
A GOOD-GOVERNANCE FRAMEWORK FOR URBAN MANAGEMENT

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PCC6001 | SUSTENTABILIDADE APLICADA AO PLANEJAMENTO E DESENVOLVIMENTO URBANO

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ESTRUTURAÇÃO DO ARTIGO

- INTRODUÇÃO
- METODOLOGIA
- RESULTADOS
- ILUSTRAÇÃO USANDO MUMBAI COMO EXEMPLO
- CONCLUSÃO

1. INTRODUÇÃO

→ DEFINIÇÃO DE *GOOD-GOVERNANCE*

Habilidade da autoridade de governo fazer e impor as leis para promoção dos serviços públicos (*apud* Fukuyama, 2013).

Como o objetivo de uma organização chefe ou um líder global é elevar a qualidade de vida, então é **importante avaliar a performance para distinguir a boa governança** (*apud* Rotberg, 2014).

→ COMPONENTES DO *GOOD-GOVERNANCE*

Para viabilizar esse entendimento, pesquisadores se concentram em aspectos específicos da governança.

Exemplo:

Governança Ambiental:

- Apoio da comunidade;
- Planejamento ecológico;
- Gestão adaptativa;
- Liderança forte.

1. INTRODUÇÃO

→ OUTROS PONTOS:

- Estudos levam em consideração diversos aspectos, como privacidade, segurança, usabilidade, conteúdo, serviços, participação do cidadão, mas negligenciaram os principais componentes, como eficácia e relações intergovernamentais.
- Novos conceitos: sustentabilidade aplicada às cidades inteligentes.

→ HISTÓRICO DE SISTEMATIZAÇÃO:

PNUD (Programa das Nações Unidas para o Desenvolvimento):

- Criou cinco princípios de boa governança que dependem de componentes relevantes para o século XXI;
- Resumiram e publicaram outro guia de usuários que demonstra todas as estruturas de governança amplamente conhecidas em todo o mundo.

1. INTRODUÇÃO

→ OBJETIVOS:

- Investigar as estruturas de governança administrativa existentes para criar um conjunto de componentes comuns que apresentam uma estrutura de base para representar a governança de maneira holística.
- Mostra-se um método que pode ser usado como uma caixa de ferramentas ao medir a governança de uma administração da cidade ou compará-la a outras cidades.

2. METODOLOGIA

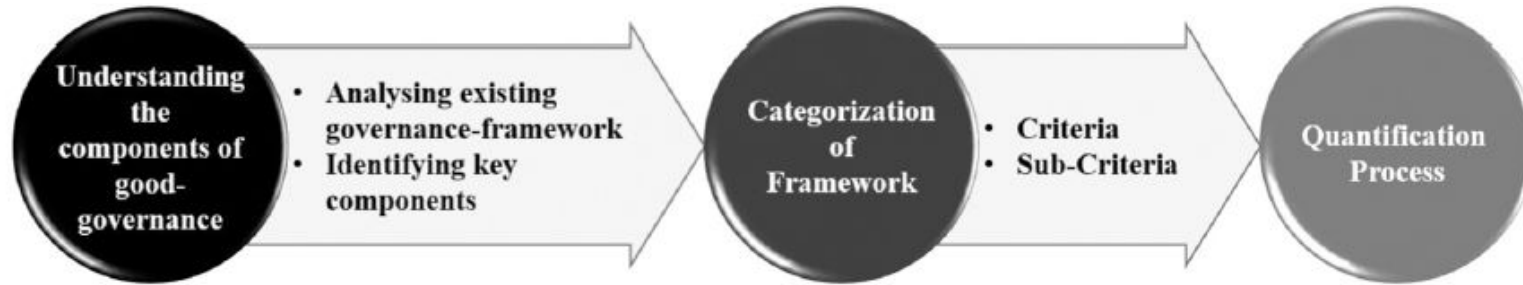
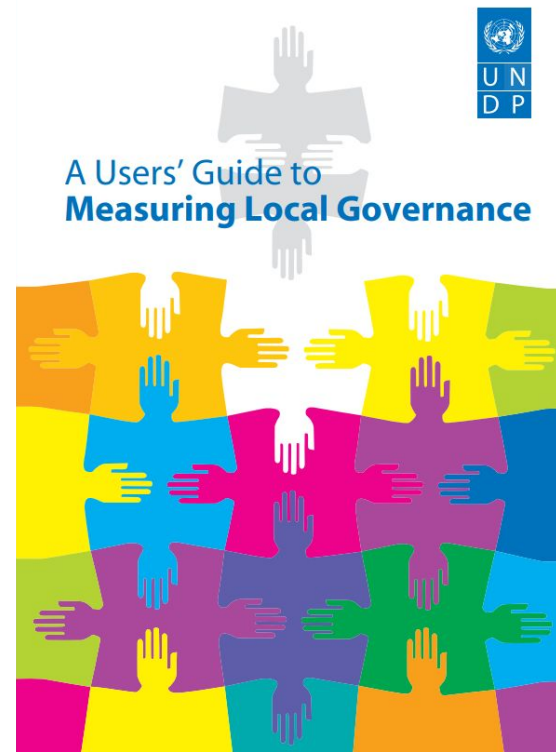


