaikal from contamination</p> <p>Commission a detailed study for assessing future water requirements</p> <p>Develop a comprehensive watershed management plan for the town including details of groundwater availability, use, potential and develop a policy and legal framework to use and replenish groundwater</p> <p>Promote individual water House Service Connections even in slum locations and discourage Public Service Points as a policy measure to increase accountability</p>

**Implementation Strategies**

*The municipality has undertaken the construction of 3 water tanks of 3 lakh liters capacity and 3 bore wells for augmenting their water supply by 2 lakh liters under the tsunami relief and reconstruction works in the current year. The Tamil Nadu Urban Finance & Infrastructure Corporation Limited (TNUFICL) channels funds through various programmes of the Government of India for urban infrastructure. The municipality has also prepared project reports for funding under the UIDSSMT (Urban Infrastructure for Small and Medium Town) project of government of India. Besides this, TNUFICL is also willing to provide loans to urban local bodies for creation of assets for basic infrastructure. Therefore the town must ideally utilize the tsunami funds to create the first phase of assets and improve its financial situation and then avail of the loans available from the state government.*

Other action plans include a growth management plan consisting of proposals for augmentation of infrastructure and serviced urban land (as necessary), an institutional reform agenda, and capacity building initiatives for the urban local body. Each infrastructure project has been described in terms of its coverage, general specifications, and financial implications, possible sources of finance and implementation strategy. A road map for institutionalizing the process of preparing strategic plans from time to time has also been prepared. The consultants have prepared the proceedings of the City Visioning Town Hall Meeting and all preparatory consultations.

**2.4 Stage 3 – Investment Planning**

The third and last stage of work involved detailed discussions with potential implementing agencies for sharply defining the proposed strategies and actions. During this stage we prepared standardized project briefs for all the proposed actions outlining the objective of the proposed action, its rationale/ beneficial outcomes, specific tasks to be performed, implementing agency and estimated costs and revenues. A preliminary viability assessment for the projects has been carried out. Special emphasis has been given for strategizing Public - Private Partnerships.

The third workshop where projects were prioritized was held on 7<sup>th</sup> April 2007. Most of the members who participated on the training and visioning workshop were present. As the chairman suggested, some other important citizens such as doctors, missionaries and heads of institutions were also invited.



Each member was given a list of projects belonging to different sectors and was asked to rank them in the order of importance. The following is a consolidated list of projects with their ranking. As a general rule this prioritization has been considered while preparing the phasing plan.



**Prioritization of projects at the third workshop**

<b>Sector</b>	<b>Projects</b>	<b>Final Rank</b>
Water Supply	Increasing Water Supply to 120 lpcd	1
Water Supply	Treating water that will be obtained from the surface water source	2
Water Bodies	Desilting and cleaning of the entire length of AVM Channel	3
Waste Water Treatment	Decentralized Waste Water Treatment Systems through out the city	4
Solid Waste Management	Decentralized Solid waste management and vermi composting for the town	5
Storm Water Management	Upgradation of about 8 km. of open drains to closed drains	6
Solid Waste Management	Acquisition of additional handcarts to collect the non-biodegradable waste	7
Storm Water Management	New formation of about 25 km. of closed drains	8
Water Bodies	Desilting and cleaning of Valliyar Kullam,	9
Waste Water Treatment	Atleast 50 km length of shallow sewer lines to feed into the DEWATS systems	10
Water Bodies	Development and beautification of surroundings & connection lines from storm water drains to AVM Channel	11
Development of Roads & Networks	Widening, strengthening and proper designing of arterial & sub-arterial roads (about 15 km)	12
Water Bodies	Desilting and cleaning of Pambur Vaikal	13
Development of Roads & Networks	6m wide internal roads as proposed in the drawing (assuming that people contribute the land) with pedestrian pathway	14
Waste Water Treatment	Public convenience systems – 20 additional units of 6 seats each, either as ‘pay & use’ or between a group of families to ensure better maintenance	15
Development of Roads & Networks	12m wide road along the length of Pambur Vaikal (assuming that people contribute the land) with pedestrian path way	16
Water Bodies	Strengthening and lining of banks of water bodies	17
Development of Roads & Networks	Upgradation of 8 km of earthen road to BT road	18
Storm Water Management	Desilting and strengthening of about 5 km. of primary drains in city	19
Local Economic Development	Setting up of two fish peeling and processing units near existing ice plants	20
Water Supply	Distribution network augmentation by 25 km length	21

<b>Sector</b>	<b>Projects</b>	<b>Final Rank</b>
<i>Social Infrastructure</i>	<i>Setting up vocational training institutes</i>	<i>22</i>
<i>Local Economic Development</i>	<i>Marketing strategies for hand woven garments produced locally</i>	<i>23</i>
<i>Land Management</i>	<i>Wards 16 &amp; 17 could be taken up for a land pooling and reconstitution exercise for creation of better access and infrastructure if the stakeholders are willing to participate and cooperate</i>	<i>24</i>
<i>Local Economic Development</i>	<i>Setting up of two coconut processing units in sick industrial units in the northern wards</i>	<i>25</i>
<i>Social Infrastructure</i>	<i>Set up a city level library</i>	<i>26</i>
<i>Social Infrastructure</i>	<i>Utilize un-buildable areas within the CRZ for games, playgrounds, etc.</i>	<i>27</i>
<i>Development of Roads &amp; Networks</i>	<i>Street lights – about 88 nos.</i>	<i>28</i>
<i>Social Infrastructure</i>	<i>Part fund schools to set up libraries and maintain playgrounds</i>	<i>29</i>
<i>Organizational Development</i>	<i>Creation of zone offices each serving a few wards for better interface with citizens</i>	<i>30</i>
<i>Social Infrastructure</i>	<i>Setting up of a good college</i>	<i>31</i>
<i>Organizational Development</i>	<i>Property tax thru GIS</i>	<i>32</i>

A Capital Investment Plan in line with the identified vision for Colachel has been prepared through a comprehensive process of assessment of the physical and social infrastructure sectors and stakeholder consultations. The strategies adopted primarily have three dimensions; improving service delivery by efficiency measures, improving service delivery by creating infrastructure assets, and improving the governance aspects of Colachel.

The consolidated cost estimates for the projects proposed under the strategic development plan and the suggested phasing of investments are as follows:

<b>Summarized Capital Investment Plan &amp; Phasing</b>										
<b>Sector/Component</b>		<b>Total Invest ment</b>	<b>2007 -08</b>	<b>2008 -09</b>	<b>2009 -10</b>	<b>2010 -11</b>	<b>2011- 12</b>	<b>2012 -13</b>	<b>2013 -14</b>	<b>2014 -15</b>
		<b>(Rs. Lakhs)</b>								
<i>1</i>	<i>Water Supply</i>	<i>81.7</i>	<i>18.3</i>	<i>13.9</i>	<i>16.5</i>	<i>16.5</i>	<i>16.5</i>	<i>0.0</i>	<i>0.0</i>	<i>0.0</i>
<i>2</i>	<i>Conservation of Water Bodies &amp; Storm Water Drains</i>	<i>659.5</i>	<i>121.9</i>	<i>135.6</i>	<i>135.6</i>	<i>135.6</i>	<i>46.8</i>	<i>28.0</i>	<i>28.0</i>	<i>28.0</i>
<i>3</i>	<i>Waste Water Treatment</i>	<i>562.3</i>	<i>149.3</i>	<i>126.0</i>	<i>126.0</i>	<i>84.0</i>	<i>77.0</i>	<i>0.0</i>	<i>0.0</i>	<i>0.0</i>
<i>4</i>	<i>Solid Waste Management</i>	<i>30.5</i>	<i>15.5</i>	<i>15.0</i>	<i>0.0</i>	<i>0.0</i>	<i>0.0</i>	<i>0.0</i>	<i>0.0</i>	<i>0.0</i>
<i>5</i>	<i>Roads</i>	<i>1125.5</i>	<i>13.0</i>	<i>32.5</i>	<i>32.5</i>	<i>227.5</i>	<i>220.0</i>	<i>200.0</i>	<i>200.0</i>	<i>200.0</i>

