

CIRCULAR:-

The Principals of the affiliated colleges in Arts, Science and Commerce and Professor-cum Director, Institute of Distance Education are hereby informed that the recommendation made by the Committee appointed by the Vice-Chancellor to prepare the draft syllabus for the Diploma in Urban Management and Post-Graduate Diploma in Urban Management at its meeting held on 29th November, 2005 has been accepted by the Academic Council at its meeting held on 28th December, 2005 vide item No. 4. 14 and subsequently approved by the Management Council at its meeting held on 18th February, 2006 vide item No. 3 and that in accordance therewith the Diploma in Urban Management and Advanced post-graduate Diploma in Urban Management are instituted by the University in the Faculty of Arts and that the same will be brought into force with effect from the academic year 2006-2007.

Further that in exercise of the powers conferred upon the Management Council under Section 54(1) and Section 55(1) of the Maharashtra Universities Act 1994, it has made the Ordinances 5575 and 5576 and Regulations 5294, 5295, 5296, 5297, 5298, 5299 and 5300 including syllabus, scheme of examination relating to the Diploma in Urban Management and Advanced post-graduate Diploma in Urban Management are passed as per Appendix* and that the same will be brought into force with effect from the academic year 2006-2007. ✓

MUMBAI-400 032

20th March, 2006

for REGISTRAR

To,

The Principals of the affiliated colleges in Faculty of Arts, Science and Commerce and Professor-cum Director, Institute of Distance Education.

A.C/4.14 /28/12/2005

M.C/3/18.02.2006

No.UG/ 79 -A of 2006. MUMBAI-400 032 20th March, 2006

Copy forwarded with compliments for information to :-

1) The Deans, Faculty of Arts, Science, and Commerce

for REGISTRAR

Copy to :-

The Director, Board of College and University Development, the Deputy Registrar (Eligibility and Migration Section), the Director of Students Welfare, the Personal Assistants to the Vice-Chancellor, the Pro-Vice-Chancellor, the Registrar and the Assistant Registrar, Administrative sub-center, Ratnagiri for information.

The Officer on Special Duty-cum- Controller of Examinations (10 copies), the Finance and Accounts Officer (2 copies), Record Section (5 copies), Publications Section (5 copies), the Deputy Registrar, Enrolment, Eligibility and Migration Section (3 copies), the Deputy Registrar, Statistical Unit (2 copies), the Deputy Registrar (Accounts Section), Vidyamangli (2 copies), the Deputy Registrar, Affiliation Section (2 copies), the Director, Institute of Distance Education (10 copies) the Director University Computer Center (ODE Building), Vidyamangli, (2 copies), the Deputy Registrar (Special Cell), the Deputy Registrar, (PRO), the Assistant Registrar, Academic Authority Unit (2 copies) and the Assistant Registrar, Executive Authorities Unit (2 copies). They are requested to treat this as action taken report on the concerned resolution adopted by the Academic Council referred to in the above Circular and that no separate Action Taken Report will be sent to the Registrar.

28/12/05

UNIVERSITY OF MUMBAI

Ordinances, Regulations and Syllabus relating to the Diploma in Urban Management And Advanced Post-Graduate Diploma in Urban Management

(with effect from the academic year 2006-2007)

Ordinances, Regulations and Syllabus relating to the
Diploma in Urban Management and
Advanced Post Graduate Diploma in Urban Management

OBJECTIVE:

The course aims to offer/equip the urban managers with concept, skills and techniques required for functioning effectively, by giving necessary inputs relating to urban governance.

O. 5575
**TITLE OF
THE COURSE**

I] Diploma in Urban Management and
II] Advanced Post Graduate Diploma in Urban Management
Both the mentioned Diplomas shall be awarded under the Faculty of ARTS.

O. 5576
ELIGIBILITY

Eligibility for the Diploma in Urban Management and Advanced Post Graduate Diploma in Urban Management is as follows; the candidate should be;

A graduate in any discipline from a recognised university

AND

Fluent in written and spoken English

AND

Preferably with some experience of working in urban sector

OR

Senior in service officers working in ULBs officers, working in parastatals, elected representatives, professionals, consultants, NGO representatives, urban activists and any student who wants to pursue a career in Urban Management.

R. 5294
ENROLEMENT

A candidate shall enroll with SUD, YASHAD for both the mentioned courses

(Yashwantrao Chavan Academy of Development Administration, Rajbhavan Complex, Baner Road, Pune – 411007)

Phone: 020 25608270 / 78

Website: www.yashada.org

The process of enrolment for both the courses has to be completed has to be completed three months in advance before the commencement of the course. The course will begin in April of each year for candidates registering in Jan; and in Sept for candidates registering in June.

I] For Diploma in Urban Management

e.g. Diploma in Urban Finance

Compulsory / Basic module - Urban Governance + Municipal Management

Optional Module - Urban Finance

One year (The trainee will get the DLM material of the optional module chosen by him and receive inputs on the subject during the contact session.) Dissertation is compulsory in the optional module.

One can simultaneously register for two thematic subjects

Sr. No	Subject	Module type	Sessions
1	Urban Governance	Compulsory module	120 hours.
2	Municipal Management		
3	Urban Planning Urban Finance Urban Infrastructure Urban Poverty Urban Environment Management Information and Computer Technology (ICT) for Urban Management	Optional modules (Any one subject to be selected)	80 hrs for each subject
4	Dissertation	Compulsory module	

II] For Advance Post-Graduate Diploma in Urban Management

One year (Ten months for Distance Learning Module [DLM] study and classroom inputs;

Two months for project work)

Compulsory / Basic module - Urban Governance + Municipal Management

Optional Modules - All six modules are compulsory.

Maximum duration for completion of the above is three years.