Fig. 1. Methodology followed to establish a good-governance framework.

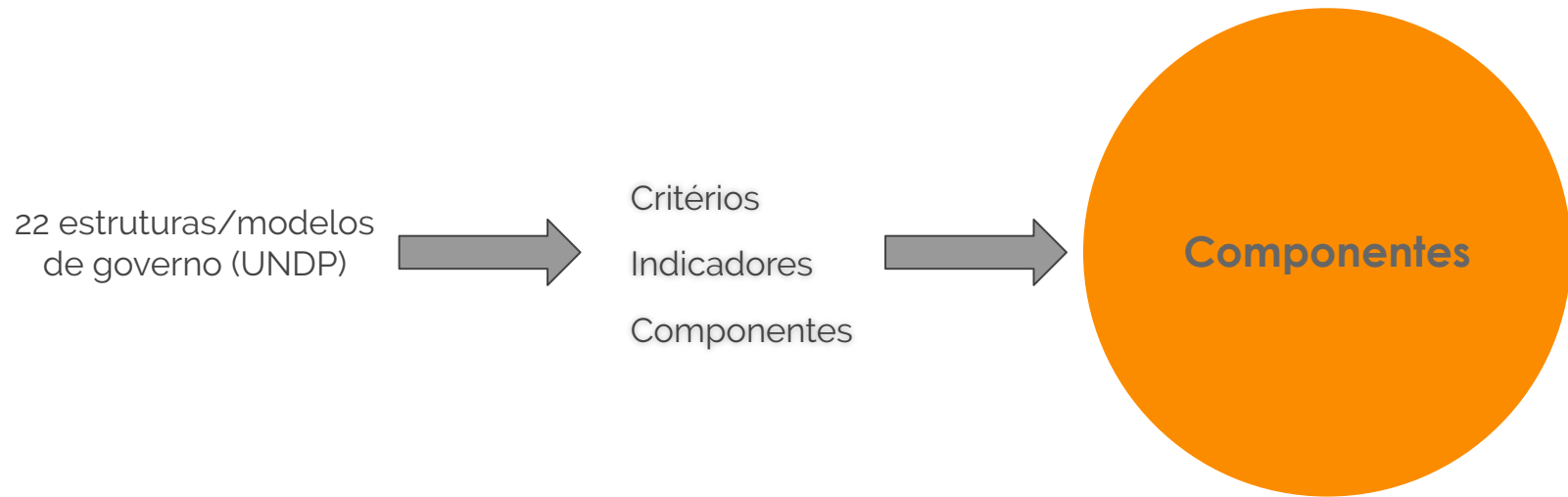
2. METODOLOGIA

United Nations Development Program | A User's Guide to Measuring Local Governance

