

Chapter-V: Effectiveness of devolved functions of Urban Local Bodies

Summary

For assessment of effectiveness of functions stated to have been devolved, two functions viz., Water supply for domestic, industrial and commercial purpose & Public health, sanitation conservancy and solid waste management have been selected for test-check.

The State Government was directly providing grants to parastatals for execution of selected functions, resulting in lack of financial control of ULBs over the function. Role of ULBs in planning for function delivery was also minimal. In none of the test-checked ULBs, yearly development plan was prepared. Besides, solid waste management plan was also not prepared in 48 test-checked ULBs. Moreover, authority of planning and delivery of selected functions was vested with a parastatal, namely *Uttar Pradesh Jal Nigam*, which in turn impacted the autonomy of ULBs.

The State Government has many key parastatal agencies that deliver or facilitate urban infrastructure and services, having prominent role in delivery of many functions. ULBs did not have any authority regarding their selection, allotment and deciding scope of work, funding etc. As a result, role of ULBs in the execution of selected functions was limited only to operation & maintenance and management of manpower. The effectiveness of selected functions was also unsatisfactory as test-checked ULBs were unable to provide selected functions as per the Service Level benchmarks of the Central Public Health and Environment Engineering Organisation.

5.1 Share of expenditure

The share of ULBs in expenditure of selected functions during 2015-20¹, against the total expenditure of these functions in the State, is given in **Table 5.1** below:

Table 5.1: Showing share of ULBs in expenditure of selected functions during 2015-20

(₹ in crore)

Year	Urban water supply			Urban Sanitation and Sewerage services		
	Total Exp.	ULBs share	Percentage of ULBs share	Total Exp.	ULBs share	Percentage of ULBs share
2015-16	991.53	374.89	37.81	1,024.09	466.62	45.56
2016-17	1,140.01	350.59	30.75	894.02	489.45	54.75
2017-18	819.70	397.29	48.47	1,684.55	643.11	38.18
2018-19	1,079.28	448.89	41.59	2,117.83	817.58	38.60
2019-20	532.39	398.45	74.84	1,337.59	736.66	55.07
Total	4,562.91	1,970.11	43.18	7,058.08	3,153.42	44.68

(Source: Finance Account and *Karya Vivran* of UD Department)

It is evident from above that ULBs share in total expenditure of water supply and Sanitation & Sewerage services during the period 2015-20 were only 43 and 45 *per cent* respectively. It indicated that major part of expenditure on

¹ UD Department is in the process of compiling data for the year 2020-21 and for the year 2021-22, it is yet to be started.

these functions were routed through parastatals such as UP *Jal Nigam*, Construction & Design Services etc., which again confirmed that despite the selected functions stated to have been devolved, were only partially devolved to ULBs.

The Urban Development (UD) Department stated (November 2022) that the concerned parastatals have been nominated as executive agencies. Reply is not accepted as funds were directly transferred to these agencies by the Department.

5.2 Planning for function delivery

As per guidelines (October 2015) of 14th Finance Commission (14th FC), Municipal Corporations and Municipalities were required to prepare proper plans in accordance with the relevant rules and regulations applicable in the State, for incurring expenditure on basic services² (including water supply, sanitation; sewage and solid waste management) out of funds of 14th FC grants. In this regard, Section 127B of UPM Act and Section 383A of UPMC Act, through which ULBs are governed, prescribed for preparation of yearly development plans.

Audit observed that in none of the test-checked ULBs, yearly development plans were prepared during 2015-20 as discussed in *paragraph no 4.2.3.6*. In absence of plans, expenditure incurred by the ULBs of State from 14th FC grants amounting to ₹ 8,544.57 crore during 2015-20 was in violation of guidelines.

Thus, due to execution of works without planning, Council and its members did not participate in decision making process to fulfil the legitimate aspirations of the citizens. On the other hand, due to lack of planning, ULBs were also unable to face the challenges of rapid urbanisation with the poor state of basic services as discussed in *paragraph 5.4*.

Besides, status of compliance with the other provisions of planning for function delivery of selected functions is as under:

➤ As per provisions of Solid Waste Management Rules 2016 (SWM Rules), each State was to prepare a solid waste management policy before April 2017. Further, ULBs were also required to prepare a solid waste management plan in conformity with the State policy, so that scientific disposal of solid waste through segregation, collection, treatment and disposal in environmentally sound manner could be ensured. The solid waste management plan was to be prepared by the ULBs within a period of six months from the date of notification of State policy.

Audit observed that State Government prepared (June 2018) solid waste management policy with a delay of 14 months and with a further delay of more than ten months, directed (May 2019) ULBs to implement the provisions of SWM Rules. However, in none of the test-checked ULBs (except NN Mathura-Vrindavan and Jhansi), solid waste management plan was prepared as required under provisions of SWM Rules.

² This included services as water supply, sanitation including septic management; sewage and solid waste management, storm water drainage, maintenance of community assets, maintenance of roads, footpaths, street lighting, burial and cremation grounds and other any basic services within functions assigned to them under relevant legislations.

