



The Urban Transport Governance Initiative (TGI) Toolkit: Pilot from Karnataka's Cities

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Introduction

The Transport Governance Initiative (TGI) aims at assessing the quality of governance in the urban transport sector. A widely-accepted framework has been used here, which encompasses Transparency, Accountability, Participation, and Capacity (TAP-C). This pilot study focused on assessing urban transport governance in Karnataka, using the Transport Governance Indicator (TGI) Assessment Toolkit prepared by the World Resources Institute (WRI) and Pune-based Parisar. The toolkit consists of 6 different functional categories of governance-policy, planning, standards, execution, budgeting and regulation, along with several sub-indicators aimed at developing a framework for assessing governance and decision-making in the urban transport sector.

Methodology

Two different-sized cities – Bengaluru and Mysuru with varied institutional arrangements for urban transport, were chosen for the pilot study of the TGI toolkit in Karnataka. The methodology of the study was to assess the TGI indicators by choosing an organization, policy, project, standard, regulator, executive authority or a plan from each of the selected cities as it related to urban transport. The assessment was based on an analysis of documents, interviews and discussions held with relevant officials from the selected cities. The analysis was based on a guidance assessment provided by WRI, and our own judgement. While for Bengaluru, the assessment was carried out for all the 6 indicators--policy, planning, standards, execution, budgeting and regulation, for Mysuru the assessment was done for four indicators -- policy, executive authority, budget and regulatory authority. Planning was excluded from the assessment in Mysuru due to non-availability of data and we could not assess standards as the Mysuru city corporation claimed standards were not implemented as per any set guidelines.

We found Bengaluru has an elaborate institutional and organisational arrangement in place for urban transport. Besides, the city has one of the largest fleets of public transport managed by Bangalore Metropolitan Transport Corporation (BMTTC) with clearly laid down norms and standards for transport services. Similarly, Mysuru has a well-established network of governance for urban transport in the city.

Table 1 describes the characteristics/major components of the urban transport sector in Bengaluru and Mysuru based on which our pilot assessments were conducted. The table presents description and identification of major transport services by various governance functions such as policy, planning, standards and regulatory agencies, and so forth. The table summarizes the agencies/departments/plans chosen for the pilot. Of the seemingly exhaustive list presented in Table 1, we selected a sub-set of agencies/institutions cutting across various governance functions, as they apply to urban transport eco-system in the two cities. The hierarchy of transport governance outlines the structure, jurisdiction and functions of transport departments, offices, ministry concerned and other executing agencies like traffic-police by mode and level which helped to identify institutions/processes/plans/policies to be covered.

We chose a combination of indicators to represent transparency, accountability, participation and capacity, both for Bengaluru and Mysuru, which are summarized and assessed here. This policy brief presents the state of urban transport governance in Karnataka, by comparing the two cities which were studied, based on the TAP-C framework, and summarizes our overall meta findings.

Transparency

Of the six functional areas of governance that were studied, certain indicators were selected to reflect transparency. Table 2 summarizes these indicators of transparency. We found that Mysuru's urban transport governance is the same or better than that in Bengaluru (see Table 2). The aspects in which Mysuru's urban transport governance is better, relate to reporting by the executive authority (which, in the case of Mysuru, is KSRTC), project selection (Intelligent Transport Systems (ITS)), transparency during project execution, and publication of performance. Specifically, ITS is a project claimed to be highly successful in Mysuru, given the size of the city and the positive benefits and synergies the project seems to be unleashing. The instance was cited of a commuter who lost her jewels in the bus, and the ITS greatly facilitated the prompt repatriation to this commuter her assets. Aspects regarding which the two cities are more or less the same relate to project specification, legislative review, budget reallocation and clarity in functioning of the regulatory authority (which, in

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the case of Mysuru, is KSRTC). With regard to transparency in the working of the policy making body, we found that Mysuru was better, since the council meetings were open to feedback from various stakeholders which, in the case of Bengaluru, appeared quite dubious. Not surprisingly, our assessment regarding transparency in the working of the policy making body in Bengaluru (i.e., Bruhat Bengaluru Mahanagara Palike) indicates a low score. On the other hand, governance in smaller cities may be expected to be better since projects can be executed more easily with reporting by the executive authority being more transparent.

Accountability

Similarly as with transparency, of the six functional areas of governance that were studied, certain indicators were selected to reflect accountability. Accountability indicators were assessed at two levels (i) People; and (ii) Institutions. We found that Mysuru's transport governance was the same or better than that of Bengaluru in respect of 7 out of 10 indicators (see Table 3). With regard to the various aspects of accountability, Mysuru's processes scored better than those of Bengaluru. This may have been due to a more effective implementation of projects (ITS in Mysuru compared with the Traffic and Transport Management Service Centres (TTMCs) in Bengaluru) and performance with respect to regulatory decisions. The aspects in which accountability is more or less the same across the two cities relate to parking policy, performance based reporting, post-implementation review, and the budgeting process.