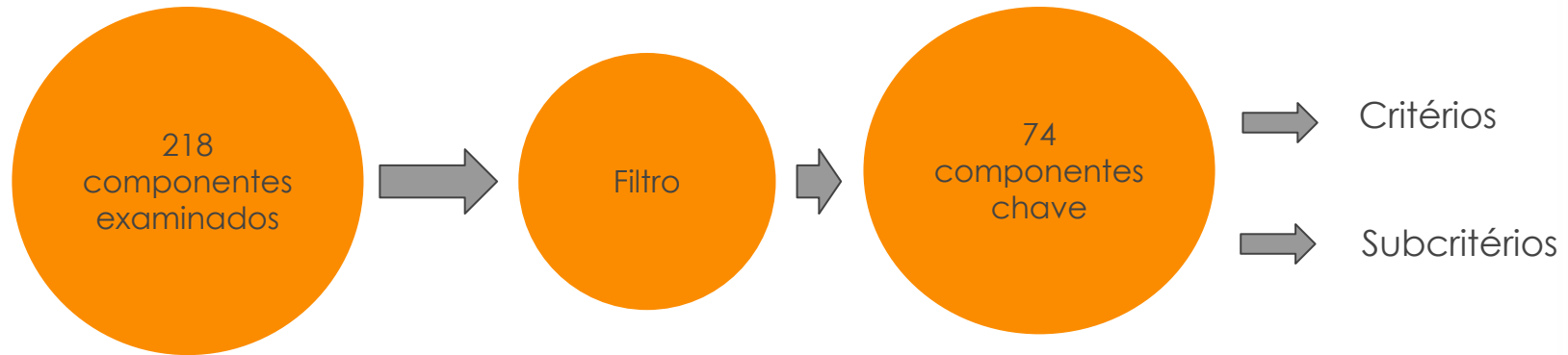
Foi o embasamento utilizado para a montagem de critérios e cálculo de avaliação de governança - 22 estruturas/modelos de governo



2. METODOLOGIA



2. METODOLOGIA



2. METODOLOGIA

MEDIÇÃO E AVALIAÇÃO DOS COMPONENTES CHAVES

Distribuição de peso (*weightage distribution*)

- Atribuir peso igual para cada critério,
- Atribuir peso igual para cada subcritério
- Atribuir peso igual para cada critério, de acordo com a opinião de especialistas.



Indicadores de medição (*measuring indicators*)

2. METODOLOGIA

Lista de estrutura de governança considerada para análise comparativa

Table 1

List of governance-framework considered for comparative-analysis.

Approaches towards Governance-assessment	References
Urban Governance Index (UN-HABITAT)	(UN-HABITAT, 2005)
Local Governance Barometer	(Bloom, Sunseri, & Leonard, 2007; PACT, 2015)
Good Governance for Local Development – GOFORGOLD Index (Afghanistan)	(UNDP, 2009)
Local Democracy Assessment Guide (International IDEA)	(IDEA, 2001, 2003; Wilde et al., 2009)
Indicators of Local Democratic Governance (Tocqueville Research Centre & OSI)	(Soós, 2001)
Methodological Guidelines for Local Governance Analysis (UNDP)	(UNDP, 2007)
Governance Index (Kemitraan – Partnership) Indonesia	(Kemitraan Partnership, 2009)
Measuring Municipal Performance – MIDAMOS (Paraguay)	(GAP, 2009a)
Observatory Of Democracy in Central America	(GAP, 2009b)
Strategic Decentralization for Local Development (Mexico)	(Wilde et al., 2009)
Council of Europe's Guide for Developing Well Being / Progress Indicators with Citizens – Application of the Governance Module in Timisoara (Romania)	(European Commission, 2009)
Citizen Report Cards (Public Affairs Centre, India)	(PAC, 2008)
Social Audit of Local Governance (Bosnia & Herzegovina)	(Wilde et al., 2009)
Social Audit of Governance and Delivery of Public Services (Pakistan)	(Cockcroft et al., 2005)
Local Governance Self-Assessment (Bangladesh)	(Boss, 2009)
Governance for Local Development Index – GOFORDEV Index (Philippines)	(Capuno, Garcia, & Sardalla, 2001)
Assessments Informing Performance Based Grant Systems (UNCDF)	(UNCDF, 2005)
Local Governance Performance Management System (Philippines)	(DILG, 2003)
Index of Responsibility, Transparency and Accountability (Macedonia)	(UNDP, 2008)
Standards of Municipal Transparency (Chile)	(Wilde et al., 2009)
Local Integrity Initiative (Global Integrity)	(Global Integrity, 2008; Wilde et al., 2009)
Methodology for the Assessment of Capacity of Municipalities in Turkey and the Western Balkans to Deliver Services (UNDP)	(UNDP, 2010)