<b>Summarized Capital Investment Plan &amp; Phasing</b>										
<b>Sector/Component</b>		<b>Total Invest ment</b>	<b>2007 -08</b>	<b>2008 -09</b>	<b>2009 -10</b>	<b>2010 -11</b>	<b>2011- 12</b>	<b>2012 -13</b>	<b>2013 -14</b>	<b>2014 -15</b>
		<b>(Rs. Lakhs)</b>								
6	Local Economic Development	31.0	0.0	5.0	4.0	12.0	10.0	0.0	0.0	0.0
7	Social Infrastructure	6.0	0.0	0.0	0.0	0.0	6.0	0.0	0.0	0.0
8	Organizational Development	42.5	0.0	0.5	17.0	3.0	3.0	3.0	8.0	8.0
<b>TOTAL</b>		<b>2538.9</b>	<b>317.9</b>	<b>328.5</b>	<b>331.6</b>	<b>478.6</b>	<b>379.3</b>	<b>231.0</b>	<b>236.0</b>	<b>236.0</b>
					<i>Investment up to 2011-12</i>		<b>1835.9</b>	<i>Investment up to 2014-15</i>		<b>2538</b>
					<i>Percentage of total investment</i>		<b>72</b>	<i>Percentage of total investment</i>		<b>100</b>

### 3 Constraints and Key Learnings

While the process adopted follows the scope of work drawn in the beginning of the project, slight modifications and mid-course corrections were required in the course of the process considering the complexity of the situation and requirements of the context.

#### 3.1 Preparedness of the Town for the Strategic Development Plan exercise

##### Availability of databases

Maps for the jurisdiction of the urban local body were available with the directorate of town and country planning, which were used for preparation of the master plan. While these had physical features and plots marked, the ward boundaries had changed since these maps were made. Moreover no information was available in digital format. These had to be digitized in the course of the process.

Other demographic information was obtained from the census data and information collected post tsunami. Details of assets of the municipality, services and other cadastral information were also available with the municipality. However details of accounts were not available. Details of revenue and expenditure obtained from different sources seemed unreliable as there were many discrepancies between them. In the absence of a municipal accountant there was no one to clarify our queries. The process of collection of data took longer than expected as these had to be obtained from various sources.

##### Earlier planning processes

The town had no precedence of such strategic planning exercises and therefore it took a while to communicate the merit of such an exercise to the important stakeholders of the municipality. Statutory Master plans were made from time to time (this has been reviewed in great detail in the Strategic Plan report). However there was no public consultation involved in this process and there

is no means of implementing plan proposals or integrating proposals with the municipal budget. Moreover quite often the master plans have no correlation to ground reality.

#### **Financial status/reforms in place**

Double entry system of accounting has been implemented in all the ULBs of Tamil Nadu state. However as there is no accountant in the municipality, accounts are not up to date. We were able to obtain only hand written accounts (which were incomplete). Also the implementation of accounting reform does not naturally lead to better financial health of the municipality. No pro-active efforts have been undertaken to improve their financial health. The dependence on state devolution of funds is extremely high.

#### **Leadership and managerial capacity of the municipality**

While the chairman of the municipality is pro-active and takes interest in ensuring smooth functioning of the municipality, the executive functions have had a rough course in the recent past. Three municipal commissioners were changed in the time taken to complete the strategic development plan. Also many positions in the municipality are vacant and therefore functional efficiency of the municipality is far lower than optimal.

#### **Availability of Organized Stakeholder groups**

A phenomenon common to a post disaster situation, is that stakeholder groups are more or less organized. This is usually requirement for doles, relief and later to receive monies for reconstruction and rehabilitation. Therefore not only were the stakeholder groups well organized, they were also well represented at meetings and were active participants through out the strategic planning exercise.

### **3.2 Community Participation in the process**

Community participation and involvement in each step of the planning process was very good and therefore we are sure that the proposed projects are grounded in reality and are useful for the town in the long term.

#### **Communication Strategies**

This formed a very important part of the exercise as it helped the field team build rapport with the citizens. The consultant team would often be asked in the consultations if they were donating money for construction of houses or other reconstruction/rehabilitation efforts. It was only through the various strategies applied for different age groups that we were able to communicate why such an exercise is required for the town and why citizens should participate with enthusiasm. However if this step was anticipated in the beginning of the exercise this could have been incorporated into the work schedule more effectively.

#### **Visits to each ward**

The elected representatives of each ward were important stakeholders in the process as they represented concerns of different groups. But as it was often difficult for them to communicate the situation in their respective areas, this step was useful. Visits were made to each ward and detailed documentation was carried out.

### **Citizens' survey**

About 250 households (roughly 5%) of the population were covered. This process provided a good understanding of the qualitative aspects of municipal service delivery. The citizen's survey also played a vital role in prioritizing projects.

### **Workshops**

Workshops at every stage were check posts of the work done in that stage and brought out useful insights to the planning process. The workshops also provided a formal platform for the interaction of various stakeholder groups.

## **3.3 Making projections and preparation of project briefs**

A note by the TNUDP III in 2004 estimates Colachel's population at 26672. However the average decadal growth rate in the last 5 decades has been 12 %, but in the last decade there was a decrease in the population. Projection of population for a town of this size is complex and can at best be intuitive. Therefore for the purpose of calculation the population is taken as 35000 by the year 2020. This will however happen only if there is substantial improvement in land management and infrastructure development and subsequently the urban local body enters into a positive cycle of investment and services. Therefore for the purpose of the capital investment plan, only the present shortfall in infrastructure has been accounted for (which in itself is substantial), although the future requirement has been calculated in each case.

## **3.4 Making a Financial Operation Plan**

The next step in the process would be the preparation of a Financial Operation Plan where these investments will be integrated with the financial projections of the municipality. Further the viability gap can be analyzed based on an assessment of the financial sustainability of the investments after factoring in availability of loans and grants. However this has been difficult to achieve within the scope of the GUGSA project owing to time constraints and unavailability of accurate data on income and expenditure.

# **4 Demonstrating Principles of Good Urban Governance**

### **Participation**

The tangible outcomes of this project are clearly defined as deliverables (such as the visioning exercise, the spatial strategy, the bundle of infrastructure projects and the investment plan). The entire process integrates participatory approaches at every stage. Thus it is a 'plan by the people' rather than a 'plan for the people'. The more intangible, but greater benefit of this exercise for the people of Colachel town is the inculcation of methodical thinking and analytical approach to urban management.