➤ Moreover, as per the provisions of SWM Rules, it was an obligatory duty of ULBs to arrange for door to door collection of segregated solid waste from all households and transportation of collected waste to processing facilities. ULBs were also required to setup material recovery facilities or secondary storage facilities for sorting of recyclable material from the waste under SWM Rules. However, Audit observed that, though these activities fell under ambit of ULBs, the State Mission Director (*Swachh Bharat Mission*) decided (August 2019) for establishment of Material Recovery Facility (MRF) in each ULB of the State on a standard drawing & design, without obtaining any demand or plan or assessment of requirement from ULBs. Besides, population of ULBs and their capacity of per day generation of MSW were not taken into account while sanctioning the MRF. Accordingly, a sum of ₹ 16.83 crore³ was released (August 2019) for civil work of MRF in all 50 test-checked ULBs, however, no funds were released for procurement of equipment required for functioning of MRF as of November 2021. As a result, despite completion of civil work of MRF in 22 test-checked ULBs, it could not be made functional as of November 2021.

➤ Similarly, an amount of ₹ 30.05 crore was released by the State Mission Director (*Swachh Bharat Mission*) during 2019-20 for procurement of mini tippers and equipment required for door to door collection of solid waste in 43 out of 50 test-checked ULBs. These sanctions were issued by the Director (*Swachh Bharat Mission*) after conducting a gap analysis on its own⁴ in respect of existing infrastructure of concerned ULBs.

Audit further observed that as per the norms of the Central Public Health & Environment Engineering Organisation (CPHEEO), one mini tipper was required for the coverage of 1500 households for the purpose of door-to-door collection and transportation of generated MSW. However, these norms were not followed in procurement of mini tippers. As a result in 14 ULBs⁵, procured mini tippers were in excess of requirement.

Hence, ULBs did not participate in planning process of selected functions. As a result, optimal utilisation of resources could not be ensured.

The UD Department replied (November 2022) that the required action on yearly development plans is awaited from the ULBs, however, it did not comment on the other issues.

5.2.1 Role of ULBs in planning of Centrally and State sponsored schemes

An analysis of guidelines of various Centrally and State sponsored schemes meant for providing selected functions revealed that ULBs had either no role or limited role in planning process of these schemes, as detailed in **Table 5.2** below:

³ @ ₹ 33.67 lakh per MRF per ULB.

⁴ Assessment of requirement of vehicles was done with the help of Regional Center for Urban and Environment Studies, Lucknow and no demands or plan or assessment of requirement were submitted by the concerned ULBs for the same.

⁵ NPPs: Ballia, Belha Pratapgarh (Pratapgarh), Bilaspur (Rampur), Chirgaon (Jhansi), Lalitpur, Mauranipur (Jhansi), Palia kalan (Lakhimpur Kheri), Thakurdwara (Moradabad) & Rampur and NPs: Kathera (Jhansi) Khamaria (Bhadohi), Maswasi (Rampur), Ranipur (Jhansi), and Shahabad (Rampur).

Table 5.2: Showing role of ULBs in planning process of different schemes

Name of scheme	Details of scheme	Details of plans to be prepared	Process of planning	Role of ULBs
Atal Mission for Rejuvenation and Urban Transformation (AMRUT)	The Centrally sponsored scheme was launched (June 2015) by the GoI with the aim of providing basic civic amenities like water supply, sewerage, urban transport, parks <i>etc.</i> to improve the quality of life for all, especially the poor and the disadvantaged. The duration of the scheme was 2015-20. Under the scheme 60 cities of the State were covered.	As per provisions, a Service Level Improvement Plan (SLIP) was to be prepared by each selected ULB after identifying gaps to cover all households with water supply and sewerage (including septage). At the State level, a State Annual Action Plan (SAAP) was to be prepared by aggregating the SLIPs of all Mission cities and was to be submitted to Ministry of Housing and Urban Affairs (MoHUA), GoI for approval.	An external entity namely Project Development and Management Consultants (PDMCs) were to be appointed for preparation of the SLIP, SAAP, DPR <i>etc.</i>	The State Government nominated Chief Town & Country Planner to prepare GIS based Master Plan for Mission cities and also appointed PDMCs for providing technical assistance & management of projects under the scheme. It was also observed that the State Government had nominated (July 2015) Regional Centre for Urban Environmental Studies, Lucknow (a parastatal of MoHUA) for preparation of SLIP and SAAP and authorized (December 2015) UP <i>Jal Nigam</i> (UPJN) for preparation of DPRs and implementation of projects related with selected functions. Thus, there was no role of ULBs in planning and execution of projects related with selected functions under AMRUT.
Swachh Bharat Mission (Urban)	The Scheme was launched (October 2014) by GoI with a view to; eliminate open defecation, eradicate manual scavenging, provide modern and scientific municipal solid waste management <i>etc.</i>	Under the scheme comprehensive sanitation planning, which includes preparation of City Sanitation Plan (CSP), State Sanitation Concept and State Sanitation Strategy, was required.	ULBs were made responsible for the preparation of CSP through hiring of consultants.	Audit observed though the responsibility of preparation of CSP was assigned to ULBs, however, only eight ULBs ⁶ , out of 50 test-checked ULBs, had prepared the same (as of November 2021).
Pt. Deen Dayal Upadhyaya Adarsh Nagar Panchayat Yojna	With a view to provide basic civic amenities like water supply, solid waste management, septage management <i>etc.</i> to inhabitants of NPs and small NPPs, the State sponsored scheme was launched on 21	Under the scheme, for each selected NP, an Action Plan and Detailed Project Report of works for providing basic amenities along with a Master Plan, were to be prepared.	The required Plans and DPRs were to be prepared by an experienced Architect/ Town Planner, for onward submission and approval of the State Government. The appointment of Architect/Town Planner was to be done by a committee headed by the District	The planning process indicated that there was no role of NPs in preparation and approval of plans.

