Chapter VII

STRATEGIES FOR IMPLEMENTATION OF SPATIAL PLANS IN BANGALORE METROPOLITAN AREA

This chapter is a concluding chapter with the presentation of the findings, strategies and suggestions for implementation of spatial plans. The further studies that can be carried are out along with the summary and recommendations are covered here.

7.0 Addressing the Implementation Gaps

Implementation of spatial plans is complex as they are dependent on several variables. This chapter attempts to summarize and synthesize the main findings that emerge from the analysis of the urban planning development sector in BMA, the comparative analysis and illustrative case findings. A summary findings point out that the implementation has several dependencies on external factors such as the Institutional setup, Planning system, Budgeting / Capital investments, Legislation / updation of laws, Project Management Techniques for effective translation of the policy/ plan proposals to actions.

It is not considered complete that the planning stage is often considered complete after the goals have been defined and a strategy formulated, but without clarifying in detail how to execute the plan with identified actions, timeline and concerned stakeholders. It is also not enough to assume that the implementation is merely delegation to the entity that is closely linked with the capacity as well as ownership of each executing agency. Once they are given clear direction, some institutions will make all efforts to realize strategies, but when the capacity of a particular institution is weak, implementation will suffer. The findings go beyond this assumption and recommend some measures that are required to deliberated and adopted within the BMA context. They include the following:
7.1 Planning System: Process of Legitimization and Authorization:

As it was discussed in the analysis of BMA planning and development, the lack of proper legitimization or authorization process is one factor contributing to the weak implementation. Legitimization and authorization are important for any policy/plan action since it provides momentum and support for implementation, especially when there is a constraint in budget resources. If legitimacy is not appropriately secured, stakeholders will not recognize the need to comply with the plan and to work on achieving it.

This legitimization level can be divided into three: the political level, the executive branch level and the public level. Each level has its own challenges. With higher level legitimization, plans and strategies are recognized as a commitment by the government requiring full implementation. It is difficult to strike the right balance between two levels, since if the political level is too strong, it may move without considering proper technical and economic assessment and it can be subject to excessive political intervention, while with only executive branch-level endorsement, things may not move. The third level of authorization or acceptance is from the public. In addition to acquiring authorization and legitimization from the government, a kind of acceptance or support needs to be given by the final beneficiaries, the Citizens.

The current system comprises of the varied and distinct plans for the infrastructure, mobility and land use. Integration in form of spatial plans is required. This needs to be adapted with respect to the existing system and the proposed planning system by the URDPFI guidelines 2014.
Fig. 7.1 Proposed planning system for BMA

<table>
<thead>
<tr>
<th>Region</th>
<th>KTCP ACT</th>
<th>Actual Situation</th>
<th>Model Law</th>
<th>Proposed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Karnataka State</td>
<td></td>
<td>State Five Years Plans</td>
<td>State Perspective Plan</td>
<td>State Perspective Plan</td>
</tr>
<tr>
<td>District/ Bengaluru Metropolitan Region</td>
<td>Outline Development Plan/ CDP’s for LPAs within Region</td>
<td>BMR Revised Structure Plan 2011</td>
<td>Perspective Plan for District; Development Plan for District.</td>
<td>Regional Development Strategy</td>
</tr>
<tr>
<td>Bengaluru Local Planning Area</td>
<td>Master Plan</td>
<td>Intern Master Plans for local planning areas within Regions</td>
<td>Perspective Plan for Metropolitan Area; Development Plan for Metropolitan Area</td>
<td>District/ Bengaluru Metropolitan Region Perspective Plan</td>
</tr>
<tr>
<td>Municipal Ward Area</td>
<td>Town Planning Scheme</td>
<td>JNNURM CDP</td>
<td>Development Plan for Local Planning Area</td>
<td>Bengaluru Strategic Spatial Plan and Strategic Projects</td>
</tr>
<tr>
<td></td>
<td></td>
<td>JNNURM DPR</td>
<td>Development plan for Local Planning Area</td>
<td>Land Use and DCR oriented Development Plan City Development Plan for LPA</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Development schemes/ Projects by BDA</td>
<td>Development Schemes/LPA</td>
<td>Ward Plans/LAP/ development Schemes/ Schemes and Projects</td>
</tr>
</tbody>
</table>
7.2 Organizational Design and Modification:

The question of making the machinery of government to work on implementing projects and strategies is not easily answered. But two key issues merit specific mention, namely coordination and accountability, as key drivers to enhance the implementation capacity. Coordination among public sector institutions need to be improved. Coordination issues can be multi-dimensional, with many agencies and institutions within the sector and across different ministries. The fragmentation in organizations can hinder the implementation of spatial plans and projects that normally requires coordination and cooperation. BMA suffers from both vertical and horizontal coordination problems due to the lack of hierarchical structures in the public sector. For vertical coordination, problems exist at a number of levels: lines of command within ministries, between ministries and executing agencies, planning and ULB. As for horizontal coordination, coordination between same rank seems to function to some extent, whether through BDA, Government or Committee meetings. The lack of a uniform hierarchy in public sector organization can also be a crucial cause of bottlenecks for coordination among different institutions. Since the whole restructuring of the organizational structure in the public sector is an extremely challenging task, as a short-term counter measure, the establishment of a focal agency can serve as a solution. But again, without proper resource provision and political support to enhance its capacity and its function, such a solution to establish a focal coordinating agency does not work. This is seen in case of Unified Metropolitan Transport Authority for BMA.

Concerning organizational design and modification, a far broader issue relates to increasing “accountability”. Each executing agency should be accountable for the implementation process and there is a need for system to hold institutions accountable.

7.3 Role of MPC for Coordination and Integration:

Spatial planning requires high degree of co-ordination both during the formulation of the plans as well as during the implementation period.

The setting up of the MPC for Bangalore may enable the regional and metropolitan Planning activity to be carried out with necessary co-ordination. The expert committee (Kasturi Rangan Report) recommends that the MPC should cover the
entire BMR and should have sectoral sub-committees on water and sanitation, environment, transport, rural-urban social sector issues in addition to constituting an Executive Board which will meet more frequently to review progress on all fronts and give its report on proposals to be examined and endorsed by the MPC;

The Metropolitan Planning Committee will focus on socio-economic plans and integrates with spatial planning. The MPC gives emphasis on political representation, while Bureaucrat’s representation is present. With the arm of MPC, Government should constitute Unified Metropolitan Planning Authority (UMPA) to oversee, preparation, implementation of Spatial Plans within the BMR. This should be technical wing of MPC established with Town Planners, Infrastructure Planners with specialists.

The structure plan will be prepared by the BMRDA which will become the MPC. The Plans for the Metropolitan area will be carried out the BDA as mandated by the MPC or the economic and social planning will be given to the ULB. The KRR report suggests that BMRDA Act to be renamed as “Bangalore Metropolitan Area Planning Act” (BMAP) and BMRDA as renamed as Bangalore Metropolitan Planning Board (BMPB) will be the Secretariat of the Bangalore Metropolitan Area Planning Council (BMC). In this case BMPB is a Unified Metropolitan Planning Authority within the BMR and comes under the umbrella of MPC. As the Metropolitan Planning Committee will find it difficult to oversee all the spatial planning aspects, the concerned urban local bodies have to strengthen their institutional capacity.

7.4 Arrangement for Scheme and LAP Implementation

The authority with its specialized skills can undertake the implementation of the schemes. The powers to raise funds, carryout the development and management requires lean organizational structure. The routine implementation can be carried out by the urban local bodies through regular budgets and the annual projects. The local area plans can be carried out by ULB.
7.5 Resources Mobilization and Action:

The mobilization of the resources enables the policy/plan from a paper proposal to initiation of action (Brinkerhoff and Crosby (2002). While resources might have quantitative and qualitative constraints, gaps between strategies and resources are also causes of low implementation. Effective use of different kinds of resources, such as financial, human, technical and physical resources, is essential for effective and efficient implementation.

7.6 Capital Investment Planning and Budgeting:

For the implementation of the Master plans requires a formal process of converting the plans into actions and projects. One of the strategies for implementation is to put a structure for integrating the plan proposals into the cash flows of the implementing as well as governing body in a systematic manner. Once the phase wise implementation and forecast of cash flows are accomplished, it can be integrated into the budget. This will require the identification of the various sources of funds and determining the loan-grant mix. A financial operation plan (essential a projection of receipts and expenditure) is to be introduced at the municipal level similar to the JnNURM CDP exercise.

7.7 Capacity for Planning and Implementation:

The quantum and skills for the urban planning required to fully implement a three-tier planning process, as described above, is very large. As of today, the capacity to
undertake this quantum of work exists in a limited manner in both government and in the private sector. Ugradation of skills in revenue, design and negotiation and public systems management are required. Training for dealing in complex implementation situations are to be imparted in the urban development department.