Sr. No	Subject	Module type	Sessions
1	Urban Governance	Compulsory module	120 hrs
2	Municipal Management		
3	Urban Planning	Remaining 6 subjects are compulsory	40 hrs for each subject
4	Urban Finance		
5	Urban Infrastructure		
6	Urban Poverty		
7	Urban Environment Management		
8	Information and Computer Technology (ICT) for Urban Management		
9	Dissertation	Compulsory module	

I] Diploma in Urban Management

Sr. No	Subject	Module type	Sessions	Max marks	Pass marks
1	Urban Governance	Compulsory module	120 hours.	100	50
2	Municipal Management			100	50
3	Urban Planning Urban Finance Urban Infrastructure Urban Poverty Urban Environment Management Information and Computer Technology (ICT) for Urban Management	Optional modules (Any one subject to be selected)	80 hrs for each subject	100	50
4	Dissertation	Compulsory module		150	50

II] Advanced Post Graduate Diploma In Urban Management

Sr. No	Subject	Module type	Sessions	Max marks	Pass marks
1	Urban Governance	Compulsory module	120 hrs	100	50
2	Municipal Management			100	50
3	Urban Planning	Remaining 6 subjects are compulsory	40 hrs for each subject	100	50
4	Urban Finance			100	50
5	Urban Infrastructure			100	50
6	Urban Poverty			100	50
7	Urban Environment Management			100	50
8	Information and Computer Technology (ICT) for Urban Management			100	50
9	Dissertation	Compulsory		150	50

R. 5297
STANDARD
OF PASSING

To pass the examinations in
I] Diploma in Urban Management and
II] Advanced Post Graduate Diploma in Urban Management
A candidate must obtain a minimum of 50 percent marks in
theory papers and the dissertation should be accepted by the
examiners for the award of the mentioned Diplomas.

No classes will be awarded for the Diplomas, but the candidates
will be declared 'Passed' or 'Failed'

A person failing in any Theory paper/s will be allowed to
reappear in the same. (For a maximum of 3 years)

A person who remains absent for any theory paper/s shall be
permitted to reappear in the same. (For a maximum of 3 years)

Dissertation, if not accepted by the assessing authority / guide,
can be resubmitted with amendments as advised by the Guide.
In such cases, candidates need not appear again in the theory
paper and the Diploma will not be awarded till the completion
of the dissertation.

R. 5298
SCHEME OF
EXAMINATION

The scheme of examination for the award of the Diploma is as
below;

Diploma in Urban Management

Sr. No	Subject	Module type	Sessions	Max marks	Pass marks	Duration of Exam
1	Urban Governance	Compulsory module	120 hours.	100	50	3 hours
2	Municipal Management			100	50	3 hours
3	Urban Planning Urban Finance Urban Infrastructure Urban Poverty Urban Environment Management Information and Computer Technology (ICT) for Urban Management	Optional modules (Any one subject to be selected)	80 hrs for each subject	100	50	3 hours
4	Dissertation	Compulsory module		150	50	8 weeks

Advanced Post Graduate Diploma in Urban Management

Sr. No	Subject	Module type	Sessions	Max marks	Pass marks	Duration of Exam
1	Urban Governance	Compulsory module	120 hrs	100	50	3 hours
2	Municipal Management			100	50	3 hours
3	Urban Planning	Remaining 6 subjects are compulsory	40 hrs for each subject	100	50	3 hours
4	Urban Finance			100	50	3 hours
5	Urban Infrastructure			100	50	3 hours
6	Urban Poverty			100	50	3 hours
7	Urban Environment Management			100	50	3 hours
8	Information and Computer Technology (ICT) for Urban Management			100	50	3 hours
9	Dissertation	Compulsory		150	50	8 weeks

R. 5299
ASSESSMENT.

The assessment for the theory papers shall be done by the faculty at YASHADA.

Panel of Examiners will be selected by YASHADA for the assessment of the theory papers.

The research guides selected by YASHADA shall do the assessment for the Dissertation.

FEE STRUCTURE

	FEES FOR		
	Corporates	Students, NGOs, and Govt - in service officials	Officials from ULBs who have contributed to SIUD's corpus fund
For Diploma in Urban Mgmt (If the candidates stays on campus)	Rs. 42,000/	Rs. 35,000/	50% fee waiver on the fee for the Corporates (Rs 21,000/)
For Diploma in Urban Mgmt (If the candidates stays off campus)	Rs. 32,500/-	Rs. 25,500/	50% fee waiver on the fee for the Corporates (Rs.16, 500/)
For Advanced Post Graduate Diploma in Urban Mgmt (If the candidates stays on campus)	Rs. 1,20,000/	Rs 75,000/.	50% fee waiver on the fee for the Corporates (Rs. 60,000/)
For Advanced Post Graduate Diploma in Urban Mgmt, (If the candidates stays off campus)	Rs. 82, 500/	Rs.67, 500/	50% fee waiver on the fee for the Corporates (Rs.41, 250/)
OTHER EXPENSES			
Library fees			
Registration expenses			

Govt. of Maharashtra in Urban Development Department issued G.R dated 13th June 2002 instructing all Urban Local bodies to contribute over time financial contribution to YASHADA for setting up Urban training facility. As per this G.R.; copy of which is enclosed for ready reference ULBs have to contribute from Rs. 5000 to Rs 25 lakhs for the corpus. Those ULBs who have substantially contributed for this corpus should be given some concession if some candidates sponsored by those ULBs are registered for the Diploma.

Following suggestions are proposed:

1) ULBs contributing less than Rs. 10 lakhs corporates

50 % fee waiver on the fees for the for the candidates sponsored by these ULBs

2) ULBs contributing between every year Rs. 10 lakhs to Rs. 25 lakhs

1 candidate/ ULB Entire fee is waived.

3) ULBs contributing between every year Rs. 15 lakhs to Rs. 25 lakhs

2 candidates/ ULB Entire fee is waived

INTAKE
CAPACITY

100 participants can be enrolled for
I] Diploma in Urban Management and
II] Advanced Post Graduate Diploma in Urban Management

1. URBAN GOVERNANCE

1. Urbanisation
2. Historical Perspective
3. Global Challenges of Urban Governance
4. Local Government
5. Urban Laws
6. Decentralisation
7. Economic aspects of Urban Governance
8. Good Urban Governance
9. Participatory Democracy
10. Overview of Emerging Strategies

Urban Governance

1) Urbanisation

- Role of cities in the global scenario
- Urbanisation trends and patterns - global and Indian
- Political Economy of cities and their contribution to national economies
- Globalisation, impact and response

2) Historical Perspective

- Evolution of urban local government
- Urban local government in India: ancient, medieval, modern and post-independence
- Genesis of municipal enactments
- Modern initiatives: National Commission on Urbanisation, 74th Amendment