Participation

As with transparency and accountability, of the six functional areas of governance that were studied, certain indicators were selected to reflect public participation. Table 4, which compares participation across the two cities regarding urban transport governance, indicates an interesting

finding. Mysuru is exactly the same as Bengaluru with regard to all aspects of public participation, and is actually better than Bengaluru with respect to public consultation on regulatory decision making. Our analysis indicates that public participation in policy making in Bengaluru scores a low rating. On the other hand, Mysuru, even with its elaborate institutional structure for urban transport, is able to integrate and absorb public participation in a much more comparatively inclusive manner. This is easy to understand, as Mysuru is a much smaller city, it is possible to involve all stakeholder groups in the decision making process, while Bengaluru's urban transport governance processes (primarily the parking policy) do not presumably make way for as much public participation in the form of inviting the public to council meetings and sharing the minutes of such meetings publicly.

Capacity

Finally, there were several indicators chosen to represent capacity, as with the others for transparency, accountability and public participation (see Table 5). On capacity, we found that, Mysuru's capacity, surprisingly, is the same or better than that of Bengaluru in several aspects out of which, the capacity of the policy making body, executing authority, and the capacity for strategy and planning is much better in Mysuru. However, understandably, Mysuru being a smaller city, has lesser capacity than that of Bengaluru in terms of carrying out the environmental and social impact assessments, and the autonomy and mandate of the regulatory authority.

Overall Rating of Urban Transport Governance: Bengaluru

For Bengaluru, the overall parking policy of BBMP and budgeting by BMTC were rated low, While both pedestrian standards by DULT and regulatory functions by BMTC were rated medium, the processes involved in the preparation of CTPP by DULT and the project implementation process by BMTC were rated as being high (see figure 1).

Table 1: Selection of Agencies, Policies, Events and Projects for Governance Indicators for Bengaluru & Mysuru

Governance Indicators	Agencies / Events / Projects Selected - Bengaluru	Agencies / Events / Projects Selected - Mysore
Policy-Making Body	Bruhat Bengaluru Mahanagarapalike (BBMP): Parking Policy	Mysuru City Corporation: Parking Policy
Regulatory Bodies	BMTC	KSRTC
Standards	DULT: Guidelines for Pedestrian Infrastructure (Version 1)	DULT
Planning Body	DULT (primarily a planning body)	Mysore Urban Development Authority (MUDA)
Executing Authority	BMTC	KSRTC
Budget	BMTC	KSRTC/City Corporation
Policy & Legislation	BBMP	City Corporation –NMT policy
Transparency & Public Participation	BMTC	KSRTC
Environmental Laws	BMTC	KSRTC
Projects	Completed: Traffic and Transit Management Centres (TTMCs)-JNNURM-BMTC	Completed-Intelligent Transport System (ITS)

Source: DULT, Field Study and authors' analyses.

Table 2: Comparative Rating of Transparency, Bengaluru and Mysuru

Indicator	Sub-Indicator	Rating, Bengaluru	Rating, Mysuru
Policy 3	Transparency in the working of Policy making body	*	*
Planning 4	Transparency in the working of planning agency	*	NA
Planning 9	Engagement of consultant/advisory groups	#	NA
Standards 2	Functioning of Standards Organisations	@	NA
Executing Authority 4	Reporting by the executing authority	@	\$
Executing Authority 6	Project Selection	@	^
Executing Authority 8	Project Specification	#	#
Executing Authority 10	Project Contracting	#	@
Executing Authority 14	Transparency during project execution	*	@
Budgeting 4	Legislative review of Budget	*	*
Budgeting 5	Budget re-allocation	*	*
Regulatory Authority 6	Clarity in Functioning	@	@
Regulatory Authority 9	Re-negotiation/termination of Contracts	*	NA
Regulatory Authority 10	Publication of performance	@	#

Source: Authors' assessments based on WRI guidance

Note: * indicates low rating, @ indicates medium rating, \$ indicates medium low, # indicates high rating, ^ indicates medium high

Table 3: Comparative Rating of Accountability: Bengaluru and Mysuru

Indicator	Sub-Indicators	Rating, Bengaluru	Rating, Mysuru
Policy 2	Effective implementation	@	@
Planning 1	Planning Mandate	*	NA
Planning 3	Effective Planning	#	NA
Planning 6	Legislative review of plans	@	NA
Standards 1	Mandate of Standards	*	NA
Executing Authority 2	Effective Implementation	*	^
Executing Authority 3	Performance based	#	#
Executing Authority 11	Project Contract	*	@
Executing Authority 12	Physical audit of projects	#	#
Executing Authority 15	Post-Implementation review	#	#
Executing Authority 18	Env/Social Impact Assessment of Project	#	NA
Budgeting 1	Budget Process	#	#
Budgeting 7	Budget Auditing	@	NA
Regulatory Authority 1	Existence	#	*
Regulatory Authority 7	Tariff Philosophy	#	@
Regulatory Authority 11	Performance	*	#