2. METODOLOGIA

Comparando e analisando esses modelos, como feito na primeira metodologia, formou-se 72 componentes que foram categorizados em 13 critérios de acordo com seu objetivo comum.



2. METODOLOGIA

CRITÉRIOS E SUBCRITÉRIOS

- Prestação de Contas
- Acessibilidade
- Transparência
- Participação
- Efetividade
- Equidade
- Visão e Planejamento
- Legitimidade e Burocracia
- Sustentabilidade
- Visão e Planejamento
- Capacidade Cívica
- Entrega de Serviço
- Economia Eficiente
- Relacionamento
- Segurança

Subcritérios

Table 2
The criteria and sub-criteria of good governance framework.

Criteria	Sub-Criteria	M/Type
1. Accountability	1. Regular independent audit.	Y/N
	2. Active anti-corruption commission.	DI
	3. Past financial-year accounts inspected and approved.	Y/N
	4. On time formal publication of contracts, tenders, budget and accounts.	Y/N
2. Transparency	1. Publication of municipal structure, rules, regulations and performance standards of various services, products, etc.	L
	2. Local community leader selection through fair process.	L
	3. Public access to government documents and information.	DI
	4. Public review of budget and financial reports.	L
	5. Feedback or rating on operations and fairness.	L
	6. Availability of all the publicizing medium: information centre, public hearing, mobile-app, website, bulletin and banners.	Y/N
3. Participation	1. Participation by local leaders in local governance meeting regularly with higher attendance.	DI
	2. Public forum for sharing view and information.	Y/N
	3. Referenda and citizens' initiatives, plebiscite and people should aware that they can participate in local government.	Y/N
	4. Assessing citizen outreach & their participation towards local governance meeting.	L
	5. Closeness of municipality to their citizen.	L
	6. Community's monitoring level on government project implementation.	L
	7. Programs and training to facilitate promotion of skills & knowledge.	DI
	8. At least 1 civic association per 10000 population with technical capacity.	Y/N
4. Effectiveness	1. Completion of government project within agreed timelines.	L, DI
	2. Timely responsiveness for complaints.	DI
	3. Effectiveness at addressing public problems.	L
	4. Evaluation of municipal management, elected officials and other public & private service providers.	L
	5. Effectiveness in policy implementation.	L
	6. Local government or authority should maintain office hours.	L, DI
5. Equality	1. Unbiased administration or political culture.	L
	2. Citizens' charter.	Y/N, L
	3. Promotion of gender equality.	Y/N
	4. Pro-poor pricing policy.	DI
	5. Inclusive municipality (ethnically and socially vulnerable groups).	Y/N
6. Vision & Planning	1. Consistency between public policy, strategic and development plan.	Y/N, L
	2. Vision statement with integrity which holds target and timeline.	Y/N
	3. Rewarding good administration, as well as penalizing the bad.	Y/N
	4. Long-term private-public commitment.	L
	5. Geography and spatial features while planning.	Y/N
7. Sustainability	1. Assessment for the need & possible societal impact of a project or program.	L
	2. Eco-friendly development or program or project.	DI
	3. Detailed economic analysis and optimum use of funds.	L
8. Legitimacy & Bureaucracy	1. Citizen access to justice	Y/N
	2. Codes of conduct.	Y/N
	3. Legally constituted tender board and proper tendering.	Y/N
	4. Law enforcement by municipality along with police & other authority.	L
	5. Citizens have right to organize unions.	Y/N
	6. Compliance to manpower regulations (Min wages meets standards).	DI
	7. In law disclosure of accounts & funding sources.	Y/N
	8. Capacity of the courts to influence local politics.	Y/N
9. Civic Capacity	1. Advocacy or public support or civil dialogue along with community and service providers to make informed and coordinated policy or decision based on reliable information.	L
	2. Publicize minutes from participative body meet even with negative view.	Y/N
	3. Civil society works and keep communication with the private sector, the national & international community and the media.	DI, L
	4. Public evaluation of local representatives.	Y/N
10. Service Delivery	1. Active & dedicated maintenance cell.	Y/N
	2. Public satisfaction survey on quality or level or condition of municipality services & responsive performances.	L
	3. Coverage of services and fulfillment of demand in slums & all public places.	DI
	4. Facility for citizen complaints.	L
	5. 24 h service.	L
	6. Strong educational support and awareness campaign.	L
	7. Need to generate data out of feedback (especially from public domain).	Y/N