3) Global Challenges of Urban Governance

- Urban Planning: Strategising for regional and local development
- Urban housing and shelter issues
- Urbanisation of Poverty
- Informalisation of urban economies
- Urban Environment
- Urban Renewal

4) Local Government

- Global precepts and practices
- All-India perspective: Constitutional arrangements, State-local relations
- Principles of municipalization and hierarchy of towns
- States, parastatals and ULBs
- Major politico-legal issues in the functioning of local governments
- Recent initiatives on strengthening local government

5) Urban Laws

- Major laws dealing with Urban Local Bodies
- Key municipal Acts in India
- Related laws impacting ULBs
- Comparative provisions of municipal law from across India
- Model Municipal Law and suggested reforms
- Regulatory authorities for urban services

6) Decentralisation

- Concepts and rationale
- Decentralization examples in other countries
- 74 CAA and State compliance
- Impact of CAA on functional and financial devolution
- Decentralization within cities
- Way forward

7) Economic aspects of Urban Governance

- National and State Finance Commissions
- Current state of Municipal Finances in ULBs across India
- Tax, subsidy and user charge issues
- Infrastructure Finance
- Scope for Private Sector Participation in urban development

8) Good Urban Governance

- Normative principles
- Tools for good urban governance
- Transparency and accountability
- Capacity Building
- Legislative and Institutional Reforms
- Institutionalising Innovation

9) Participatory Democracy

- Concept of State and Civil Society
- Powers and responsibilities of Elected Representatives in Urban Local Government
- Stakeholders in Urban Governance: private sector, NGOs, CBOs, women, youth, commerce, Academia etc
- Institutionalising participatory democracy: Consultative processes, micro-planning, participatory budgeting and gender budgeting

10) Overview of Emerging Strategies

- City Development Strategies
- Local Economic Development
- National Urban Renewal Programme
- National Strategy on Urban Poverty and Sustainable Livelihoods
- UN Millennium Development Goals in Urban areas

2. MUNICIPAL MANAGEMENT

1. Municipal Organizational Structures
2. Organizational Behaviour
3. Management strategy
4. City Stakeholder Management
5. Human Resource Management
6. Employee relationship and crisis management
7. Project Management and Material Management
8. Financial Management
9. Other Key Municipal Management Issues
10. Disaster Management

1) MUNICIPAL ORGANIZATIONAL STRUCTURES

- Evolution of municipal organizations in India
- State-Municipal Relations
- Linkages between organizational objectives, functions, finances and organizational design

2) ORGANIZATIONAL BEHAVIOUR

- Motivation
- Leadership: styles, activities and skills
- Communication and Decision-making
- Learning Organization
- Work Environment, Groups and Teamwork

3) MANAGEMENT STRATEGY

- SWOT Analysis of the city
- Analysis of the Development Plan
- Prioritization of objectives
- Identification of Gaps
- Resource Allocation according to priorities
- Decentralization and delegation

4) CITY STAKEHOLDER MANAGEMENT

- Municipal Committees, General Body and Corporators
- Political parties and persons
- Appreciation of Judicial Interventions
- NGOs, Advocacy Groups and Media
- Citizens' Charter
- Right to Information
- People's participation and transparency

5) HUMAN RESOURCE MANAGEMENT

- Assessment of HR needs, jobs and roles
- Internal Recruitment and Outsourcing
- Capacity building
- Target Setting and Performance Indicators
- Monitoring and Evaluating Performance
- Sustaining high performance
- Time Management

6) EMPLOYEE RELATIONS AND CRISIS MANAGEMENT

- Management-employee relations
- IR scenario in India
- Contract Labour Act
- Industrial Disputes Act

- Union Disputes and Strikes
- Public/political/stakeholder protests
- Negotiation Skills

7) PROJECT MANAGEMENT AND MATERIALS MANAGEMENT

- Project Appraisal: Feasibility, Viability, Risk Assessment and Impact
- Project Cycle
- Inventory and Supply Chain Management
- Logistics and Contingency Planning

8) FINANCIAL MANAGEMENT

- Key tools for effective financial management and discipline, including FMIS
- Principles of Municipal Budgeting
- Gender budgeting, participatory budgeting
- Purchase and Service Contract Procedures
- Land Inventory and Management

9) OTHER KEY MUNICIPAL MANAGEMENT ISSUES

- Intra and inter-agency coordination
- Encroachments
- Hawkers
- Advertisements
- Elections

10) DISASTER MANAGEMENT

- Types of urban disasters
- Prevention of disasters
- Preparedness for disasters
- Disaster Response
- Mitigation

3. URBAN PLANNING

- 1) Introduction to city planning and a brief historical perspective
- 2) Current scenario
- 3) Concept of Development Planning & process
- 4) Micro-level Planning
- 5) Development Control
- 6) Traffic and Transportation proposals
- 7) Provisions of other laws impinging on city planning and management
- 8) Community Planning
- 9) Financing and Implementation of Development Planning
- 10) Implementation strategy

1) INTRODUCTION TO CITY PLANNING AND A BRIEF HISTORICAL PERSPECTIVE

Beginning of towns/ settlements – beginning of town/settlement planning – Hippodamus the father of Greek City planning and features of his planning –Sindhu valley towns and city planning features exhibited by them –the vastushastra tradition of city planning – Mansar, the architect city planner of ancient India- the eight settlement planning forms suggested by him.

- a. The beginning of statutory city-planning - The English Housing and Town Planning Act of 1909 – Inspiration for the first town planning act in India – the Bombay Town Planning Act 1915 – The basics of the planning structure envisaged.
- b. Uthwatt Committee on compensation and betterment: alternatives to nationalization of the 'development value' of all lands
- c. Introduction of comprehensive city planning in England and similar shift from 'planning for part to planning the whole' in Maharashtra under the BTP Act 1957.
- d. Gadgil committee and recommendations for introduction of Regional Planning as another tier of area planning. – MRTP Act of 1966
- e. The three levels of statutory planning currently in force and their inter-relationships.