Source: Pilot Assessments Note: * indicates low rating, @ indicates medium rating, # indicates high rating, ^ medium high

Table 4: Comparative Rating of Participation: Bengaluru and Mysuru

Indicator	Sub-Indicators	Rating, Bengaluru	Rating, Mysuru
Policy 4	Public Participation in Policy Making	*	*
Planning 5	Public Participation in Planning	@	NA
Planning 8	Public Participation in Legislative Review	*	NA
Standards 3	Stakeholders consultations in Standard Setting	@	NA
Executing Authority 7	Public Participation in Project Selection	*	*
Executing Authority 9	Public Participation in Project Specification	*	*
Executing Authority 13	Public Participation in Physical Audits	*	*
Executing Authority 16	Public Participation in Post Implementation Review	*	*
Executing Authority 19	Public Participation in Env/Soc Impact Assessment	*	NA
Budgeting 3	Public Inputs into the Budget	*	*
Budgeting 6	Public Participation in the Re-allocation process	*	*
Regulatory Authority 5	Public Consultation in Regulatory Decision-making	*	#
Regulatory Authority 8	Public Consultation during Tariff Revision	*	*

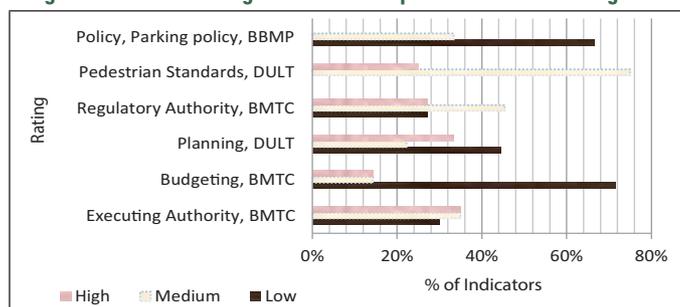
Source: Pilot Assessments Note: * indicates Low rating, @ indicates Medium rating, # High

Table 5: Comparative Rating of Capacity: Bengaluru and Mysuru

Indicator	Sub-Indicators	Rating, Bengaluru	Rating, Mysuru
Policy 1	Mandate and Capacity of the Policy making body	*	#
Planning 2	Capacity of the Planning Agency	#	NA
Planning 7	Capacity of Legislative Committee for Review of Plans	#	NA
Standards 4	Enforcement of Standards	#	NA
Executing Authority 1	Staffing policies and capacity of the Executing Authority	@	#
Executing Authority 5	Capacity for Strategy and Planning	@	#
Executing Authority 17	Capacity for Project Contracting	#	#
Executing Authority 20	Capacity for Carrying out EIA/SIA	@	*
Budgeting 2	Capacity Building	@	*
Regulatory Authority 2	Autonomy and Mandate of the Regulatory Authority	@	\$
Regulatory Authority 3	Capacity of the Regulatory Authority	#	#

Source: Pilot Assessments Note: * indicates Low rating, @ indicates Medium rating, # indicates High rating, \$ Medium-low

Figure 1: Overall rating of Urban Transport Governance: Bengaluru



Source: Pilot assessments

Overall Rating of Urban Transport Governance: Mysuru

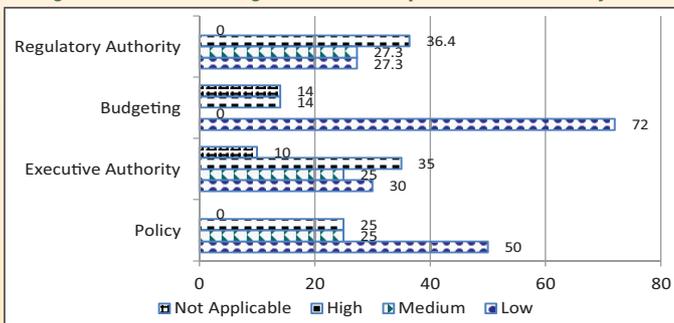
For Mysuru, the overall rating with respect to the regulatory decisions and performance with respect to the implementation of ITS project by KSRTC was high, while the budgeting by KSRTC and policy making by City Corporation, Mysuru, were rated low (see figure 2).