Table 2 (continued)

Criteria	Sub-Criteria	M/Type
11. Efficient Economy	1. Co-funding or incentives for entrepreneurship or any business model.	Y/N
	2. Government budget allocation and efficient expenditure.	L, DI
	3. Collection of associated revenues & including tax (actual & mandate).	L
	4. Precise technical specification of the goods and services in the tender documentation.	Y/N
	5. No contrary audit report & financial irregularities.	Y/N
	6. Effective resources allocation, utilization and management (including cadastre management).	L
	7. Free in fund transfer for approved programs or project.	L
12. Relationship	8. Regulate economies as per the need towards improvement.	Y/N
	1. Coordination level among local, regional & national administrations.	DI, L
	2. Respect for the rules of power-distribution and harmonious relationship between local, regional & national administrations.	L
	3. Existence of private organizations achieving public objectives.	Y/N
	4. Quick & active conflict resolution.	L
13. Security	2. Well-defined territorial boundaries.	Y/N
	3. Security towards land use and land tenure.	Y/N, L
	4. Safe municipality especially for woman, child, old, poor, activist and other vulnerable groups.	L
	5. People feel free to express their opinion in public.	L
	6. Counselling & engagement for identified people with potential social risks.	L
		Y/N

2. METODOLOGIA

Measuring indicator: YES/NO; DI (Direct Indicator); Likert-Scale (L)

Measuring
indicator

Criteria	Sub-Criteria	MI Type
1. Accountability	1. Regular independent audit.	Y/N
	2. Active anti-corruption commission.	DI
	3. Past financial-year accounts inspected and approved.	Y/N
	4. On time formal publication of contracts, tenders, budget and accounts.	Y/N
2. Transparency	1. Publication of municipal structure, rules, regulations and performance standards of various services, products etc.	L
	2. Local community leader selection through fair process.	L

Measuring indicator: YES/NO; DI (Direct Indicator); Likert-Scale (L)

2. METODOLOGIA

Measuring indicator: YES/NO; DI (Direct Indicator); Likert-Scale (L)

- 7 especialistas, por meio de um curto questionário, atribuíram a distribuição de peso de acordo com sua especialidade (mais recomendado)

Table 3

Weightage-distribution among Criteria and Sub-Criteria as per Experts'-Opinion.