⁶ NNs:Jhansi,Mathura-Vrindavan and Moradabad, NPPs:Amroha, Bhadohi, Lakhimpur (Lakhimpur Kheri) & Thakurdwara (Moradabad) and NP Talbehata (Lalitpur).

	March 2018.		Magistrate.	
Smart City Mission	The GoI launched the programme ⁷ in the year 2015 with an objective to promote cities that can provide core infrastructure facilities (such as adequate water supply, sanitation, including solid waste management, efficient urban mobility and public transport, affordable housing, energy efficient street lighting <i>etc.</i>) and give a decent quality of life to its citizens.	Under the programme, cities were required to prepare Smart City Proposal (SCP) containing the vision, plan for mobilisation of resources and intended outcomes in terms of infrastructure up-gradation and smart applications. The SCP was to be prepared by using principles of strategic planning process and funds of all Government departments, parastatals, private agencies and the citizens were to be dovetailed during the process of preparing the SCP. At the State and National levels, a High-Powered Steering Committee and an Apex Committee, headed by the Chief Secretary, GoUP and the Secretary MoHUA respectively, were to be constituted for approval of SCP. Besides, SCP was to be forwarded to these Committees after approval of Council of concerned ULB.	As per provisions of guidelines, the task of preparation of SCP was entrusted to consulting firms and a panel of consulting firms was decided by the MoHUA for this purpose. Further, a Special Purpose Vehicle (SPV), incorporated under the Companies Act, 2013, was to be constituted for each selected city to plan, appraise, approve, release funds, implement, manage, operate, monitor and evaluate the Smart City development projects. The SPV was to be headed by a full time CEO and have nominees of Central Government, State Government and ULB on its Board.	The State Government constituted (July 2015) a taskforce in the chairmanship of Municipal Commissioner and District Magistrate for preparation of SCP in respect of cities of NNs and NPPs respectively. Besides, the State Government decided (April 2016) to constitute SPVs under the chairmanship of Divisional Commissioner and District Magistrate for the cities of NNs and NPPs respectively and nominated MC/Chief Development Officer as a CEO of these SPVs. Audit observed that the 10 cities/NNs of State were selected under the programme as of March 2020 and their SCPs were prepared by the consulting firms with active participation of Regional Centre for Urban and Environmental Studies (nominated as resource center) and stake holders (Citizens, heads of various Government departments <i>etc.</i>) under the direction of MC. Thus, planning process indicated that there was no active role of ULBs in preparation of SCP. It was also affirmed by the fact that out of three test-checked NNs (selected under Smart City Mission), SCP was presented in the Council of NN Jhansi only for obtaining required approval and that was too through by-circulation method.

(Source: Director, Local Bodies and Test-Checked ULBs)

It is evident from above that either the ULBs lack autonomy in planning for function delivery under Centrally and State sponsored schemes or they did not play required role in planning process of these schemes.

The UD Department did not provide (November 2022) specific reply to audit observations.

⁷ 10 cities (Agra, Aligarh, Bareilly, Jhansi, Kanpur, Lucknow, Moradabad, Prayagraj, Saharanpur and Varanasi) of the State were selected between March 2017 and January 2018 under the programme.

5.2.2 Role of parastatals in planning for function delivery

With the implementation of 74th Constitutional Amendment Act, ULBs were vested with the constitutional right for planning of the function delivery, in respect of functions stated to have been devolved to them. However, due to involvement of parastatals in planning process of function delivery, there was no role of ULBs in planning. The role of parastatals in planning of function delivery of selected two functions is detailed in **Table 5.3** below:

Table 5.3: Role of parastatals in planning of selected functions

Name of function	Role of parastatals in planning for function delivery
<p>Water supply for domestic, industrial and commercial purpose</p>	<p>In terms of UPMC Act and UPM Act, it is an obligatory duty of the ULBs to provide quality potable water of required quantity, to all residents under their jurisdiction for meeting its requirement of drinking and other domestic uses, industry, recreation and various public uses. However, the State Government established (June 1975) a Corporation, namely Uttar Pradesh <i>Jal Nigam</i> (UPJN), for the planning, preparation, execution, promotion and financing the schemes for the supply of water in the jurisdiction of ULBs under the provisions of the Uttar Pradesh Water Supply and Sewerage Act, 1975.</p> <p>The said Act also provided for establishment of <i>Jal Sansthan</i>s in the area of ULBs for improving the water supply services and to fulfil obligations of ULBs in this respect. In this regard two <i>Jal Sansthan</i>s, established for serving the people of both urban and rural area of Chitrakoot and Jhansi region of the State, involved in delivery of water supply services in the areas of ULBs of these regions.</p> <p>Further, the State Urban Development Agency (SUDA), established (November 1990) as nodal agency under Urban Employment and Poverty Alleviation Department, to draw up plans and formulate schemes for upliftment of urban poor in the State, was also entrusted for planning and delivery of water supply services in slum areas of ULBs.</p> <p>Thus, planning for delivery of water supply services rested mainly with UPJN and there was no role of ULBs in planning, financing and execution of projects of water supply except providing required land for projects to executive agency. UPJN was involved in even planning for providing water connection in ULBs of AMRUT cities.</p>
<p>Public health, sanitation conservancy and solid waste management</p>	<p>As per the provisions of the Uttar Pradesh Water Supply and Sewerage Act, 1975, powers related to the preparation, execution, promotion and financing the schemes for sewerage and sewage disposal were also vested with the UPJN. It was also entrusted for planning activity of providing sewer connections in ULBs of AMRUT cities.</p> <p>Apart from above, for planning and execution of projects related to establishment of processing plant and land fill sites of Solid Waste Management Projects, Construction & Design Service (a wing of UPJN) was nominated as executive agency by the State Government. ULBs role was limited to only management of manpower, operation & maintenance of vehicles <i>etc.</i> under solid waste management and sanitation activities.</p>