### **Transparency**

At every stage in the process, decisions and proposals have been made public through consultations and publications. Thus a lot importance has been given to transparency in the entire process

## Predictability

The proposals in the Strategic Development Plan lay great emphasis on the public private partnerships and community managed assets and infrastructure over centralized systems. This in itself promotes predictability in service delivery

It is envisaged that the process of preparation and periodic review of Strategic Development Plans will be institutionalized; and thus Colachel Municipality will serve as a role model for good governance and growth management practices in the region. In the reform action plan suggested as part of organizational development of the urban local body, emphasis has been given on the need for increased transparency and accountability.

## 5 Outcomes of the Demonstration Project

A few projects that evolved as important in the prioritization were taken up for further work.

### Solid Waste Management

Following the identification of projects for the recovery and development of Colachel Municipality through the preparation of the Strategic Development Plan, the key stakeholders of the Colachel Municipality felt that it was important to see live examples of the projects identified under improvement of sanitation for the town.

The implementation strategy of the projects such as decentralized solid waste management and waste water management, included participation of self help groups from the town in order to enhance livelihood opportunities for them. As sanitation is of utmost importance to the town, the chairman of the municipal council organized a group of 7 members including him, to visit case studies as suggested by the consultants. The consultants organized a two-day trip to Pondicherry, Auroville and Chennai.



DEWATS at Auroville



Vermi-Composting, Pondicherry

Subsequently the consultants helped the municipality write a scope of work and draft an MOU with a consultant for training and implementation of decentralized solid waste management and vermicomposting in the municipality

### Creating a Data Base

As part of the planning process, the consultants have already created a digital base map of Colachel town with all physical features marked in the Master Plan. All property/block boundaries with respective survey numbers and building boundaries have also been digitized. This base map will now be converted to an appropriate GIS platform that the municipal officials can use.





# Good Urban Governance in South Asia (GUGSA)

DOCUMENTATION OF CASE STUDIES

INDIA

## ***Good Urban Governance Practices in India after the Tsunami – Case Studies from Tamil Nadu***

Prepared by  
Community  
Consulting India  
(CCI)







# Good Urban Governance in South Asia - Tamil Nadu, India

Experience of Nagapattinam and Kanyakumari Districts

தெற்கு ஆசியாவில் சிறந்த நகர உள்ளாட்சி  
– தமிழ்நாடு, இந்தியா

நாகப்பட்டினம் மற்றும் கன்னியாகுமரி மாவட்டங்களின் அனுபவங்கள்



With the support of



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# Case Study Development - Introduction

## Background of Study

In an effort to promote Good Urban Governance in South Asia (GUGSA), USAID, as part of RUDO's GUGSA project, in collaboration with the bilateral USAID Missions of the region, had initiated an activity in October 2001 in three locations. Documentation, dissemination, and demonstration of best practices from the Local Government Bodies are the essence of this activity.

On 26th December 2004, a tsunami struck the coastal areas of Tamil Nadu, Andhra Pradesh, Pondicherry, Kerala, and Andaman Nicobar islands. After this tragedy, the scope of GUGSA was modified to include post-Tsunami Rehabilitation works and the coverage was also extended to include India, Thailand and Indonesia.

**Topical Inventory:** As part of RUDO's project, a Topical Inventory has been prepared by CCI providing comprehensive information on such of the relief efforts undertaken by notable actors, in the wake of tsunami in Tamil Nadu. The best among these relief efforts have also been validated against the good governance principles in this inventory.

**CCI's Case Study Report:** As a follow up of this inventory, CCI has also developed a case study report covering Nagapattinam and Kanyakumari which were the worst affected districts in Tamil Nadu by December 2004 tsunami (Fig: 1). Here is the abridged version of CCI's case study report.

## General Information

**Coastal belt of Tamil Nadu:** The State of Tamil Nadu has a coastal belt of 1,016 Km stretching all along its East side and another belt of 60 Km stretching along its West side. The entire length of coastal belts of Tamil Nadu constitutes around 12% of the total length of coastal belts of India and it is spread across 13 districts of the State.

**Local Governance in Tamil Nadu:** The present system of local governance in Tamil Nadu follows the 73rd and 74th Amendment to the Constitution of India. Subsequently, the GoTN, enacted the Tamil Nadu Panchayats Act, 1994, replacing the earlier Act, and also amended the relevant provisions of various Acts relating to urban local bodies.

The prevailing local governance bodies in Tamil Nadu are categorized into 'rural local bodies' and 'urban local bodies'. Panchayat Unions and

Panchayats come under rural local bodies category. Urban local bodies include Municipal Corporations, Municipalities, and Town Panchayats (earlier designated as Special Village Panchayats).

**Disaster Management System in Tamil Nadu:** Tamil Nadu State is one of the largest States in India consisting of 30 districts, 206 taluks, 6 municipal corporations, 152 municipalities and around 12,500 village panchayats. Even before the Tsunami, a disaster management system existed in the Government of Tamil Nadu. At state level, Office of the Commissioner of Municipal Administration and, at district level, the Collectors have always been the focal points during disaster management occasions. At local level, Non-governmental Organizations and Faith-based Organizations spontaneously come forward to complement the efforts of GoTN during disasters.



## Location and Actors

The December 2004 tsunami crippled the Tamil Nadu coastal economy as never before. However Nagapattinam and Kanyakumari were the worst affected districts considering the loss of lives and properties. Most notable actors who were involved in the relief operations in Nagapattinam district were the District Administration and the Velankanni Church. In Kanyakumari district it was the District Administration and the Kottar Social Service Society (KSSS) who were predominantly involved in the relief operations



Figure 2 - Mr. Kandaswamy, Relief & Rehabilitation Officer of Nagapattinam District Administration, explaining relief measures undertaken by the District Administration

## Methodology

For the development of the Case Study, tools and methodology used include discussions and the questionnaires that were used in individual and group interviews and household surveys. The respondents' perception about the adherence of five principles of good governance practices were inferred from the replies given by them during household survey and discussions.

**Discussions:** Discussions were held with the selected government and non-government organizations, including faith based institutions.

**Questionnaires:** Two questionnaires were designed. The first questionnaire was used in the survey among the Tsunami affected sample households. Questions had been framed to collect information about the various post-Tsunami relief activities with reference to their quality, quantity, and timeliness. The quality of relief activities was with reference to the level of satisfaction of the affected households. Additional questions were framed to ascertain the views of the affected households as to which of the activities they considered unique or stood out. The second questionnaire was designed to gather particulars from the institutions / organizations about their specific / specialized activities they were engaged in during the post Tsunami relief operations and which activity they considered unique.

**Good Governance Practices:** The practices claimed as best by the relief providers were further validated by applying the principles of Good Urban Governance viz Transparency, Predictability, Accountability, Rule of Law, and Participation

## Comparative Picture

A comparative picture of the relief efforts in these two districts by the respective district / local administration vis-à-vis that undertaken by a faith based institution has been presented. The purpose of this comparison is only to bring out the complementary nature of the best practices of the relief providers and not to judge the best relief provider.

**Attributes:** The relief practices of the District Administration vis-à-vis a FBO could be compared only based on certain attributes displayed by the two

relief providers in the post-tsunami scenario. Following are the attributes considered for the comparative study.