2) CURRENT SCENARIO

- Current Situation and Policies
- Laws
- Administrative Structures
- Issues

3) CONCEPT OF DEVELOPMENT PLANNING AND PROCESS

4) EXISTING LAND USE

Existing Land Use survey and its mapping to establish base-line conditions –the canvass on which a new picture would be painted- mapping the ELU- identification areas of problem-creating users - mixed land uses – identification of cultural heritage, and 'protection and preservation areas'

Housing survey –current quality of housing –quality of housing- qualitative and quantitative deficiencies – survey of slums and environmental aspects of the slums – Industries survey – present locations- types of existing industries and their problems as also problems created by existing locations if any – non-conforming industries, polluting and non-polluting industries- service industries.

Traffic and transportation surveys [separately dealt with]

- Proposed Land Use
- Contents of the [statutory] Master plan/ city development plan- establishing goals and objectives – land use zoning objectives and practicability of rigid segregation of mixed land users.
- Population projections – various methods of – component method, ratio method, geometric progression method etc.
- Reservations for meeting needs of public purposes for the end population – current norms and reasonable minimum area norms – UDPFI suggestions.
- Traffic and transportation proposals [separately dealt with]
- Sustainable development and proposals for enhancing environmental quality and for environmental protection – protection of fragile environments- green belts – practicability of 'No Development Zones'
- Development control rules – [separately dealt with]
- Relevant case law

5) MICRO-LEVEL PLANNING

- Statutory Town Planning Schemes and private land pooling schemes – tool for solving the 'compensation' and implementation finance' problems – Land Acquisition without tears or burdens –participatory land pooling and sharing of expenses – incentives for.
- How to prepare a town planning scheme and prepare the redistribution and financial statements
- Arbitration – duties of an Arbitrator – guidelines for an Arbitrator
- Problem of delays in finalization and possible solutions.
- Case study of Gujarat, which is reported to have used the TP Schemes effectively for plan implementation.
- Miscellaneous statutory provisions relating to Town Planning Schemes.
- Relevant case law
- Corporate planning -example and case study of CIDCO / Pimpri Chinchwad Dev. Authority
- Private land pooling schemes – case study of the Magarpatta city development project in Pune.

6) DEVELOPMENT CONTROL

- Importance of plan enforcement and development control.- Development control rules –evolution from 'common law' restrictions to statutory development control – objectives of Development control rules
- Principle development control tools – FSI, zoning, open space around buildings and their rationale, layout open spaces and their use etc

- Procedure for obtaining and granting a development permission model building permission scrutiny form
- Reasons for and Results of Refusal of permission – Appeal and purchase notice – action necessary after confirmation of purchase notice – revocation of a permission and results of revocation.
- Relevant case law and illustrative cases.

7) TRAFFIC AND TRANSPORTATION PROPOSALS

- Explanation of some basic terms in relation to traffic planning – traffic lane, lane capacity, arterial roads, express highways etc.
- Traffic surveys – cordon surveys and by-passable traffic – home interview survey – junction surveys – simple origin-destination surveys – simple travel-time studies etc. - analysis and interpretation of survey data- use of survey data for designing a new road system
- Interpretation and use of survey data
- Design of road junctions –sight distance and chamfering at junctions – round about and signalized junctions and their capacities for handling traffic flows – staggered road crossings – reversible lanes for handling unidirectional peak flows
- Speed breakers and proper locations and suitable designs for speed- breakers
- Segregation of traffic – footpaths – road dividers, fly-over, cycle and bus lanes etc
- Parking requirements and provisions for off-street parking – space required – multi-storied parking – parking restrictions
- Street lighting
- Analysis and use of traffic survey data for designing a new system/capacity augmentation of the existing system
- Models and methods of constructing and using simple models
- Simulation techniques

7) PROVISIONS OF OTHER LAWS IMPINGING ON CITY PLANNING AND MANAGEMENT

- Relevant provisions of the Land Revenue code, Land Acquisition Act, Urban Land Ceiling Act, 74th Constitutional amendment, MHADA Act, BMRDA Act, Government buildings Act etc which have repercussions for city planning and management.

8) SOCIAL, ECONOMIC, ENVIRONMENTAL ASPECTS OF URBAN PLANNING

- This will deal with community planning and community development approach for proposals included in the city development plan as also those, which are not included in the plan

- Neighborhoods and neighborhood planning
- Role of Neighborhood committees.
- Participation of citizens' committees, study groups, planning groups etc
- Meaning of some simple terms – eco-system, ecological balance, environmental quality, bio-diversity etc
- Fragile environments and their protection
- Sound pollution in cities and town planning solutions to mitigate the problem
- Water pollution and protective measures in the city planning system
- Sound pollution and city planning
- Sustainable development, what it means in the context of city planning: Earth summit and its recommendations in the context of city planning
- Environmental Impact analysis and methods of carrying it out
- Case study of EIA for the Bombay Urban Transportation Project

9) FINANCING AND IMPLEMENTATION OF DEVELOPMENT PLANNING

- Bottlenecks in implementation – the Compensation liability, the main villain in the realization of city plans.
- IDSMT Provisions
- Reasons for Success & Failure
 - Origin – concept – current provisions
 - Manner of preparation of a proposal for assistance and the contents thereof
 - Level of assistance likely
 - Monitoring the progress and periodical reports
 - Obligatory and discretionary functions of the Municipal council
 - Implementation strategy for obligatory and non-obligatory functions – incentives to the private sector
 - Overview and typical case studies
 - Analysis of failures and successes
 - Avenues for plan financing and implementation – TDR, Accommodation reservation etc. – private participation
- Analyses of Resources likely to be available for plan implementation and programming stage-wise implementation; Thresh-holds to growth – identification of and programming for crossing the thresh-holds – Pert and CPM as tools for project formulation and programming implementation
- Private participation in plan implementation – possibilities and methods of securing
- Provisions in respect of assistance for implementation of the Development Plan UD6A schemes
- Circulars and instructions for formulation of proposals – Manner of presentation of the proposals
- BOT and BOOT

10) IMPLEMENTATION STRATEGY

- Breaking up the Development Plan into annual plans for implementation
- Funding and budget provisions for the annual programs as identified including exploration of private sector funds for selected programs.
- Periodical reviews for identification of bottlenecks in implementation
- Challenges, obstacles and solutions.
- Importance of securing public participation in planning, both passive and active and methods of securing it. Involvement of action groups and pressure groups both in preparation and implementation of the plan.