(Source: Director, Local Bodies)

Thus, UPJN was an apex body for planning for delivery of selected functions and was entrusted to provide all necessary services of selected functions to ULBs. ULBs did not have role in planning of the selected functions.

The UD Department accepted (November 2022) the audit observations.

5.3 Execution of functions

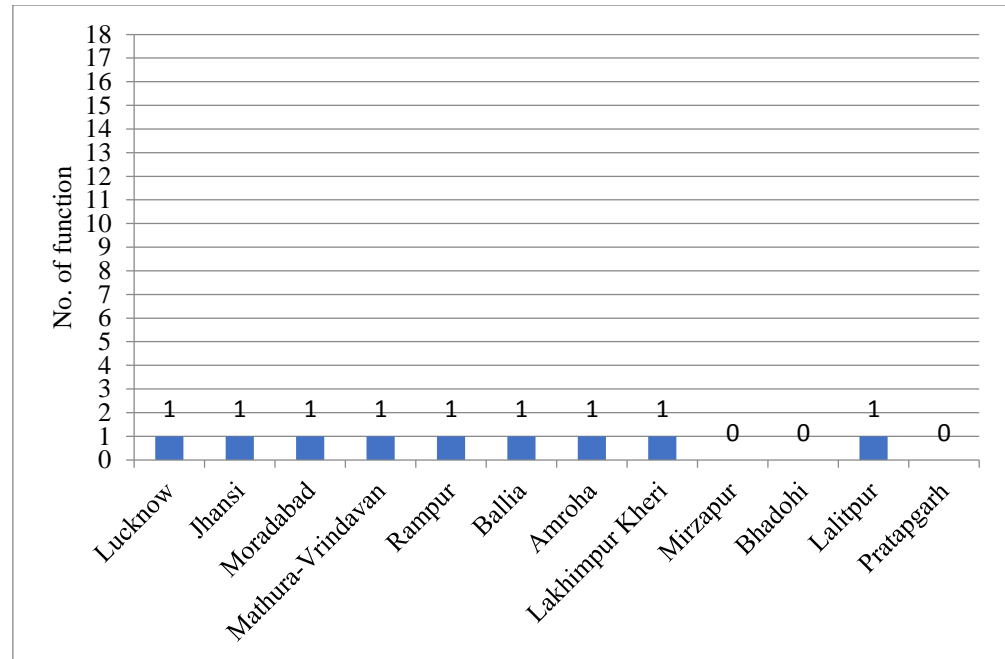
In addition to ULBs, the UD Department has many key parastatal agencies that deliver or facilitate urban infrastructure and services such as UPJN, Uttar Pradesh State Ganga River Conservation Authority, Energy Efficiency Services Limited, SUDA, various SPVs *etc.* The other parastatals such as Development Authorities (24), *Awas Evam Vikas Parishad* (130 units) & Regulated Area Authorities (72) and UP State Industrial Development Authority, under the departments of Housing & Urban Planning and Industries & Commerce respectively also deliver urban services. The details of parastatals and their functions are detailed in **Appendix-VIII**.

5.3.1 Functions under control of ULBs

For establishment of effective institutions of local self-government, control of ULBs over delivery of devolved functions is essential. The ULBs should have authority in execution of projects related to 18 specific functions of 12th schedule of the Constitution.

However, Audit observed that despite the functions stated to have been devolved to ULBs, Government departments/parastatals were handling many functions. An illustrative example of functions under control of test-checked city based ULBs are detailed in **Appendix-III** and shown in **Chart 5.1** below.

Chart 5.1: Functions under control of ULBs



Thus, no role of ULBs in delivery of many devolved functions, undermined the efficacy of devolution.