Comparative Rating of Overall Urban Transport Governance in the Selected Cities of Karnataka

Summarizing the overall rating of urban transport governance in the two selected cities of Karnataka (see figure 3), Mysuru scored the same or better than Bengaluru in respect of regulatory, budgeting and executive authority. One possible reason for Mysuru's better performance with

regard to the indicators spanning these three aspects of governance is that KSRTC, chosen in Mysuru, is a parastatal entity, with resources from the state government, whereas, in Bengaluru, BMTC, chosen for studying these aspects of governance, is a corporatized entity. One may argue that corporatized entities are better than parastatal entities in terms of governance, but in terms of implementation, the KSRTC in Mysuru has done a much better job of implementing ITS than its counterpart, TTMC, of BMTC. Further, we found that public participation is much better in the smaller city than in Bengaluru. One example is that we were allowed to sit through a council meeting at the Mysuru City Corporation, where all stakeholder views were publicly discussed and a decision made. This is difficult to expect in a city of the size of Bengaluru, given the coordination involved with various stakeholders. We have made this assessment qualitatively, independent of the scores regarding various indicators.

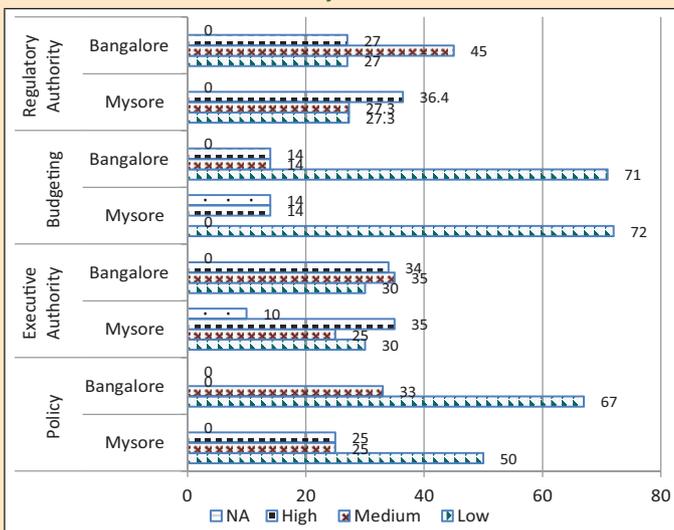
Figure 2: Overall rating of Urban Transport Governance: Mysuru



Source: Pilot Assessments

Note: "0" means no indicators with respect to governance aspect that meet the "high" score/Not applicable category.

Figure 3: Overall rating of Urban Transport Governance, Bengaluru & Mysuru



Source: Pilot Assessments

Note: "0" means no indicators with respect to this governance aspect that meet the "high" score/Not applicable category.

Based on our assessments, we concluded that Mysuru's urban transport governance is much more transparent, accountable, and participatory than in Bengaluru. Nonetheless, accountability of institutions is better than accountability of the agencies to the public in both the cities. This means that the agencies/departments in each of the cities follow the procedural

due processes quite closely, but are not accountable to the public in substantive terms. While capacity is the only dimension in respect of which all agencies rank highly in Bengaluru, Mysuru has some limitations to its capacity, due to its size and resources. Another reason which explains Mysuru's better ranking with respect to the TAP-C indicators, when compared with Bengaluru, is that in Mysuru, parastatal entities such as KSRTC are executing agencies, whereas, in Bengaluru, BMTC is an independent, corporatized entity. A caveat of the study is that if other cities are examined, these findings could be different, if not entirely new.

The original contribution made by this study has been to pilot-test a toolkit for urban transport governance in Karnataka's cities, using the TAP-C framework that has been developed by WRI. Hitherto, there was a toolkit developed for governance of the electricity sector by WRI. This has been the first initiative to understand the governance of urban transport, and has been applied to Karnataka's cities. It is possible to extend the toolkit to advance our understanding of governance in other urban sectors –such as water supply, sanitation or solid waste management, even telecommunications. If we get further funding, we can scale this up to studying urban transport governance in other major cities of the state and the country.

Policy implications

Summarizing, we find that while capacity for urban transport governance is better in the larger city, public participation is better in the smaller city, which is to be expected. Further, accountability to institutions is definitely better in both the cities, when compared with accountability to the public. Transparency is uniformly low across cities of various sizes.

Based on our findings, we recommend increasing the capacity of the smaller cities in terms of human resources, their skills and training. In order to increase the accountability of the urban transport institutions to the public, the institutions should make every possible attempt to substantively involve the public in decision making regarding projects. For instance, one of our findings was that there were few alternative projects that were proposed and discussed, when a flyover or steel bridge was being considered. But increased accountability to the public can happen only through greater transparency. This means that public representatives from leading citizen groups, intellectuals and civil society should be involved in important meetings to decide the course of urban transport projects. Further, the minutes of such meetings should be maintained and be publicized to enable public input and feedback. Information and communications technology may be deployed to foster greater transparency, but this may exclude the marginalized, and those that are unable to access the ICT tools. Hence every attempt should be made to publicize meeting notices in the local language. Such transparency with decision making will go a long way in increasing accountability and public participation in urban transport decision making in a democracy.

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