4. URBAN FINANCE

1. Urban Finance Framework and Principles of Local Public Finance
2. Urban Public Finance – National & International Trends & Perspectives
3. Municipal Expenditure and revenue.
4. Property Tax System – Reforming Property Tax
5. User Charge Financing
6. Inter-Governmental Transfers
7. Municipal Debt & Debt Management
8. Land and land-based instruments for resource mobilization
9. Municipal Financial Management
10. Financial Management – reforms and innovations.

Urban Finance Framework and Principles of Local Public Finance

• Anatomy of Urban Fiscal Problem

Back ground: Shift of rural focus to urban focus because of rapid urbanization.

- i) Vertical imbalances: Most urban local governments invariably suffer from inadequate own resources, which make them heavily dependent on transfer from higher levels of government.
- ii) Horizontal imbalances: uneven access to resources.
- iii) Control by Government
- iv) Improper revenue mix.

• Fiscal Responsibility

- i) Fiscal Responsibility Legislation in the States
- ii) State Finances
- iii) Policy Developments
- iv) Fiscal Responsibility and Budgetary Management Bill of Maharashtra

• Urban Public Services & Infrastructure

- i) Urban infrastructure gaps, all India scenarios.
- ii) Assessing Urban Infrastructure needs
- iii) Sectoral investment requirement
- iv) Infrastructure development priorities
- v) Types of mechanisms in different
- vi) States for deliver of urban services
- vii) Financing of Urban Infrastructure – Key issues

Plan and Non-Plan Schemes - Development and Non-Development Expenditures

- i) – Union budget and share of urban sector.
- ii) Central Schemes and programmes for
- iii) urban development - features
- iv) State schemes and programmes for urban development - features
- v) National Urban Renewal mission (NURM)

- vi) Need of devolution of finances as envisaged in 74th Amendment for sustainable financing.

- **Municipal Fiscal Gap – Key Issues**

- i) Expenditure required to be met by a Municipal Councils depend on service cost, service norm and population parameter
- ii) Revenue raised depends on the size of the revenue base,
- iii) Buoyancy of revenue base, extent of access to the base
- iv) The rate and the collection efficiency
- v) Devolution of finances.

- **Legal Framework for Urban Finance**

- i) The Constitutional mandates
- ii) Governing Acts and 74th Amendments
- iii) Municipalities to function as Institutions as self government- 12th Schedule
- iv) Role of following in strengthening Urban Finance
 - i.State Finance Commission
 - ii.District Planning Committee
 - iii.Metropolitan Planning Committee
- v) Provisions in model Municipal Act

- **Directions for Municipal reforms.**

- **Introduction to Economic Analysis**

- i) Expenditure assignment
- ii) Revenue assignment
- iii) Resource augmentation strategy
- iv) Performance benchmarking

2 Urban Public Finance – National & International Trends & Perspectives

3 Municipal – Expenditure and revenue

- **Municipal Expenditure Patterns**

- i) Priority setting for expenditure
- ii) Municipal Expenditure Patterns- Obligatory and discretionary duties

- **Analysis of Staffing**

- i) Expenditure on establishment
- ii) Assessment of expenditures on capacity building
- iii) Work norms/ Establishment norms vis a vis revenue generation.

- **Maintenance and Capital Expenditures**

- iii) Issues of cost recovery of projects
- iv) Minimizing operation and Maintenance expenditure.
- v) Capital cost recovery
- vi) Issues of cost minimization
- vii) Public Accountability Issues

- **Municipal Expenditure Reforms**

- i) Various Service delivery options
 - a. Public private partnership
 - b. Outsourcing: Successful practices unit rate system for sanitation
 - c. Community Contracting: women Groups
 - d. Partnership with Resident Associations
 - e. Partnership with NGOs
 - f. Inter departmental partnership

- **Sources of Revenue for financing Municipal Services and infrastructure – overview**

A) Own sources:

Revenue from taxes and cess

- 1) Octroi or Cess in lieu of octroi (only municipal corporations)
- 2) Property Tax
- 3) Vehicle tax, tax on boats or animals
- 4) Sanitary tax upon private latrines cleaned by municipal agency
- 5) Drainage tax
- 6) Water tax
- 7) Educational tax
- 8) Development Cess.

Non-tax revenue

- 1) Parking fees
- 2) Permit fees
- 3) Service fees & user charges
- 4) Rent from buildings & commercial complexes

- 5) Development fees for granting permission to construct buildings on Vacant plot
- 6) Other fees & charges etc.

B) External sources: Assigned Revenues

Grants from Central Government. E.g. NURM
State Grants.

- 1) Land revenue and non-agriculture assessment grant
- 2) Entertainment Grant
- 3) Stamp Duty Grant
- 4) Profession Tax Grant
- 5) Road Grant
- 6) Primary Education Grant
- 7) Other Grants

, Other Financing Mechanisms

- viii) Borrowing from market
- ix) Institutional Finance
- x) Specialized fund
- xi) Income generation through Municipal assets

4 Property Tax System – Reforming Property Tax

- Property Taxation , Theories of taxation - Concept
- Key Issues of Property Taxation
- Rental Value Model
- Capital Value Model
- Site Value Taxation
- Property Tax Innovations – Area-based Systems, Self Assessment
- Schemes etc. Case study of Ahmedabad, Hyderabad, Delhi.
- Comparison of different models – advantages and disadvantages of models.
- Taxation of Government Properties.
- Property Tax Administration
- GIS based Property Tax Administration
- Legal Issues and Litigation Management
-

5 User Charge Financing

- Case for User Charges
- Principles of User Charges
- Concept of Social Costs & Benefits
- Costing and Pricing of Public Services – Cost Recovery Issues
- Users Charges & Fees
- Issues of Subsidies
- User Charge Reforms

6 Inter-Governmental Transfers

- Theory of Inter-Governmental Transfers
- State-Local Fiscal Relations
- State Finance Commission Reports

Purpose, scope, scenario of functioning in different State.