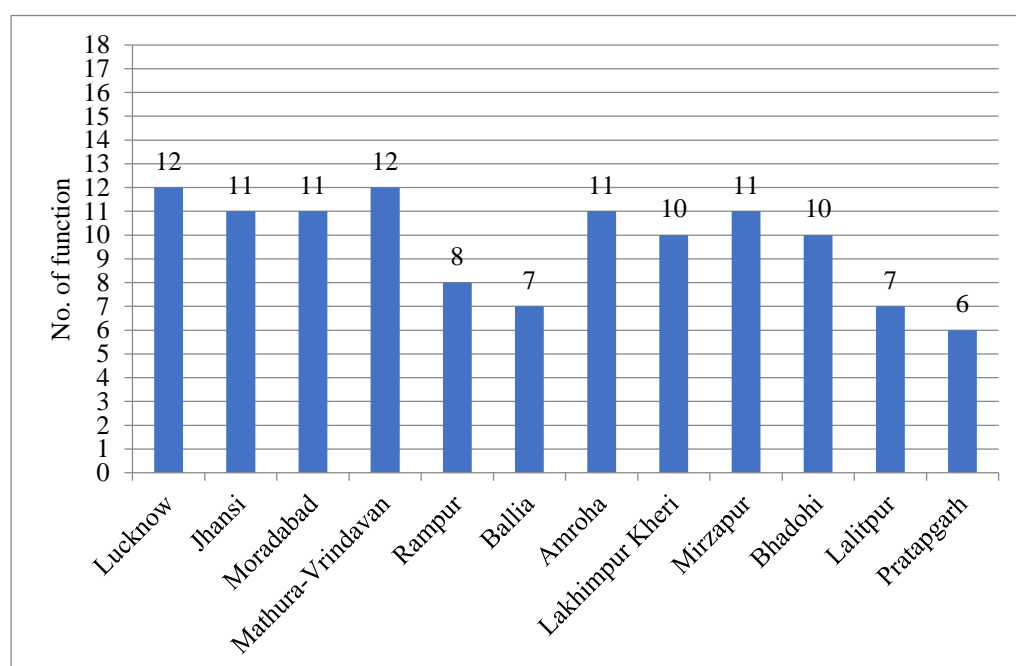
The UD Department replied (November 2022) that the required action in this regard has been taken from time to time, considering the ability and financial status of ULBs to handle the functions.

5.3.2 Functions under control of multiple agencies

In an ideal situation, ULBs, being an institution of urban local government, should have complete control over execution of all functions in the city area. All the agencies/parastatals working in the jurisdiction of a city, should report to ULBs and work under its direction. Therefore, the permission for implementation of projects related to 18 functions should be taken from the ULBs by the State Government departments/parastatal bodies.

However, contrary to above, parastatals had prominent role in delivery of many functions. Even, ULBs did not have any authority regarding their selection, allotment and deciding scope of work, funding *etc.* An illustrative example of functions under control of multiple agencies in test-checked city based ULBs are detailed in **Appendix-III** and shown in **Chart 5.2** below.

Chart 5.2: Functions under control of multiple agencies



Thus, lack of control of ULBs over delivery of many functions was not in consonance with the extent of provisions of 74th Constitutional Amendment Act. Besides, presence of multiple agencies may also create coordination related problems.

The UD Department replied (November 2022) that the required action in this regard has been taken from time to time, considering the ability and financial status of ULBs to handle the functions.

5.3.3 Overriding powers of the Government authorities

Audit observed that the Government authorities had many overriding powers in respect of execution of functions of ULBs as detailed below:

- Under the provisions of MSW Rules, District Magistrate/Divisional Commissioner was made responsible to review the compliance of these Rules by ULBs on quarterly basis.
- As per the State Government orders (October 2012), drainage works valuing up to ₹ 50 lakh, ₹ 25 lakh and ₹ 5 lakh was to be executed by the NN,

NPP and NP respectively on its own, however, works of over and above cost of these values were to be executed by the Construction & Design Services of UPJN. Audit noticed cases where ULBs divided drainage projects of higher values and executed the same themselves.

- Under the State sponsored schemes, released funds for ULBs were to be drawn from treasury only after signing of bill by the District Magistrate. Besides, works under state sponsored schemes were to be executed after approval of the District Magistrate.
- Under *Swachh Bharat Mission*, works were to be executed after approval of a committee headed by the Divisional Commissioner and District Magistrate in respect of NNs and NPPs & NPs respectively.
- The District Magistrate was also authorised to check the quality of works carried out by ULBs under the CFC & SFC grants, Infrastructure Development Fund etc.

Thus, overriding powers of Government authorities in respect of execution of works by ULBs, restricted the autonomy of ULBs.

The UD Department stated (November 2022) that the required directions would be issued in this regard.

5.3.4 Role of ULBs in execution of selected functions

With the implementation of 74th Constitutional Amendment Act, ULBs were vested with the constitutional right for planning, designing, implementation and operation & maintenance of Water supply and Public health; sanitation; conservancy & solid waste management projects to provide basic amenities for public uses. The role of ULBs in execution of projects related with selected functions has been discussed in succeeding paragraphs:

Water Supply services

As discussed earlier in *paragraph no 5.2.2*, the State Government established UPJN, for the planning, preparation, execution, promotion and financing the schemes related with the water supply under the jurisdiction of ULBs and also nominated UPJN as executive agency for implementation of projects related to water supply.

The State Government also established (June 1975) five *Jal Sansthans* for big cities of the State *viz.*, Agra, Kanpur, Lucknow, Prayagraj and Varanasi under jurisdiction of respective NNs and two *Jal Sansthans* for Chitrakoot⁸ and Jhansi region as an independent body for improving the water supply services and to fulfil obligations of ULBs in this respect. However, *Jal Sansthans* of five big cities were dissolved (February 2010) and converted into *Jalkal vibhag* under administrative control of respective NNs. Remaining *Jal Sansthans* of Jhansi and Chitrakoot region, headed by the concerned Divisional Commissioner, continued to work independently and were not merged into ULBs. *Jal Sansthan* of Jhansi was providing water supply service in nine⁹ out of 50 test-checked ULBs.