7.8 Accommodating the PPP / PSP in the Plans

Financial constraints can be mitigated by a mixture of countermeasures, including better prioritization, improvement of cost recovery, and the introduction of private sector participation. Some of the measures are recommended for implementation:

7.9 Urbanizing Agents / Developer Entities:

To encourage the private sector beyond the participation in projects that have been structured, it must be possible to introduce innovative methods such as the “Swiss Challenge Method” for identification and development of the project on su motu basis by the private sector. The private sector can elaborate the planning opportunities identified by the Plans and convert it to implementation format. The formal recognition of the “initiative” and support for developing it to project to be implemented within a time period must be encouraged. The initiative also incurs expenditure on the development entity. The risks should be partly covered by the authority.

The introduction of the private sector entities for carrying out various activities- such as assembly of the rights, land assembly, preparation of schemes, development and handover is possible. The activities can be delegated to the “qualified players” through competitive bidding and use of Value for Money concepts. This requires change in the transparency in procurement act and the KTCP/ Municipal acts also.

Viability Gap Funding (VGF) may be extended for the project viability, while a separate funding for the compulsory purchase/ ex-propriation for small land rights owners. This can be obtained from the Sale of Land.
7.10 Monitoring and Evaluation:

The lack of an effective and efficient monitoring and evaluation mechanism is a critical weakness in the BMA planning and implementation system. In order to increase the impact and quality of public investment, the monitoring and evaluating mechanism needs to be strengthened. A good feedback look linking both implementation activities to decision making as well as inputs to the plan formulation will enhance the quality of decision. This will have a positive impact on the enhancement of institutional capacity and accountability. The recommendations are the following are:

7.10.1 Evaluation Methods

Devising evaluation methods for the spatial plan implementation is complex especially within the debate of performance vs conformance evaluation. The current measure of implementation is based on the “physical development” and the quality it offers. For the planning proposals to be decided, various ex-ante methods such as the Planning Balance sheets, Cost Benefit Analysis and Goals Achievement Matrix can be adopted. These will enable healthy discussion and debate leading to rational decisions. This kind of evaluation must be taken up at the technical wing of the MPC as independent cell. For the spatial plan implementation, ex-post evaluation with the use of indicators for measurement of progress and results can be adopted. The expected outcomes of the spatial implementation must be identified in a consultative manner and suitable indicator adopted.

7.10.2 Indicators:

The use of indicators is in now widely accepted (Wong, RTPI) and reflected in the recommendations of various spatial plans. It is proposed to develop a set of indicators that reflect the physical parameters, financial parameters, outcome index and assumption indexes in form of databases. The collection of the information at the spatial level must include at city level, Planning District, Ward level/ scheme level, be collected at regular intervals (some indicators on annual basis and some at the closure of plan period).
7.10.3 Impact Assessment: Part of the evaluation comprises of the assessment of spatial plan implementation, their impact on the following: environment, the social, economic especially the property market, infrastructure. Special attention to the enhancement of the aesthetics at urban form level specifically is need. Impact assessment frameworks and the mitigation as well as management should be put in place.

7.10.4 Citizen information Portal: A very important of the feedback mechanism is to provide timely spatial information on the implementation to the citizens. On a pro-active manner, the information must be shared through citizen facing portal. Citizen must be able to share information, retrieve and add their observations through use of technology. The response system must be put in place for the concerned authorities/ Stakeholders for re-addressal. Communication is essential to build trust and credibility for the government and to keep citizens involved, increase their sense of ownership and reduce information asymmetries among stakeholders involved. It is easier to make people accept the new strategies when they feel they are part of the decision-making and implementation process.

7.11 Timelines for the Planning Cycle

At all three levels of planning, the process broadly involves the activities of plan preparation, public notification, incorporation of feedback, official government sanction, implementation, review and revision, and repeating the cycle. Going by recent experiences, urban planning processes have been streamlined, the planning cycle for a Master Plan can be brought down to about 24 months and those of Zonal Plan and LAP to about 18 months in ideal conditions with full backing and involvement of the government. Periodic review and revision of these plans should ideally be synchronized with the CIP (capital investment planning and budgeting process. Spatial plans at the LAP level are unlikely to undergo drastic changes in less than ten years. However, capital investment proposals emerging from these plans are quite likely review at regular intervals.
7.12 Principles for effective implementation

Fig. 7.3 The principles for effective implementation.