Criteria (I)	Number of responses (N_{ij})					Final Score for each Criteria (S_i)	Final-Weight for each Criteria (W_j)	Number of Sub-Criteria (n_i)	Final-Weight for each Sub-Criteria (Z_i)
	1 = Least Important	2 = Less Important	3 = Important	4 = More Important	5 = Most Important				
1. Accountability	0	0	1	1	5	32	0.0810	4	0.0203
2. Transparency	0	0	1	1	5	32	0.0810	6	0.0135
3. Participation	0	0	1	2	4	31	0.0785	8	0.0098
4. Effectiveness	0	0	1	1	5	32	0.0810	6	0.0135
5. Equality	0	0	1	2	4	31	0.0785	5	0.0157
6. Vision & Planning	0	0	1	1	5	32	0.0810	5	0.0162
7. Sustainability	0	0	3	0	4	29	0.0734	3	0.0245
8. Legitimacy & Bureaucracy	0	1	2	1	3	27	0.0684	8	0.0085
9. Civic Capacity	0	0	2	2	3	29	0.0734	5	0.0147
10. Service Delivery	0	1	1	1	4	29	0.0734	7	0.0105
11. Efficient Economy	0	0	1	3	3	30	0.0759	8	0.0095
12. Relationship	0	0	1	3	3	30	0.0759	3	0.0253
13. Security	0	0	1	2	4	31	0.0785	6	0.0131

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$$T = \sum_{i=1}^{13} S_i$$

Pontuação total agregada para todos os critérios

$$S_i = \sum_{j=1}^5 N_{ij} * j$$

$$W_i = \frac{S_i}{T}$$

$$Z_i = \frac{W_i}{n_i}$$

2. METODOLOGIA

Pontuação total

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Table 4

Weightage-distribution as per equal criteria or sub-criteria.

Criteria (I)	Number of Sub-Criteria (n_i)	Weightage Distribution as per Equal Criteria		Weightage Distribution as per Equal Sub-Criteria	
		Final weighg for each Criteria S_{ec}	Final weight for each Sub-criteria $(Z_{ec})_i$	Final weight for each Sub-Criteria Z_{es}	Final weight for each Criteria $(S_{es})_i$
1. Accountability	4	0.0769	0.0192	0.0135	0.0540
2. Transparency	6	0.0769	0.0128	0.0135	0.0810
3. Participation	8	0.0769	0.0096	0.0135	0.1080
4. Effectiveness	6	0.0769	0.0128	0.0135	0.0810
5. Equality	5	0.0769	0.0154	0.0135	0.0675
6. Vision & Planning	5	0.0769	0.0154	0.0135	0.0675
7. Sustainability	3	0.0769	0.0256	0.0135	0.0405
8. Legitimacy & Bureaucracy	8	0.0769	0.0096	0.0135	0.1080
9. Civic Capacity	5	0.0769	0.0154	0.0135	0.0675
10. Service Delivery	7	0.0769	0.0109	0.0135	0.0945
11. Efficient Economy	8	0.0769	0.0096	0.0135	0.1080
12. Relationship	3	0.0769	0.0256	0.0135	0.0405
13. Security	6	0.0769	0.0128	0.0135	0.0810