⁸ Carved out from Jhansi Jal Sansthan during April 1999 for providing water supply services to the districts of Banda, Chitrakoot, Hamirpur and Mahoba.

⁹ NN Jhansi, NPPs: Chirgown, Gursarai & Mauranipur (Jhansi) & Lalitpur and NPs: Kathera & Ranipur (Jhansi), Pali & Talbehat (Lalitpur).

It was observed that execution of projects related with water supply was assigned to UPJN and role of ULBs was limited to operation and maintenance of water supply projects. Further, UPJN was also assigned to provide water connections to city based ULBs covered under AMRUT scheme whereas in remaining ULBs, water connections were provided by the ULBs. In Jhansi and Chitrakoot region, water connections were provided by Jal Sansthan instead of ULBs.

Thus, it is evident from above that there was no role of ULBs in execution of projects related with water supply and their role was limited to O&M of projects.

Public health, sanitation, conservancy & solid waste management

As discussed earlier in *paragraph no 5.2.2*, the State Government established UPJN for preparation, execution, promotion and financing the schemes for sewerage and sewage disposal. Further, UPJN was also entrusted for providing sewer connections in ULBs covered under AMRUT scheme.

It was also observed that there were 104 Sewer Treatment Plants (STPs) having capacity of 3298.84 MLD in the State, out of which, 71 STPs were of UD Department. Prior to June 2019, the O&M of STPs of UD Department was done by the UPJN and O&M of sewerage network of these STPs was under control of the concerned ULBs. However, audit observed that due to inability of ULBs and UPJN in proper maintenance of sewerage network and STPs respectively, O&M of both STPs and sewerage network were outsourced (June 2019) to private firms by the State Government. Responsibility of payment to private firms for their services was also given to the Director (LB) from the SFC grants of ULBs on the basis of evaluation of performance of private firms by the concerned ULBs.

Besides, for planning and execution of projects related to establishment of processing plant and land fill sites of Solid Waste Management Projects, Construction & Design Services (a wing of UPJN) was nominated as executive agency by the State Government. Audit observed that out of test-checked ULBs, processing plant facility of MSW was available in only three NNs (Lucknow, Mathura and Moradabad). The O&M of processing plant and land fill sites along with door to door collection and transportation of MSW in these test-checked NNs, was also outsourced to private player by Construction & Design Services (C&DS) through a tripartite agreement¹⁰. Role of ULBs was limited to monitoring of work and payment of tipping fee to private player from the amount of user charges collected by private players. Besides, ULBs role in these test-checked NNs also involved management of manpower for street sweeping & desilting of drains and operation & maintenance of vehicles & equipment under solid waste management and sanitation activities. In remaining test-checked ULBs, activities related with street sweeping & desilting of drains along with door to door collection and transportation of MSW to dumping sites were being performed by concerned ULBs.

Further, as per the State Government order (September 2017), a Clean Environment Promotion Committee (CEPC) was to be constituted in each

¹⁰ Having C&DS, ULB and Private player as parties of agreement.

ward of ULBs to ensure complete sanitation in the ward area and to make aware & mobilise residents for this purpose. Further, meetings of CEPC were to be held every month to draw strategies for proposed sanitation works. Audit observed that in only 21 test-checked ULBs¹¹ CEPC was constituted, though, meetings of CEPC in these ULBs were not held on regular basis. It indicated laxity of ULBs in ensuring sanitation.

Thus, there was limited role of ULBs in execution of projects related with sewerage and SWM, though, they were engaged with sanitation, door to door collection and transportation of MSW to dumping sites *etc.*

Apart from above, it was also observed that under Smart City Mission, projects related with selected functions (as detailed in **Appendix-IX**) were implemented in three test-checked ULBs (NNs: Jhansi, Lucknow and Moradabad) by the concerned SPVs. It indicated that there was overlapping of activities between NNs and SPVs in implementation of selected functions.

The UD Department replied (November 2022) that for better execution of projects, parastatals have been roped in for performing the functions.

5.4 Status of effectiveness of selected functions

The Central Public Health and Environment Engineering Organisation (CPHEEO) under the MoHUA, GoI, had suggested (February 2009) Service Level Benchmarks (SLB) for four service sectors *viz.* Water supply, Sewerage disposal, Solid Waste Management & Storm Water Drainage *etc.* These benchmarks were accepted (February 2016) by the State Government and ULBs were required to provide related services according to the SLB. The status of compliance¹² of SLB by test-checked ULBs has been discussed in succeeding paragraphs:

Water Supply Services

Out of 707 ULBs in the State as on March 2020, piped drinking water supply facility was available in only 642 ULBs, resulting in unavailability of piped drinking water supply services in 65 ULBs. Besides, out of test-checked ULBs, piped drinking water supply service was not available in three NPs¹³. Requirements of drinking water were met through hand pumps, bore well, *etc.*

Further, Audit observed that none of the test-checked ULBs provided water supply services according to the norms of SLB. The status of achievement of SLB in the year 2018-19 for the test-checked ULBs, has been detailed in **Appendix-X** and summarized in **Table 5.4** below:

¹¹ NPPs: Amroha, Bachhraon (Amroha), Belha Pratapgarh (Pratapgarh), Bhadohi, Bilari (Moradabad), Kosikalan (Mathura), Lakhimpur (Lakhimpur kheri), Lalitpur, Mirzapur, Palia Kalan (Lakhimpur Kheri), and Sirsaganj (Firozabad) & NPs: Chhata (Mathura), Gokul (Mathura), Gyanpur (Bhadohi), Joya (Amroha), Kachhwa (Mirzapur), Khamaria (Bhadohi), Kheri (Lakhimpur Kheri), Naugawan Sadat (Amroha), Talbehata (Lalitpur) and Oel Dhakwa (Lakhimpur Kheri).