- Promptness and speed of relief operations
- Mode of operations
- Scale of operations
- Professional / scientific way of carrying out relief practices
- Flexibility shown during operations
- Coordination and cooperation with other relief providers
- Coverage of victims
- Quality of operations



## Case Study Development

### Comparative Study

# Nagapattinam District

Figure 3 : Velankanni Church



### Profile Of Nagapattinam District

Nagapattinam District lies on the east coast to the south of Cuddalore district and to the east of Tiruvarur district. Most part of the district is flat plain, sloping very gently to the coast on the east. The total geographical area of the district is about 3536.38 sq. km. The district has a 187.9 km long coastline stretching from Kodiyampalayam in the North to Kodikarai in the South which constitutes about 15 per cent of the coastline of Tamil Nadu.

### Relief Activities Undertaken In Nagapattinam

The District Administration and the Velankanni Church were the notable actors in the post tsunami scenario in Nagapattinam district according to the result of the survey undertaken by CCI. The Relief activities undertaken by the Nagapattinam District and Velankanni Church are tabulated below.

## Activities Undertaken - An Comparison

### Nagapattinam District Administration

Rescue of Survivors  
 Removal and Disposal of Deceased  
 Emergency Transportation  
 Counseling  
 Providing Health Care  
 Sustenance Support Supply of Food  
 Restoration of Water Supply  
 Establishing Relief Camps  
 Provision of Sanitary Facilities  
 Restoration of Electricity  
 Restoration of Communication Facilities  
 Supply of Non-food Materials  
 Providing Logistics  
 Coordination with NGOs  
 Monitoring Relief Operations  
 Media Management  
 Tackling tsunami rumours  
 Education  
 Children Care (Orphaned Children)  
 Cash/Food Program

### Velankanni Church

Rescue of Survivors  
 Removal and Disposal of Deceased  
 Emergency Transportation  
 Counseling  
 Providing Health Care  
 Sustenance Support Supply of Food  
 Restoration of Water Supply  
 Establishing Relief Camps  
 Provision of Sanitary Facilities  
 Not Undertaken  
 Restoration of Communication Facilities  
 Supply of Non-food Materials  
 Not Undertaken  
 Coordination with NGOs  
 Monitoring Relief Operations  
 Media Management  
 Not Undertaken  
 Education  
 Not Undertaken  
 Cash/Food Program



## Comparative Picture - Nagapattinam District Administration and Velankanni Church

Following is the comparative analysis carried out by applying the attributes seen, to the various activities undertaken by the District Administration and the Velankanni Church.

Promptness and speed with which relief operations were carried out: Both the Nagapattinam District Administration and the Velankanni Church were prompt and fast in carrying out relief operations. However, the District Administration's services were more commendable for the swiftness shown. Following are the description of the relief activities that would indicate the promptness and speed with which relief operations were carried out in Nagapattinam district.

Rescue of affected people: Even though the rescue operations were undertaken spontaneously by the local community, the Nagapattinam District Administration swiftly chipped in to carry out the rescue operations with the support from Navy and Army, and under the direction of GoTN. Navy was drafted into relief works particularly for rescue works, so that stranded and affected people were rescued in time. Navy performed helicopter reconnaissance to locate and rescue stranded people in inaccessible areas. Velankanni Church also carried out rescue operations through its volunteers in association with local NGOs, but the major portion of the rescue activity was shouldered by the local community with the support of local NGOs.

Emergency transportation: To expedite the process of transporting affected people to safe

places, the District Administration pressed into service the Tamil Nadu State Transport Corporation's (TNSTC) fleet of 176 buses. The Transport Corporation buses started carrying the affected public to far off places from the seashore. On the day of the disaster, 1,16,320 passengers were transported to various safer places. Similarly on the instructions of the local revenue and police officials, the passengers were brought back to their nearest relief camps set up by the District Administration. Velankanni Church was also swift in providing transportation services though it operated on a minuscule basis in transporting affected people to hospital or relief camps, by operating its own fleet of vehicles and by hiring additional vehicles.

Formation of Special Teams: To carry out relief activities on war-footing, the District Administration formed 11 Special Teams that covered all the worst affected areas in Nagapattinam district. Velankanni Church covered only the affected town area.

Mode of operations: The District Administration is headed by the District Collector from Indian Administrative Services (IAS). Regional heads of all of the state departments report to the Collector. The Collector is assisted by Deputy Collectors, District Revenue Officer and the Project Officer of the District Rural



Figure 4 Temporary shelters for affected people

Development Agency. District Administration functions under the orders/directives of the Government of Tamil Nadu. During tsunami, the Relief Commissioner headed the State's entire relief operations and directed the District Administration.

*Velankanni Church:* The Rector & Parish Priest is the head of the Shrine administration, followed by the Procurator who controls the financial transactions. Five other Priests look into the various departments in the Shrine. In addition to these Rev. Fathers who are put up in the administrative set-up of the Shrine, aged Priests appointed here, extend their cooperation in the smooth running of the administration. During Tsunami, the Rector & Parish Priest and few other priests undertook relief activities, with the support of local NGOs

### Scale of operations

To fully comprehend the scale of relief operations undertaken by the Nagapattinam District Administration and the Velankanni Church, the following two factors need to be considered:

- Geographies / regions covered
- Number of activities undertaken

*Geographies / regions covered:* The Nagapattinam District Administration undertook relief operations through out the district. The District Administration covered all the tsunami affected municipalities, town panchayats, and villages during its relief operations. Velankanni Church's operations were confined to the Velankanni Town Panchayat area alone.

*Number of activities undertaken:* The District Administration divided relief operations into three phases. The first phase consisted of search, rescue and evacuation, organizing cremation / burial of the dead and organizing

relief camps. The second phase focused on providing immediate relief and the third phase on permanent rehabilitation. The District Administration undertook as many activities as needed to rescue and relieve people. Velankanni Church too followed a similar type of relief plans, though the number and coverage of relief activities were less compared to that of the District Administration.



Figure 5 Public convenience in a temporary shelter

### Professional / scientific way of carrying out relief practices

The District Administration, with the guidance of the State government, planned and executed many of its entire relief operations professionally. Formation of 11 Special Teams, establishing coordination forum for NGOs, performing mass burial of deceased, and utilizing the services of Army and Navy were some of the examples for the professionalism exhibited by the District Administration. Though Velankanni Church's efforts, were effective and timely, they were not unique and professional

In disposing the deceased, the District Administration performed a praise-worthy and replicable professional practice. To prevent outbreak of any epidemics, the dead bodies should be disposed as quickly as possible and in a scientific way. To make the disposal or burial very scientific to avoid any possible health hazards, the District Administration used Cellrich, a bio-decomposing agent which fastens the process

of decomposition. Mapping of these new burial grounds was done and regular monitoring was also carried out by the government officials.

In providing counseling services, the Nagapattinam District Administration leveraged the services of doctors / psychiatrists of almost all the government hospitals in Tamil Nadu, besides accepting / allowing the non-governmental agencies to serve the psychologically affected people. The professional and para medical professional mental health staff infrastructure were strengthened at the village, primary health centre and district level. Training was provided to these staff at all levels.

**Flexibility shown during relief operations:** Flexibility is a critical factor for the success of any relief efforts. Receiving feedbacks and making necessary changes in the relief practices are very important in providing relief to affected people after any disaster.

**Organizational Structure Created During Relief Operations:** As mentioned earlier, the District Administration works under the orders given by the State government. The issuance of orders by the State government and the implementation of the orders is a procedural system. Moreover, the entire government machinery works in a hierarchical way to ensure order and uniformity. During the tsunami relief operations, the GoTN was extremely flexible to ensure that procedural adherence does not impede or slow down the relief operations.