$$S_{ec} = 1 / \sum i$$

Pontuação total
para todos os
critérios

$$(Z_{ec})_i = S_{ec} / n_i$$

Pontuação final
para subcritério de
critério

$$Z_{es} = 1 / \sum n_i$$

Peso final para
cada subcategoria

$$(S_{es})_i = Z_{es} * n_i$$

Peso final para
cada critério

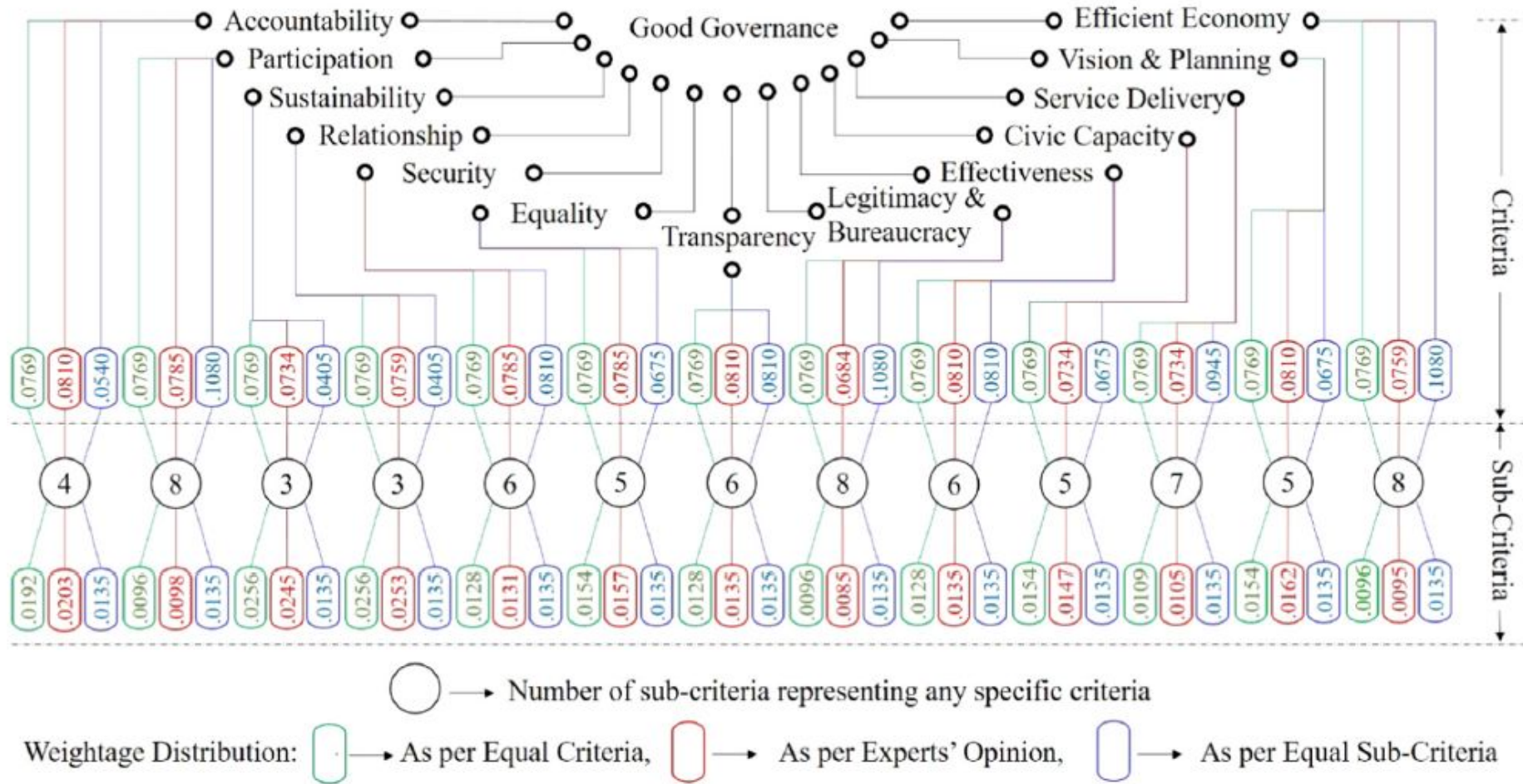
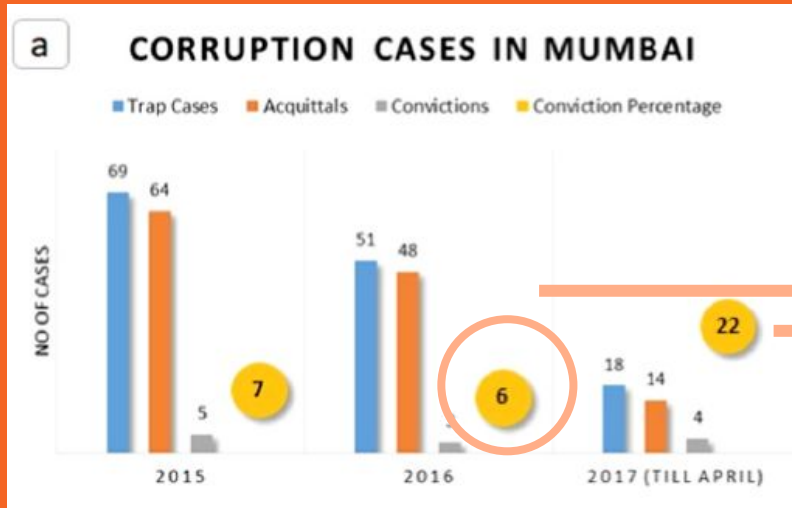


Fig. 2. Good-governance components and weight-distribution among them.