¹² As status of achievement of SLB against targets were not available for the year 2019-20 at the time of audit, status of achievement in the year 2018-19 has been commented upon.

¹³ Bakshi ka Talab (Lucknow), Bairiya (Ballia) and Pakbara (Moradabad).

Table 5.4: Showing achievement of SLB on water supply services by test-checked ULBs during the year 2018-19

Sl. No.	Indicator	Benchmark	No. of ULBs achieved the benchmark	Details of ULBs, where benchmark were achieved
1	Coverage of water supply connections	100 per cent	01	NP: Gyanpur (Bhadohi)
2	Per capita supply of water	135 liters	10	Two NNs (Lucknow & Moradabad), Four NPPs ¹⁴ and Four NPs ¹⁵
3	Extent of non-revenue water	20 per cent	21	NN Mathura-Vrindavan, 12 NPPs ¹⁶ and eight NPs ¹⁷
4	Extent of metering of water connection	100 per cent	None (In only five test-checked ULBs ¹⁸ meters were installed but were not functional.)	--
5	Continuity of water supplied	24 hours	None	--
6	Quality of water supplied	100 per cent	26	Three NNs except Jhansi, 14 NPPs ¹⁹ and Nine NPs ²⁰
7	Cost recovery in water supply services	100 per cent	None	--
8	Efficiency in collection of water supply related charges	90 per cent	09	NN Mathura-Vrindavan & four NPPs ²¹ and NPs ²² each
9	Efficiency in redressal of customer complaints	80 per cent	32	All NNs, 18 NPPs ²³ and 10 NPs ²⁴

(Source: Director, LB)

Thus, none of the test-checked ULBs were providing water supply services according to SLB, which indicated that water supply services in test-checked ULBs were inadequate.

Public health, sanitation, conservancy & solid waste management

Out of 707 ULBs in the State as on March 2020, sewerage services was available in only 63 ULBs and that too only partially. Besides, out of test-

¹⁴ Bilari (Moradabad), Belha Pratapgarh (Pratapgarh), Lakhimpur (Lakhimpur Kheri) and Mirzapur.

¹⁵ Fariha (Firozabad), Joya (Amroha), Talbehat (Lalitpur) and Umri Kalan (Moradabad).

¹⁶ Amroha, Ballia, Bachhraon (Amroha), Belha Pratapgarh (Pratapgarh), Bhadohi, Bilari (Moradabad), Gursarai (Jhansi), Lalitpur, Lakhimpur (Lakhimpur Kheri), Mauranipur (Jhansi), Mirzapur and Swar (Rampur).

¹⁷ Chhata (Mathura), Gyanpur (Bhadohi), Katra Medniganj (Pratapgarh), Kheri (Lakhimpur Kheri), Oel Dhakwa (Lakhimpur Kheri), Ranipur (Jhansi), Talbehat (Lalitpur) and Umri Kalan (Moradabad).

¹⁸ NN Jhansi, NPPs: Lakhimpur (Lakhimpur Kheri) and Mauranipur (Jhansi) and NPs: Ranipur (Jhansi) and Talbehat (Lalitpur).

¹⁹ Bachhraon (Amroha), Belha Pratapgarh (Pratapgarh), Bhadohi, Bilaspur (Rampur), Bilari (Moradabad), Lalitpur, Lakhimpur (Lakhimpur Kheri), Mauranipur (Jhansi) Mirzapur, Sirsaganj (Firozabad), Rasra (Ballia), Swar (Rampur), Thakurdwara (Moradabad) and Tundla (Firozabad).

²⁰ Gyanpur (Bhadohi), Fariha (Firozabad), Kachhwa (Mirzapur), Katra Medniganj (Pratapgarh), Maswasi (Rampur), Ranipur (Jhansi), Shahabad (Rampur), Talbehat (Lalitpur) and Umri Kalan (Moradabad).

²¹ Ballia, Belha Pratapgarh (Pratapgarh), Bilari (Moradabad) and Lakhimpur (Lakhimpur Kheri).

²² Chhata (Mathura), Fariha (Firozabad), Gyanpur (Bhadohi) and Joya (Amroha).

²³ Except Chirgaon (Jhansi), Kosikalan (Mathura) and Palia Kalan (Lakhimpur Kheri).

²⁴ Chhata (Mathura), Gyanpur (Bhadohi), Fariha (Firozabad), Katra Medniganj (Pratapgarh), Maswasi (Rampur), Naugawan Sadat (Amroha), Oel Dhakwa (Lakhimpur Kheri), Ranipur (Jhansi), Talbehat (Lalitpur) and Umri Kalan (Moradabad).

checked ULBs, sewerage facility was available with only four ULBs (NNs: Lucknow, Mathura-Vrindavan and Moradabad and NPP Rampur).