- Central Finance Commission Reports

Major recommendation and impact of 11th and 12th finance commission

- Inter-Governmental Transfer Reforms

Impact of 74 the Constitutional Amendments

7 Municipal Debt & Debt Management

- Legal Framework for Municipal Borrowing

i) Municipal borrowing powers and legal framework in the governing Act.

- Municipal Bonds

- i) Bonds market Development
- ii) Structure of Indian Bond Market
- iii) Issues
- iv) Regulatory framework
- v) Reforms
- vi) Case studies of Nasik, Ahmedabad, Hyderabad

- Credit Rating of ULBs

- i) Culture of credit rating
- ii) Credit rating indicators: State and Municipal Governments

- Credit Enhancement Mechanisms
- Finance & Operating Plans
- Building Credibility

8 Land as a Resource for Urban Development

- Urban Land Market
- Determinants of Land Prices
- Taxation of Urban Land
- Town Planning as a Resource
- Betterment Charges
- Transferable Development Right
- Tax Increment Financing
- Impact Fees

9 Municipal Financial Management

- Planning
 - i) City development criteria
 - ii) Capital investment plan
 - iii) Medium term Plan
 - iv) Performance plan
- Budgeting
 - i) Effective budgeting and characteristics of good budgeting
 - ii) Budgeting in Municipalities
 - iii) Types of budget. Budget preparation. budget execution. capital budgeting
 - iv) Current scenario in Municipal budget
 - v) Budget reforms: key areas. need
 - vi) Immediate action plan and good practices.
 - vii) Annual Subsidy report

Accounting

- i) Accounting in Municipality
- ii) Single entry, double entry accounting
- iii) Cash basis, Accrual Basis
- iv) Municipal accounting reform
- v) Good practices in Accounting

Internal Controls

- i) Internal control
- ii) Objectives
- iii) Internal control measures
- iv) Good practices in internal control

Auditing

- i) Auditing issues
- ii) Auditing scenario in Municipalities.
- iii) Auditing reforms

Asset Management

- i) Asset Management – Definitions and Importance
- ii) What are Principles of good Asset management?
- iii) Asset Management in Urban Local Bodies
 - i. Asset Classification and Compilation
 - ii. Inventories
- iv) Essential Elements in an Effective Asset Management System in Municipalities
- v) Key Principles for Municipal Asset Management
- vi) Implementation Needs for Municipal Asset Management
- vii) Data Collection for Municipal Asset Management
- viii) Reforms in asset management

Financial Management – reforms and innovations.

National Municipal Accounting Manual

Financial Management Information System: Using e-Governance

Tools

- i) Concept of Financial Management Information System
- ii) Issues

5. URBAN INFRASTRUCTURE

1. Historical Background and evolution of concept of infrastructure
2. Legal And Policy Frame Work
3. Infrastructure planning for Physical and Social infrastructure
4. Financing analysis of urban infrastructure projects
5. Infrastructure financing
6. Project development
7. Environmental, Social and Political sustainability
8. Project Execution, Implementation and Management
9. Sustainable delivery of urban services
10. Overview and Conclusion

1. HISTORICAL BACKGROUND AND EVOLUTION OF CONCEPT OF INFRASTRUCTURE.

- a. Concept of Sustainable cities
 - Economic aspect
 - Social aspect
 - Environment aspect
 - Inclusive cities
- b. Definition of Infrastructure - Physical & Social
- c. Infrastructure in the urban context and its importance
 - Effect of rapid urbanization and its impact on quality of life
 - Economic developments as cities are engines of growth
 - Pre-requisite for providing Urban services

2. LEGAL AND POLICY FRAME WORK.

- a. Legal And Policy Frame Work (Current status of laws)
 - Statutory duties on corporations as per legal provision.
 - Discretionary duties on corporations as per legal provision.
 - Case studies- India and outside countries.
 - Present status of urban Infrastructure.
 - International experience regarding city Infrastructure –case studies
- b. Role of different agencies. Government/ULBs/ Para statals

3. INFRASTRUCTURE PLANNING FOR PHYSICAL AND SOCIAL INFRASTRUCTURE

- a. Vision document, which looks at infrastructure requirement
 - Regional and Local
- b. Infrastructure gap identification
 - Normative standards –in this regard, if any in India or in other countries
 - Benchmarking of infrastructure qualitatively and quantitatively
 - Present status of infrastructure in the city.
- c. Financing planning
 - Own financial resources of Municipal Corporations
 - Govt. finance-State Central government.
 - Fund raising from open market through bonds and international funding.
- d. Operationalising the plan (Annual, Five year)
- e. *Infrastructure support by urban local bodies, shortcomings and challenges*

FINANCIAL ANALYSIS OF URBAN INFRASTRUCTURE PROJECT

Cost benefit analysis, alternative & least cost method

- Concepts of NPV, discounting, pay back period internal rate of return etc.
- Cost effectiveness analysis of alternatives
- Study of alternative designs
- Projects with lowest cost per unit of output

b. Sensitivity And Risk Analysis

- Chances that costs and benefits will be as anticipated
- Uncertainty regarding future events
- Parameters that are subject to risk
- Sources to risk
- Extent of variation possible
- Incorporating different ranges for key parameters
- Simultaneous changes / variations?
- Switching values, what if?
- Better design, outline of actions mitigating against major sources of uncertainty

5. INFRASTRUCTURE FINANCING.

Financing mechanisms two types

a. Traditional ways of financing urban infrastructure

- Resources of urban local bodies
- Pattern of intergovernmental fiscal transfers
- Limitation of traditional resources

b. Alternative sources of finance

- Public private participation
- BOO, BOOT, BOLT, etc
- Commercial banks & financial institutions
- Special purpose instruments, such as revolving funds MVIF etc.
- Pooled financing
- URIF, CCF etc
- Revenue augmentation methods
- Assets securitisation
- Municipal bonds

6. PROJECT DEVELOPMENT

a. Types of Project handled by Municipal Corporation

- Mega projects for City or Intercity -direct funding from own sources
- Mega projects funding and planning from an external agency
- Medium projects
- Small Micro- projects

(Planning will change for size and kind of funding)

b. Project Planning cycle

- Inception
- Technical aspects
- Financial aspects
- Interagency coordination /clearances
- Technology selection
- Material management –sourcing and procurement
- Formulation of Detailed Project Report (DPR)

c. Case studies

7. ENVIRONMENTAL, SOCIAL AND POLITICAL SUSTAINABILITY

- Background
- Environmental Sustainability and Impact Assessment
- Social Sustainability and Impact Assessment
- Politics of investment in urban Infrastructure
- Technical Sustainability and Impact Assessment

8. PROJECT EXECUTION, IMPLEMENTATION AND MANAGEMENT

- Engineering Drawings –basic understanding for an administrator
- Detailed specifications drafting /BIS Standards - basic understanding for an administrator
- Rate analysis /schedule of rates
- Cost of project components and detailed estimates and preparation of tender document.
- Procurement procedures –tendering, ordering, purchase, supply.
- Tendering procedure /Vendor identification and performance review
- Sensitivity and risk analysis

Project Management Techniques.