3. MUMBAI COMO EXEMPLO



Pode ser medido por um indicador direto. Ex: Conviction percentage of corruption cases.



2016
Contribuição final por este subcritério:
 $(6/100) * 0.0203 = 0.001218$ de um total de 1

6%
Zi : Final Weight
for each
Sub-Criteria.

2017
 $(22/100) * 0.0203 = 0.004466$

3. MUMBAI COMO EXEMPLO

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3. MUMBAI COMO EXEMPLO

Table 5
Examples of one measuring indicator per criteria that measures one of the respective sub-criteria.

Criteria	Sub-Criteria	One of the measuring indicators (DI)	Figure Number	Reference
Accountability	Active anti-corruption commission.	Conviction percentage of corruption cases	Fig. 3(a)	(Anti Corruption Bureau, 2017; Naidu, 2017)
Transparency	Public access to government documents and information.	Percentage of second-appeal through 'Right To Information' (RTI) Act for any same appeal	Fig. 3(b)	(TI, 2017)
Participation	Participation by local leaders in local governance meeting regularly with higher attendance.	Participation score of councillors based on their attendance and number of meeting	Fig. 3(c)	(Janaagraha, 2013, 2014, 2015, 2016)
Effectiveness	Timely responsiveness for complaints.	Average resolving-time for any complaints as compared with citizen charter	Fig. 3(d)	(Praja, 2017)
Equality	Pro-poor pricing policy	Affordable housing (dwelling) as per the demand by different income groups	Fig. 3(e)	(Govt. of Maharashtra, 2016)
Vision & Planning	Vision statement with integrity which holds target and timeline.	Creating 1 million affordable housing units and proving water, sanitation and health for all slum-dwellers in Mumbai by 2034		(Moneycontrol, 2017)
Sustainability	Eco-friendly development or program or project.	Per capita open-space difference as compared to provision	Fig. 3(f)	(MMR-EIS; MoUD, 2014)
Legitimacy & Bureaucracy	Codes of conduct.	Number and percentage of preferred-claims over prosecution on minimum-wages-cases.	Fig. 4(a)	(Indiastat, 2016)
Civic Capacity	Public evaluation of local representatives.	Report card of Mumbai's Councillors	Fig. 4(b)	(Praja, 2015)
Service Delivery	Facility for citizen complaints.	Percentage of action-taken complaints on total number of received complaints in Mumbai Municipal Corporation	Fig. 4(c)	(Praja, 2017)
Efficient Economy	Government budget allocation and efficient expenditure.	Budget estimates of Mumbai municipal corporation	Fig. 4(d)	(MCGM, 2014, 2015, 2016, 2017)
Relationship	Coordination level among local, regional & national administrations.	Time required to get construction-permit in Mumbai	Fig. 4(e)	(FICCI, 2014; World Bank, 2009, 2013, 2017)
Security	Safe municipality especially for woman, child, old, poor, activist and other vulnerable groups.	Percentage of crime against women, children and senior citizen	Fig. 4(f)	(NCRB, 2014, 2017)

4. CONCLUSÃO

- O método utilizado para desenvolver o indicador e a demonstração da aplicabilidade pode ser útil para pesquisadores e tomadores de decisão, sendo útil como procedimento de avaliação.
- O estudo ajuda a avaliar a gestão urbana do seu ponto de vista geral de governança administrativa. Pesquisadores e outras partes interessadas podem mantê-lo como base para avaliar a gestão urbana de uma região ou instituição. No entanto, a principal limitação está na disponibilidade de dados - as partes interessadas precisam ser flexíveis ao escolher indicadores de medição, para que os dados para esse indicador estejam prontamente disponíveis ou possam ser avaliados através de pesquisas.