**Disposal of Deceased:** It is the usual practice of the government to perform postmortem of the deceased in a calamity. The GoTN did away with the usual procedure of doing post-mortem and enabled the District Administration to carry out the disposal of deceased quickly and effectively.

**Sustenance Support:** The District Administration started supplying food to the affected people, right from the day of the disaster. After few days, it came to the notice that the people in relief camps were not interested in taking food packets, which was packed hours earlier and distributed much later and desired fresh food. The District Administration immediately took remedial action through the area teams whose first task was to start local cooking-centres in the relief camps itself.

**Formation of Area Teams:** To meet the challenge of reaching out to every one of the affected habitations equally and effectively, a team of Ministers headed by the PWD Minister had a brainstorming session with the available officials. It was in this meeting that the innovative idea of formation of 11 self-contained Area Teams, each of which will cover 6-7 contiguous habitations came up. This turned out to be a master stroke in the relief phase. Each team was supervised by a Minister / Board Chairman with one Indian Administrative Service (IAS) officer as the team leader. Each team leader (IAS officer) was given Rs. 0.5 million in cash and the financial freedom to take on-the-spot decisions regarding expenditure. There was no need for him / her to take prior permission from headquarters to spend this amount. Due to this freedom, the team leaders were able to speed up activities like hiring of vehicles for transport of relief materials, hiring of earth moving



Figure 6 Interiors of a temporary shelter

hiring of water tankers, engaging of sanitary workers, etc. This approach proved to be a blessing to speed up the process of relief. The members of the team were as follows:

Chairman,  
Team Leader (IAS Officer),  
Project Officer of the District Rural Development Agency,  
Tahsildar  
Deputy Tahsildar,  
Deputy Collector,  
Representatives from Electricity Board, Highways Department, Public Works Department, Tamil Nadu Water Supply and Drainage Board, Town Panchayat, Fisheries Department, Municipal Administration, and Public Health Department.

Each team leader and member brought in his / her capacity and experience coupled with men, material and machines under his / her control. This ensured that the local and existing staff got the much needed support of spot decisions.

Presence of Ministers and elected representatives to oversee relief activities of the teams gave the feeling of visible governance while teams took quick commonsense decisions and also started producing the much needed results. Daily press briefings gave correct information, and complaints about missing persons could be registered in the Collectorate. The 11 Teams literally functioned as mini-collectorates in the field with daily debriefings in the Collectorate late in the nights for stocktaking on the requirements of men, materials and other issues in the field which required Collectorate level co-ordination. Needless to add Area Team formation was the most important turning point in relief phase. The overall coordination by the PWD Minister and the innovative efforts put in by IAS officers and their teams, sharing of best practices from the field, healthy competition among the teams to finish the tasks on hand were instrumental in speeding up relief operations.

- The Teams took charge of the relief activities in the worst affected Nagapattinam District and was assisting the Nagapattinam District Administration. The formation of the above Teams by the GoTN was widely appreciated and it was felt that the following critical factors were observed to be the key for strong institutional response:
- To provide adequate, credible decision-making capacities, the postings of senior officers, the IAS included, was executed rapidly in a well-thought out manner. Most of these officers were those who were well-known for their competency, commitment, knowledge of local conditions, and familiarity with the affected communities.
- While Ministers accompanied the Teams, political representatives seemed to have been given clear guidelines that led to minimal political interference in the work of the administration.
- The devolution of powers, administrative and financial, was also promptly given effect to. Initially, each Collector was authorised to draw up to Rs. 10 million to deal with a range of immediate requirements according to their discretion.

The administrative and financial devolution continued further. Designated officers, normally having only limited powers, who were responsible for relief camps were also given administrative and financial powers. This made administrative and financial decision-making faster and more adaptable to local needs and conditions.

### Coordination and cooperation with other relief providers

Both the Nagapattinam District Administration and the Velankanni Church cooperated and coordinated with various relief providers whenever necessary and wherever possible. Velankanni Church worked with the local NGOs during the rescue phase and in a few relief activities like providing sustenance support, clothes, medical kits etc. But the District Administration's efforts caught the attention of many because of its efforts to set up a forum for coordination between government and NGOs and among the NGOs themselves.



Immediately after the tsunami struck Nagapattinam, scores of Non-Governmental Organisations (NGOs) and also several voluntary groups, corporate houses, charities, public and private sector enterprises rushed in to undertake relief practices for the benefit of the people of Nagapattinam. In the initial stages, in Nagapattinam alone 419 different organizations came with various offers of assistance. Knowing the risks of fragmented approach in relief operations of a large -scale, an NGO Co-ordination Centre was immediately set up and more importantly the control of the Centre was handed over to the NGOs themselves.

With a view to effectively use the services of NGOs right from day one, the District Administration maintained a very cordial relationship with them. In the initial days, daily co-ordination meetings were conducted with NGOs to sort out the issues then and there. The NGO Co-ordination Centre was provided a permanent place in the Collectorate and the receipt and disbursement of the NGO relief material was coordinated smoothly.

The District Administration and all its senior officials including District Collector, Additional Collector, Project Officer of DRDA, District Revenue Officer and the Special Deputy Collectors were also readily accessible to individual NGOs to redress issues faced by them immediately, in addition to conducting periodic review meetings on livelihood, temporary shelters, permanent shelters and other emergency issues requiring continued co-ordination.

**Coverage of victims:** Velankanni Church deserves special mention for its massive humanitarian efforts undertaken during the period of crisis. But the Church's relief efforts addressed only the needs of the local community majorly the Christians, as they resided in the neighbourhood of the Church.

Moreover, the focus during relief was only on human beings and not on livestock. The District Administration's practices in this connection, which are given below, merit consideration

**Livestock:** Most of the livestock died due to asphyxiation and drowning. The staff of the Animal Husbandry Department arranged and supervised the burial of these carcasses scientifically using disinfectants to prevent outbreak of epidemic. Relief in cash was given for the loss of cattle, graded murrhah, calves, goats and sheep. Injured animals were also treated by the departmental staff.

**Tsunami-orphaned children:** An orphanage was opened under the Social Welfare Department for the benefit of children orphaned by tsunami. The Home (orphanage) provided residential school-cum-study facilities for the most unfortunate survivors of tsunami, i.e. children who had lost both or either of their parents. The Social Welfare Department took care of all the needs such as shelter, food, clothing and education. The students up to the age of 10 were given classes in the orphanage itself, while the student above the age of 10 were facilitated to attend formal schools close to the orphanage. In the initial days counseling was given to the children by professional counselors. Periodic medical check up

Figure 7 Children in the temporary camps



and treatment were given to the resident children on alternative days by the Health Department. Entertainment programs such as music, magic show, mimicry, special dance, songs have also been arranged for the children. Sports materials for indoor and outdoor games were provided to children so that they get opportunity not only to study but also to play. On Sundays, yoga and karate classes were conducted by voluntary organizations. A library containing books, dictionaries, comics, drawing, painting, etc was also set up in the premises.

*Women who had lost their child / children:* In tsunami 6,065 persons lost their lives out of which around 1,800 were children. Some of the families lost all of their children and expressed desire to reverse their sterilisation to have children again. Such women opted for recanalisation, which is a procedure that reverses sterilisation through a microsurgery in the abdomen. The Government had provided Rs. 25,000/- for each case of recanalisation and around 18 such women have undergone sterilisation.