- PERT/CPM, Bar charts, Crashing of an activity
- Construction management
- Quality control and quality assurance
- Project costing

- Project audit: original proposals and changes during execution, with justification; Time and cost overruns –analysis of reasons; cost benefit analysis; consumer satisfaction survey
- Project completion formalities
-

9. SUSTAINABLE DELIVERY OF URBAN SERVICES

Project operation and management, Human resource requirement, capacity building etc.

Project Operation and Management.

- Preventive maintenance procedures
- Calculating cost of the project operations with exact expenditures on various heads
- Quality standards and benchmarking of maintenance
- Procedures for recording and redressal of complaints

10. OVERVIEW AND CONCLUSION

- Multilateral/Bilateral Financing included

6. URBAN POVERTY

1. Concept of Urban Poverty
2. Facets of Urban Poverty
3. Laws, policies, judgments of courts and reports of various Commissions
4. Informal sector in urban areas
5. Urban informal credit Systems
6. Poverty and Shelter
7. Anti-Poverty Programmes
8. Swarna Jayanti Shahari Rojgar Yojana
9. Delivery of basic services to the poor
10. Innovative approaches towards poverty reduction

1) CONCEPT OF URBAN POVERTY

- Global picture of poverty
- Urban poverty vis-a-vis Rural Poverty
- Poverty distribution in India
- Challenges of measuring urban poverty
- This master lesson attempts to give a global overview of the spread of poverty so as to understand the question and the millennium development.
- The enormous complexities and aspects of deprivation unique to urban poverty.
- Poverty distribution in high-development, high urbanization states – proportion of poor is lower but is concentrated in urban areas.
- To identify aspects of vulnerability, including issues of violence and powerlessness.
- Power relations and structural nature of poverty
- Dynamic nature of poverty in terms of shocks and cyclical deprivation etc. which traditional poverty assessments do not always cover.

2) FACETS OF URBAN POVERTY

- Economic dimension of lack of resources
- Physical dimension of lack of adequate shelter and place of business
- Ecological dimension – lack of sanitation and water
- Social dimension – enhanced vulnerability of women, children and the old
- Political dimension of lack of choice or voice.
- Feminization of poverty.

3) LAWS, POLICIES, JUDGMENTS OF COURTS AND REPORTS OF VARIOUS COMMISSIONS.

- Historical perspective of laws, policies towards the urban poor. E.g. National planning process.
- The constitutional framework.
- Various laws – Municipal and others for ex beggary law – which impinge on the poor.
- Enumeration of various policies and how they have worked.

- Various judgments given by Supreme Court and High Courts regarding safeguarding the rights of the poor.
 - Enumeration of policies and their impact.
- e.g. i) National Hawkers, policies.
 ii) Rehabilitation and Resettlement Policy.

4) INFORMAL SECTOR IN URBAN AREAS

- Role and extent of informal sector in urban economy
- Recognizing the contribution of the poor to the city economy.
- Integrating the informal sector into the planning process.

5) URBAN INFORMAL CREDIT SYSTEMS

a) Myth of the Indian financial sector

b) Models of micro-finance

* SHG model

* Individual banking programme model

* Community banking model

* Grameen model

c) Demand for micro-finance services, savings, credit and other financial services like insurance etc.

d) Efforts and achievements – SEWA, MYRADA etc.

e) Way ahead

6) POVERTY AND SHELTER

a) Introduction to issues of shelter for the poor – the crying need.

b) Laws their intention and impact

Urban land Ceiling and Regulation Act

Rent Control Act

Development Control Regulations

Other laws impacting housing scenario e.g. transfer of land ownership and registration of Sale Deeds.

c) Rise of slums

Reason for growth of slums

Policies relating to slums

d) States Role in Housing

Locating and holding lands

Affordable of housing

Play the role of a facilitator

Promote an enabling environment

7) ANTI-POVERTY PROGRAMMES

- Policies and programmes – their limitations and achievements – till date.
- Role of the Administrator – need for capacity building.
- Innovative approaches
- Towards poverty reduction by NGOs and Govt. across India.

8) SWARNA JAYANTI SHAHARI ROJGAR YOJANA

- The yojana – nuts and bolts
- SJSRY – Impact on poverty reduction
- Success stories under SJSRY in India

9) DELIVERY OF BASIC SERVICES TO THE POOR

- Present status
- With specific focus on health, education, water and sanitation
- Road ahead

10) INNOVATIVE APPROACHES TOWARDS POVERTY REDUCTION

- NGOs and Governments across India and other countries

7. URBAN ENVIRONMENT MANAGEMENT

- 1) Urbanization & environment
- 2) Water resource management
- 3) Waste water management
- 4) Solid Waste management
- 5) Hazardous & biomedical waste management
- 6) Air pollution and air quality monitoring and noise pollution.
- 7) Legal issues related to environment. ESR and Policy issues in environment management.
- 8) EIA
- 9) Sustainable development
- 10) Community participation in urban environment management

1) URBANIZATION & ENVIRONMENT

- Historical perspective
- Impact of urbanization on environment;
- Convergence of development & environment
- Role of Urban Local Bodies in Urban Environment Management: Legal framework.
- Impact of urbanization on environment & ecological constraints on urban environment.
- Concept of ecological balance ecological footprints, carrying capacity etc
- Agenda 21, Millennium development Goals, Kyoto protocol