Under solid waste management facility, processing plant was established in only 32 ULBs, out of which, only 15 processing plants were functional as on January 2021. Similarly, out of 50 test-checked ULBs, processing plant facility was available with only three ULBs (NNs Lucknow, Mathura-Vrindavan and Moradabad). Though, the remaining test-checked ULBs were providing sanitation and door to door collection of MSW & transportation of collected waste to dump sites, however, in absence of processing facility, scientific disposal of solid waste was not being done in environmentally sound manner, resulting in non-compliance of MSW Rules 2016.

Further, Audit observed that none of the test-checked ULBs provided MSW services according to the norms of SLB. The status of achievement of SLB in test-checked ULBs during the year 2018-19, has been detailed in **Appendix-XI** and summarised in **Table 5.5**:

Table 5.5: Showing achievement of SLB on SWM services by test-checked ULBs during the year 2018-19

Sl. No.	Indicator	Benchmark	No. of ULBs, achieved the benchmark	Details of ULBs, where benchmark were achieved
1	Household level coverage of solid waste management services	100 per cent	13	NN: Moradabad and six NPPs ²⁵ & NPs ²⁶ each
2	Efficiency of collection of municipal solid waste	100 per cent	26	NN: Moradabad, 13NPPs ²⁷ and 12NPs ²⁸
3	Extent of segregation of municipal solid waste	100 per cent	None	--
4	Extent of municipal solid waste recovered	80 per cent	02	NN: Moradabad and NP: Pakbara (Moradabad).
5	Extent of scientific disposal of municipal solid waste	100 per cent	03	NN: Mathura-Vrindavan, NPP: Rampur and NP: Maswasi (Rampur).
6	Efficiency in redressal of customer complaints	80 per cent	38	All NNs and 17 NPPs ²⁹ & NPs ³⁰ each.
7	Extent of cost recovery in SWM services	100 per cent	None	--
8	Efficiency in collection of SWM charges	90 per cent	01	NN: Lucknow

(Source: Director, LB)

²⁵ Bachhraon (Amroha), Bilari (Moradabad), Bilaspur (Rampur), Rampur, Swar (Rampur) and Thakurdwara (Moradabad).

²⁶ Chhata (Mathura), Fariha (Firozabad), Kheri (Lakhimpur Kheri), Pakbara (Moradabad), Ranipur (Jhansi) and Talbehat (Lalitpur).

²⁷ Amroha, Bachhraon (Amroha), Bilaspur (Rampur), Bilari (Moradabad), Gursarai (Jhansi), Lakhimpur (Lakhimpur Kheri), Mauranipur (Jhansi), Mirzapur, Rasra (Ballia), Sirsaganj (Firozabad), Swar (Rampur), Thakurdwara (Moradabad) and Tundla (Firozabad).

²⁸ Bakshi Ka Talab (Lucknow), Chhata (Mathura), Fariha (Firozabad), Gyanpur (Bhadohi), Joya (Amroha), Katra Medniganj (Pratapgarh), Kachhwa (Bhadohi), Maswasi (Rampur), Pakbara (Moradabad), Ranipur (Jhansi), Shahabad (Rampur) and Talbehat (Lalitpur).

²⁹ Amroha, Bachhraon (Amroha), Ballia, Belha Pratapgarh (Partapgarh), Bhadohi, Bilari (Moradabad), Bilaspur (Rampur), Gursarai (Jhansi), Lakhimpur (Lakhimpur Kheri), Lalitpur, Mauranipur (Jhansi), Mirzapur, Rasra (Ballia), Swar (Rampur), Sirsaganj (Firozabad), Thakurdwara (Moradabad) and Tundla (Firozabad).

³⁰ Bakshi Ka Talab (Lucknow), Chhata (Mathura), Eka (Firozabad), Fariha (Firozabad), Gyanpur (Bhadohi), Joya (Amroha), Katra Medniganj (Pratapgarh), Kheri (Lakhimpur Kheri), Maniyar (Ballia), Maswasi (Rampur), Naugawan Sadat (Amroha), Oel Dhakwa (Lakhimpur Kheri), Pakbara (Moradabad), Ranipur (Jhansi), Shahabad (Rampur), Talbehat (Lalitpur) and Umri Kalan (Moradabad).

Audit further observed due to partially availability of sewerage services in four test-checked ULBs, none of these ULBs had provided sewerage services according to SLB as coverage of sewage network, collection efficiency of sewage network, adequacy of sewage treatment capacity and, quality of sewage treatment were not up to mark.

Thus, non-compliance of SLB, indicated that services provided by ULBs was not satisfactory.

The UD Department stated (November 2022) that the required directions would be issued to ULBs for ensuring further action in this regard.

Recommendation 6:

Service Level Benchmarks for improving service delivery system under Water Supply, Sanitation & Sewerage services and Solid Waste Management should be strictly adhered to.

5.5 Conclusion

Funds for execution of projects related with selected functions under Centrally and State sponsored schemes were routed through parastatals. The role of ULBs in planning and execution for delivery of selected functions under Centrally and State sponsored schemes was minimal. The role of ULBs in execution of selected functions was only limited to operation and maintenance. Many parastatals were performing the functions of ULBs. The State Government and its functionaries had overriding powers over ULBs in execution of devolved functions. Delivery of selected functions fell short of service level benchmarks.