**Quality of operations:** Quality of relief practices is ascertained by the number and adequacy of activities undertaken to address various needs of the different categories of the affected people.

Velankanni Church operating within the town, undertook relief activities in an appreciable manner taking the help of many stakeholders, including the Nagapattinam District Administration. But considering the scale of operations, the Nagapattinam District Administration deserves praise for providing best quality services to the affected community. Quality of relief practices can be understood by looking at a few of its practices that are given below:

- Special care was taken to supply only good quality clothes to the affected people so that the dignity of the receiver is maintained.
- After the opening of schools in the tsunami affected areas, buses were operated exclusively for the benefit of the tsunami affected school going children.
- All the injured persons brought to the government hospitals were given treatment without any usual procedure followed by the hospital such as enquiry or recording.
- The tsunami caused extensive damages to the water sources and supply installations. As an ad-hoc initiative, HDPE tanks were installed in all the affected villages and the relief centres and drinking water was supplied through water tankers. The District Administration worked on war-footing to restore the water supply to affected people on permanent basis.
- Apart from the temporary shelters, the Nagapattinam District Administration also created common spaces to set up community hall, children's park, anganwadi for children, training center and schools.
- The electric supply to various parts of the town got interrupted immediately after the disaster struck. The first task undertaken was to disconnect the faulty portions of the electrical network. By checking and with minor rectification, electricity was extended to most parts of Nagapattinam town by 5:40 PM on 26.12.2004. Similar restoration of power supply in all the major town areas was completed in a short period of time.



Fig No:8 Anganwadi near the Temporary Campus

## Good Urban Governance Practices In Nagapattinam District

The five principles of good urban governance have been applied to the five of the best practices selected from among the relief practices of Nagapattinam District Administration and are explained in the following table.

Principles of Good Governance	Good Governance Practices of Nagapattinam District Administration				
	Rescue of Survivors	Removal & Disposal of Deceased	Arranging Emergency Transportation	Coordination with NGO's	Monitoring Relief Activities
Transparency					
Predictability					
Accountability					
Rule of Law					
Participation					

The principles of good governance were explained to the relief providers during discussions and interviews. Any claims to the following of the principles of good urban governance by the relief providers were validated through the household survey conducted. The two relief practices, given below, best illustrate the following of the principles of good urban governance

### a. Coordination with NGOs

After the tsunami hit Nagapattinam District inflicting immeasurable damages and losses, hundreds of NGOs came forward to support / undertake relief activities. To avoid chaos and to utilise the overwhelming response of NGOs, the District Administration set up NGOs Coordination Centre in the Collectorate itself. NGOs Coordination Centre was then renamed as NGOs Coordination and Resource Centre (NCRC) to aptly reflect its continued involvement in rehabilitation initiatives also.

Mr. C.V. Sankar, IAS, Officer on Special Duty (Relief & Rehabilitation) and Mr. Kandaswamy Relief and Rehabilitation Officer, Nagapattinam District Administration spoke highly of the model (NCRC) adopted by the Nagapattinam District Administration in cooperating with NGOs and coordinating their relief activities. Mr. Darwin, Coordination Officer, NCRC, Collectorate Office, also, explained the vital role played by the District Administration in the formation of NCRC, besides the continuous support extended to them presently for the rehabilitation activities. Almost all the NGOs/FBOs interviewed appreciated the government's efforts in the formation of NCRC.

- Transparency: The officials in NCRC and in the District Administration were easily accessible for Eliciting for any tsunami related information needed
- Predictability: The support / guidance / participation from the District Administration were regular and predictable. The organizational / operational structure of the NCRC was defined clearly and it functioned in adherence to the defined guidelines / rules to ensure predictability in all its operations. The District Administration did only what was expected of it, never overdoing anything, leaving the NGOs to perform their tasks efficiently.
- Accountability: Even though the District Administration did not have any representative in the Steering Committee of the NCRC, officers concerned in the District Administration attended to the problems brought before them by NCRC.
- Rule of Law: District Administration did not show any favour to any NGO working in / with the NCRC to ensure that decisions by NCRC are carried out according to the rule / guidelines already defined.
- Participation: The model of NCRC is entirely based on the participation of NGOs and the success of the model was the result of the continued participation enjoyed by all NGOs involved in it.

## **B. Monitoring of Relief Operations**

The second good urban governance that stood out as unique in Nagapattinam was monitoring of relief operations done by the District Administration. Discussion with Mr. C.V. Sankar IAS, Officer on Special Duty (Relief & Rehabilitation) threw more light on the innovative practice adopted by the government in monitoring relief by forming Special Teams exclusively for the worst-hit district of Nagapattinam. Following is a validation of this practice against the good governance principles:

- **Transparency**: The structure of the 11 Special Teams formed to carry out and monitor relief activities were clearly defined and all the members of the teams including the team leaders carried out their tasks as per the clearly defined instructions.
- **Predictability**: The relief operations of the 11 Special Teams were predictable as it functioned like a mini-Collectorate with representatives from various departments.
- **Accountability**: The team leaders of the Special Teams were made accountable for their actions and there were regular interactions among the teams themselves, besides interactions of the team leaders with their higher officials.
- **Rule of Law**: No bias or prejudice was shown during relief operations and the entire relief support was offered based on need and urgency.
- **Participation**: Team leaders were authorised to make decisions on the field so that there was no rigidity in the practice so as to ensure that the concerns of the affected people were addressed satisfactorily. This ensured participation of the affected people.



## Case Study Development

### Comparative Study

# Kanyakumari District

### Profile of Kanyakumari District

Kanyakumari is the southern-most district of Tamil Nadu. It is bound by Tirunelveli District on the North and the East. The South Eastern boundary of the district is the Gulf of Mannar. On the South and the South West, the district is bounded by the Indian Ocean and the Arabian Sea. On the West and North West it is bounded by State border of Kerala. The district, once called 'The Granary of Travancore' is, even now, fertile with hundreds of water bodies and an excellent canal irrigation system. The district is generally hilly, with a few plains found near the coast. The land from the sea-coast gradually rises from sea-level to the Western-Ghats hills on the other side of the town. The District has 62 km of coast on the Western side (Arabian Sea coast) and 6 km of coast on the Eastern side (Bay of Bengal coast). The coastline is rocky in several places, while sandy in other areas. The coast has rich Flora and Fauna



Figure 9: Thiruvalluvar statue and Vivekananda Rock Memorial

Kanyakumari district suffered the death toll of 799, coming next only to Nagapattinam. Extensive damages were caused to boats, boat yards, fishing nets, agricultural, horticultural lands, houses etc. Thousands of big boats were damaged leaving even the generally better-off fishers shattered.