2) WATER RESOURCE MANAGEMENT

- Water supply management
- Conservation OF water resources
- Urban water shed
- Water Quality
- Water audit & energy conservation

3) WASTE WATER MANAGEMENT

- Issues in wastewater management: wastewater & its impact on environment & public health
- Sewerage management: technologies of wastewater treatment
- Wastewater recycling
- Construction & management of public toilets

4) SOLID WASTE MANAGEMENT

- Issues in municipal solid waste management
- Legal framework of municipal solid waste management
- Components & technologies of solid waste management
- Good practices in solid waste management

5) HAZARDOUS & BIOMEDICAL WASTE MANAGEMENT

- Legal framework of hazardous & bio-medical waste management
- Components & technologies of hazardous & bio-medical waste management
- Good practices in hazardous & bio-medical waste management

6) AIR POLLUTION AND AIR QUALITY MANAGEMENT AND NOISE POLLUTION

- Sources (vehicular, industrial) & impacts of air pollution
- Issues related to transportation
- Health impacts of air pollution

7) LEGAL ISSUES RELATED TO ENVIRONMENT, ESR AND POLICY ISSUES IN ENVIRONMENT MANAGEMENT

- Legal framework & parameters of ESR
- Guiding principles for preparation of ESR
- ESR as a budgetary & environment management tool
- Need of training & capacity building
- Development planning & environment amenities
- Byelaws on environment management
- Roles & responsibilities of governmental agencies

8) EIA

- Legal framework & parameters of EIA
- Guiding principles for preparation of EIA
- EIA as a budgetary & environment management tool

9) SUSTAINABLE DEVELOPMENT

- Concept of sustainable development
- Environmental planning & management & other tools of stakeholders

10) COMMUNITY PARTICIPATION IN URBAN ENVIRONMENT MANAGEMENT

- Concept of community participation
- Legal framework of community participation: community contracting.
- Good practices in community participation
- Social forestry

8. INFORMATION AND COMMUNICATION TECHNOLOGY (ICT) FOR URBAN MANAGEMENT

- 1) What is ICT?
- 2) Benefits of ICT
- 3) How can ICT be applied to Urban Management?
- 4) Strategy
- 5) How to operationalise ICT in Urban Governance
- 6) How to manage ICT based operations?
- 7) Advanced Topics
- 8) Case Study

- 1 What is ICT?
 - 1.1 IT Evolution
 - 1.2 IT or Computing Basics
 - 1.2.1 Hardware
 - 1.2.2 Software
 - 1.3 Communication/ Network
 - 1.3.1 LAN
 - 1.3.2 WAN
 - 1.3.3 Internet
 - 1.4 Application Software/ System Software
 - 1.5 Current Trends in IT or E-governance
- 2 Benefits of ICT
 - 2.1 Direct Benefits
 - 2.1.1 Accuracy
 - 2.1.2 Productivity
 - 2.1.3 Automation
 - 2.1.4 Efficiency/ effectiveness
 - 2.2 Indirect Benefits/ Effects
 - 2.2.1 Good Governance
 - 2.2.2 Organized Functioning
 - 2.2.3 Citizen or Consumer Satisfaction
 - 2.2.4 Supply Chain Improvements
 - 2.2.5 Meeting Globalization Challenges
 - 2.2.6 Socio-economic Development
- 3 Drawbacks
 - 3.1 Digital divides
- 4 Cases of benefits

How can ICT be applied to Urban Management?

Possible or Ideal Information Structure of ULB

Department wise possibilities of usage in computerization or ICT.

Transaction Management Systems/ Decision Support Systems/ Business Intelligence etc.

Enterprise Wide Systems

Performance management

Learning organization etc.

- 4 **Strategy: Planning and Implementation of Information Technology System**
 - 4.1 IT harnessing Strategy
 - 4.2 Building Strategic Capability
 - 4.3 Building Implementation Capability
 - 4.4 Vision Road Map
 - 4.5 Change Management
 - 4.6 Building Pilot Projects
 - 4.7 Building Evaluation Capabilities
 - 4.8 The Indian E-governance Strategy and State E-governance Strategy
- 5 **How to operationalise ICT in Urban Governance**
 - 5.1 Government Process Reengineering
 - 5.2 Project Management/ Software Engineering
 - 5.3 Vendor (supplier) or Contract Management
 - 5.4 Communication Management/ Public Awareness
- 6 **How to manage ICT based operations?**
 - 6.1 EDP management
 - 6.2 Database and system administration
 - 6.3 Troubleshooting
 - 6.4 Computerized office management
 - 6.5 AMC/ contract management/ outsourcing
- 7 **Advanced Topics**
 - 7.1 Current Global E-governance Scenarios and Technology
 - 7.2 New trends
 - 7.3 Cyber/ IT laws acts etc.
 - 7.4 IT security
 - 7.5 Piracy
- 8 **Case Study**
 - 8.1 Brihan Mumbai Municipal Corporation
 - 8.2 Kalyan Dombivli Municipal Corporation
 - 8.3 Pimpri Chichwad Municipal Corporation
 - 8.4 Pune Municipal Corporation
 - 8.5 Thane Municipal Corporation
 - 8.6 Nasik Municipal Corporation
 - 8.7 Sangali Municipal Corporation

9. DISSERTATION

Max Marks – 150

Research /Presentation/Viva Voce

1. The candidates/participants appearing for the **Diploma in Urban Management and Advanced Post Graduate Diploma in Urban Management** will be required to undertake a detailed research on a subject of contemporary relevance. List of topics and GUIDES shall be proposed by YASHADA. The final dissertation copy has to be submitted to YASHADA and University of Mumbai with the comments of the guide.
2. Candidates/participants will be required to undertake a detailed research on the topic allocated and prepare a thesis of about 8000 words. The thesis will require careful study and well reasoned logical thinking, analytical ability, ingenuity and power of expression.
3. This paper will be required to be forwarded to YASHADA by the end of the academic year. A presentation followed by a viva-voce will be required to be given at the time of submission of the dissertation. Research guides may be invited for the assessment of the dissertation paper.
4. Evaluation – The total assessment for the research work would be of 150 marks.
 - a) Thesis paper – 50 marks
 - b) Presentation – 50 marks
 - c) Viva-voce – 50 marks