## Relief Activities Undertaken In Kanyakumari District

The District Administration and the Kottar Social Service Society (KSSS) were the notable actors in the post tsunami scenario in Kanyakumari district according to the result of the survey undertaken by CCI. The relief activities undertaken by these two actors are tabulated below:

### Activities Undertaken - An Comparison

District Administration	KSSS
Rescue of Survivors	Rescue of Survivors
Removal and Disposal of Deceased	Removal and Disposal of Deceased
Emergency Transportation	Emergency Transportation
Counseling	Counseling
Providing Health Care	Providing Health Care
Sustenance Support Supply of Food	Sustenance Support Supply of Food
Restoration of Water Supply	Restoration of Water Supply
Establishing Relief Camps	Establishing Relief Camps
Provision of Sanitary Facilities	Provision of Sanitary Facilities
Restoration of Electricity	Not undertaken
Restoration of Communication Facilities	Restoration of Communication Facilities
Supply of Non-food Materials	Supply of Non-food Materials
Providing Logistics	Not undertaken
Coordination with NGOs	Coordination with NGOs
Monitoring Relief Operations	Monitoring Relief Operations
Media Management	Media Management
Tackling tsunami rumours	Tackling tsunami rumours
Education	Education
Children Care (Orphaned Children)	Not undertaken
Cash / Food Programme	Cash / Food Programme
Special Police Patrolling	Not undertaken

## Comparative Picture - Administration Vs Kottar Social Service Society (KSSS)

In Kanyakumari district the main relief operators after tsunami struck were the District Administration and the Kottar Social Service Society. As in the case of Nagapattinam district, the relief practices of the Kanyakumari District Administration and the KSSS are compared with the same attributes displayed by the two relief providers in the post-tsunami scenario and presented below.

### Promptness and speed with which relief operations were carried out

The Kanyakumari District Administration was reported to be slow compared to that of Nagapattinam in the rescue activities and relief operations. The main reason for the initial paralysis of the District Administration was that the news about the disaster and the damages caused by tsunami reached the District Administration a little late. KSSS, too, was unaware of the disaster and the devastation caused by tsunami. After the news reached, KSSS carried out rescue operations through its volunteers with support from local people. It was reported that Kanyakumari District Administration was able to get news about tsunami only later and it was the KSSS that showed more swiftness in organising rescue works.



Figure 10: Discussion with Fr. G. Joseph Romald, Executive Director & Treasurer, KSSS

### Mode of operations:

Kanyakumari also is headed by the District Collector from the IAS cadre. Regional heads of all of the state departments report to the Collector. The Collector is assisted by Deputy Collector, District Revenue Officer and the Project Officer of the District Rural Development Agency. District Administration functions under the orders / directives of the Government of Tamil Nadu. During tsunami, the Relief Commissioner headed the State's entire relief operations and directed the District Administrations. Kottar Social Service Society is an official social work organ of The Diocese of Kottar, Nagercoil municipality of Kanyakumari District. The vision of KSSS is to build an egalitarian society that fosters freedom, fellowship, and justice, whereas its mission is to assist the marginalised sectors to attain human dignity and self-reliance through a process of empowerment. Its objectives are to facilitate the poor and the marginalised to identify their development needs and to plan, organise, implement, monitor and evaluate programmes for the development of the poor and marginalised.

### Scale of operation

Both KSSS and the Kanyakumari District Administration carried out relief operations in affected areas through out the district. Both the relief providers were headquartered in Nagercoil municipality, an ideal location to undertake and monitor relief practices in the affected coastal areas of the Kanyakumari district. Relief practices undertaken by both these relief providers were also similar, though the District Administration's coverage in final stages of relief and rehabilitation operations was much larger compared to the coverage achieved by KSSS.

### Professional / scientific way of carrying out relief practices

Even though Kanyakumari district was the second most affected district in Tamil Nadu,

The damages in Kanyakumari was far less compared to Nagapattinam. Both the Kanyakumari District Administration and KSSS undertook few replicable practices that were scientific and professional. KSSS' practices stood out as the most professional practices because of not only the method in which the relief services were offered but also because of the positive results borne by those practices.

*Provision of sanitary facilities:* Sanitary conditions in the relief camps deteriorated steadily after a few days. KSSS undertook the task of maintaining the camps in a hygienic way. Clearing debris, cleaning polluted / contaminated water sources, setting up toilets, bathrooms, washing areas came under KSSS' practices of providing / improving sanitation facilities. KSSS also supplied disinfectants, bleaching powder, bleaching tablets to the affected people. These practices demonstrated a simple yet professional approach adopted by KSSS in providing relief to the affected people.

*Dissemination of vital information:* KSSS used Nanjil Natham, the official TV media of the Diocese, to telecast helpline phones, phone numbers to be contacted in relief camps and phone numbers of various persons to be contacted for relief and allied activities. KSSS also created awareness about tsunami by giving details of the magnitude of the devastation, details of losses etc.



Figure 11: Kottar Social Service Society (KSSS)

Nanjil Natham proved to be very effective especially to counter rumours that were spread by anti-social elements to create panic among people.

*Counseling:* Tsunami shattered the hopes and aspirations of the victims, especially the fishing community. The whole fishing community was living in hopelessness. After offering basic counseling services to the affected people, KSSS realised that counseling had to be more professional to meet the different psychological needs of the victims. KSSS evolved psycho-social support counseling, mass healing programmes and motivational programmes which proved to be more successful means to instill hope in the minds of the victims.

KSSS designed a well thought-out counseling programme with the active participation of experts in trauma counseling. 70 volunteers, who had interest and experience, formed into nine groups headed by a coordinator. Counselors, though found difficult to break the ice with the people initially, broke the silence of the victims through sustained efforts. Once the victims started to speak, things started changing and counselors tailored their approach to the specific needs and mental conditions of each of the persons counseled. KSSS offered counseling service for over one year.

To offer support to affected children, KSSS organised children's rally and cultural festival in which around 550 children participated and benefited. Besides this, folklore training was also provided to around 80 children. KSSS also created children's park with many entertainment and recreation facilities. KSSS felt that various art forms may be used to build confidence among the affected people. This led KSSS to launch an innovative cultural programme to the benefit of the tsunami victims, who appreciated the efforts of KSSS and felt psychologically benefited.



Varghese, father of three unmarried women, is one of the survivors of tsunami, living in Colachel town of Kanyakumari district. Mr. Varghese, who was sleeping when tsunami struck, woke up on hearing his neighbours yell out of panic, and went out of his house to learn what was happening. As his house was situated very closer to the shore, he could sense something fishy and dangerous, though he did not know what was happening. Instead of scurrying to a place of safety along with his family members, as many would have done, Mr. Varghese went to the shore to rescue people who were on the jaws of death. Mr. Varghese when came back to his family was physically unhurt, but depressed mentally. The disturbing scenes that he witnessed during and after the tsunami coupled with the fact that he lost everything for which he had toiled through out his life, and the fear about his three unmarried daughters' future depressed him. Mr. Varghese went into a shell from which he never came out for months. He stopped communicating with anyone and it exerted additional pressure on his wife and daughters, who were already shattered by the ruthless tsunami.

Things started to change at snail's pace for KSSS counselors. Initially the counselors were finding it hard to break the ice as Mr. Varghese did not speak out. Fortunately for everyone, counseling yielded the desired result, with Mr. Varghese coming out of the self-created shell to reveal everything that gnawed his mind. Now Varghese is a re-invented man showcasing almost all of his usual virtues. He now sails deep into sea for fishing, works hard, speaks out freely and above all looks courageous and brings respite to his family members.

### Positive Psycho-Social Intervention by KSSS



Fig :12: Varghese with his wife and Daughter

#### Flexibility shown during operations:

As there was chaos initially, both the District Administration and KSSS found the initial stages of relief operation quiet challenging. Relief plans sometimes did not yield desired results as in the case of excessive supply of old / poor quality clothes, more than adequate supply of food and other kits in one place and short-supply in another place etc. Both the District Administration and KSSS modified their relief practices later to suit the needs and demands of the affected people. KSSS practices stood out mainly because that they had a special committee to monitor relief practices and to modify operations with necessary changes after a feedback got from the victims.

#### Coordination and cooperation with various relief providers:

Initially, the whole district was in utter chaos till the District Administration responded.

Though delayed response by the District Administration was mainly attributed to performed exceedingly well in coordinating with NGOs, during the rehabilitation phase.

As soon as the tsunami struck, many NGOs and INGOs rushed to the villages and initiated relief operations. To execute the relief work systematically and to avoid duplications, KSSS organised a network of all NGOs functioning in the affected area. Initially 27 NGOs came under the network and divided the relief works among themselves. KSSS played the role of a convener. Many INGOs also came to the area and expressed their willingness to take part in relief operations. KSSS organised these INGOs and formed a forum called “Kanyakumari District Tsunami Relief and Rehabilitation Forum” in order to plan and execute relief and rehabilitation work in the affected areas to channelise the efforts appropriately.

### Coverage of Victims:

Both the District Administration and KSSS addressed to the needs of all the affected people. However KSSS took extra efforts to focus their attention more on the Catholic Christian community, one of the worst affected community. KSSS also focused their activities more on the affected children and organised children's rally and cultural festivals in which around 550 children participated and benefited. Besides this, folklore training was also provided to around 80 children. KSSS also created children's park with many entertainment and recreation facilities.

### Quality of operations:

Even though, the District Administration and KSSS undertook relief measures, KSSS' practices were perceived to be more beneficial by the affected people. KSSS could not match with the District Administration in the number and scale of relief practices carried out. However it received higher level of appreciation for its practices. Because of its focused activity on the select communities though the scale of operation was relatively smaller compared to that of the District Administration.

Here is a case where KSSS got appreciation by its focused attention at community level in providing relief support.



### **Relief Support Offered by KSSS**

Pappammal is one of the victims to survive the tsunami. Before tsunami, she was surviving with her only son, Anish and her elder brother. Her brother took care of the family and financed Anish's education. Tsunami took away the life of her brother, who was then the only bread-winner of the family.

KSSS supported Pappammal and her son after tsunami by offering temporary shelter and other basic amenities. Besides offering basic counseling service to both of them, KSSS also financed Anish's education and he has now completed a hotel management course. Both Pappammal and Anish thanked KSSS for supporting them generously after the merciless tsunami took away

## **Good Urban Governance Practices In Kanyakumari District**

The principles of good governance were explained to the relief providers during discussions and interviews. All practices claimed as best were validated through the household survey conducted.

PRINCIPLES OF GOOD GOVERNANCE	GOOD GOVERNANCE PRACTICES OF KSSS	
	Counseling	Coordination with NGO's
Transparency	✓	✓
Predictability	✓	✓
Accountability	✓	✓
Rule of Law	✓	✓
Participation	✓	✓

The five principles of good urban governance have been applied to the two of the best practices selected from among the relief practices of KSSS. The following table indicates the application of the five good governance principles to the counseling and coordination with NGOs activities of KSSS.

### a. Counseling provided by Kottar Social Service Society

Many of the rescued persons were in a state of trauma due to the shock brought by the sudden disaster. Such affected people were to be brought back to normal conditions slowly. KSSS undertook counseling programmes by engaging domestic and foreign professionals. Children's park was established to engage the rescued children so as to divert their mind from the agony. Motivational programs were also conducted for the benefit of the affected people. (Refer story titled "Positive Psycho-Social Intervention by KSSS"). KSSS staff Mr. Darwin, Ms. Sylvia, Ms. Sunitha explained about the way counseling was carried out and also the difficulties faced by them

- Transparency: KSSS employed professionally qualified counselors to bring people out of the trauma. People to be counseled were selected by its staff on the basis of need. All the necessary details (like age, progress made after counseling) of the people who received counseling were collected and well documented to make the entire practice of offering counseling very transparent.

- Predictability: Relief Monitoring Committee oversaw the entire relief operations to ensure that its entire relief activities were in consonance with the expectations and perception of the people supported by it. Family members of Mr. Varghese (one who received counseling from KSSS) validated this point by saying that they received continuous support from KSSS in a predictable manner (Refer the story titled "Positive Psycho-Social Intervention by KSSS").

- Accountability: Any lapse by a team in any relief activity was immediately brought to the notice of the head of the KSSS and corrective actions were taken in time. This ensured accountability of all the team members. KSSS had tailored its counseling practice to suit varied requirements of the recipient of aid/services, which proves that accountability existed in the system it followed.

- Rule of Law: No bias or prejudice was shown during relief operations and the entire relief support was offered based on the need and urgency. As mentioned earlier, people who were in need of counseling were identified by its staff, only on the basis of need.

- Participation: The Relief Monitoring Committee had constant interactions with the affected people to get feedback from them. Inter-team meetings were held to incorporate changes in counselling efforts based on feedbacks received. Each team was also allowed to make changes in their operations to accommodate the concerns of the affected people, after getting approval from the head of KSSS. This ensured effective participation by all concerned. (Refer the story titled "Relief Support offered by KSSS" narrating about the continued support given by KSSS to an affected family.)

### b. Coordination with NGOs / FBOs / Government:

KSSS mobilised the support of religious leaders of various faiths and local political leaders and organised the relief operations along with the District Administration. This was particularly helpful wherever the District Administration was not able to cope up with the required speed in responding to the situation after the calamity struck the district. KSSS also coordinated domestic and international NGOs in the relief activities very effectively since these organisations were reluctant to work with the district administration through set government procedures. Fr. G. Joseph Romald, Executive Director & Treasurer, Kottar Social Service Society, narrated the whole efforts carried out by KSSS in organising meetings with leaders of various faiths, political parties and government officials, in the initial phase of relief, and also the way they cooperated and coordinated with various local and international NGOs.

- Transparency: KSSS made decisions only after having discussions with relevant partner NGOs/INGOs and in some cases with the Kanyakumari District Administration wherever necessary. All financial transactions were accounted for and all of its activities were well documented, so that transparency is maintained throughout their operations.
- Predictability: KSSS was always on the forefront in relief operations and the Catholic Community expected KSSS to offer support in the post-tsunami situation as it had always supported them during difficult situations in the past. KSSS supported the affected people continuously during the relief phase in a commendable manner and still carries on with rehabilitation activities in association with few partner NGOs/INGOs and District Administration.
- Accountability: KSSS functions under the direction of the Diocese of Kottar and both KSSS and the Diocese of Kottar have made themselves answerable and accountable to the people they serve. It is only because KSSS assumed responsibility and accountability for all its actions, it invited leaders of various faiths, political parties etc., during the initial phase of relief operations. Since KSSS utilises funds of few NGOs/INGOs, it maintained its accountability by constantly producing intended results from its relief operations, besides having accounts for all the details of financial transactions involving partner NGOs/INGOs.
- Rule of Law: Relief practices of KSSS were unbiased towards any one community, though their attention was more focused on Christians, who were the majority of the affected. Partnering and coordinating with NGOs were also based on factors that were necessary for performing effective and efficient relief operations. As said earlier, in fact, it was KSSS which invited various religious and political leaders to chalk out relief plans.
- Participation: KSSS invited various political and religious leaders ensuring wider participation in the initial relief phase. KSSS also tailored its relief plans / practices to incorporate feedbacks received from the affected people, partner NGOs, and the District Administration. Involving people in the relief measures was one of the chief reasons for which the KSSS practices has been highly appreciated by the affected people.



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