Based on the responses, the Government officials and the private practitioners have slight divergence on the opinion on the principles. The inner circle values indicate higher priority. The Government respondents are concerned with the Time bound, efficiency and optimum resource utilization principles. The private category opines that time bound, participatory based decision making, accountability principles will ensure effective implementation. Most of the implementation is affected adversely on the account of slippage in time, community not being involved though they are the beneficiaries and somewhat opaque process.

7.13 Community Participation Law (CPL):

The community participation Bill was passed and the amendment was made in the Karnataka Municipal Corporations Act, 1976\(^1\) to provide for the constitution of Area Sabha and Ward Committees in the State of Karnataka. The purpose of this amendment is to institutionalize community participation in municipal functions and to provide for matters connected therewith or incidental thereto, has created the platform for citizen participation in planning implementation and execution. The ward committee’s are yet to function fully as envisaged in the act. This legislation enables the planning at the ward level. Strengthening of this ward committee and empowering planning functioning will be enabling for implementation of the spatial plans / local area plans.

\(^1\)The Karnataka Municipal Corporations (Amendment) Bill, 2011 (L.A- Bill No. I of 2011) (As passed by the Legislative Assembly)
SUMMARY AND CONCLUSIONS

The focus area for the thesis has been the implementation of the spatial plans. The act of implementation recognizes the activities of planning and development, as interconnected and overlapping activities, with feedback loops from and to (both sides of the activities). The goal of the planning process is to enable and facilitate urban development through the implementation of the plan proposals over a period of time.

In the current practice, planning and development are observed as independent process and, the development cycle starts after the planning is complete. The master plan prepared by BDA cover the entire metropolitan area and attempts to deal with territorial differences, complex land tenures, multiplicity of organization, multiple laws, varied socio economic groups to define “public interests” that need to be protected and allow the private sector to carry out its goals. The planning proposals are the base, on which definition of rights are made and enforced. The network of roads, open spaces, creation of amenities, is all public aspects of the spatial plan. The changing economic scenario in the country gives us an opportunity, where the private / community involvement in the development is increased, by not as receivers of benefits, but actively investing and participating in the development cycle. Space for engagement between the Government (Plan) and the other sectors is very important. The lack of finances for capital investment has also opened up new avenues for such partnership. With the authorities’ role decreasing in terms of using its resources, it is possible that the other sector intervene to fill in the gaps. The concept of windfalls for wipe outs or compensating or incentivizing the action is useful, as all planning proposals are impacting the property rights all the time. The value capture method through planning agreement is useful, the excess value can be recouped by the authority to be further distributed. An extension of this thought is that by devising plans and mechanism, it is possible that private sector is involved in the development as well as delivering the public goods/ social goods. The instruments such as Land re-adjustment, Transfer of Development right are to be combined as well as designed to meet specific planning situation. A simplistic land use plan needs to be expanded within a plan system, to allow for flexibility and completeness, be able to embed such instruments for it to be operational. A balance is required for dictating the extents of
value capture, meeting the social obligations such that they are not misused and lead to further distortion in the market. In the first place, the role of the plan is to help in mitigating the market failures.

Land is crucial resource in the urban development. Land based tools fiscal or planning are of great significance for organizing the development and using it in an optimum manner. BMA fares poorly on the land management as seen in the growth evaluation of the planning districts. The other planning situations such as the redevelopment/ renewal preservation, scheme implementation indicate “want of proper” instruments backed by the plan. The recommendation for use of Ward and Local area plans, Use of Town Planning scheme and redevelopment of old industrial area / old areas have shown that some process improvements in the plan procedures and approvals are necessary for the instruments to be accommodated and then operational, thereby resulting in implementation. The other external conditions or the enablers have been identified. To close the implementation gaps, strategies includes changes to the planning system for gaining legitimacy and authorization, to the land laws and rules, institutional setup, Capital budgeting, role of PPP/ PSP as well as monitoring and evaluation. While effecting changes in the public domain is an uphill task requiring both short and long term measures, the easiest would be to choose, an action or to take the first step towards the implementation. The current master plans as it emerges from the evaluation are a reasonably stable document with several potentials. There is an opportunity to initiate implementation in an effective manner, by introducing the instruments to address planning proposal and its objectives on a test scale. The thesis test results are encouraging as it can be scaled to real world application. The existing laws support such action. Land and Plans are not just technical matters, the cooperation of the land owners and citizens are important. Skills to engage with people along with the technical background are required as part of capacity building. The true transformation of the city landscape to high quality urban spaces requires better plans and even better its implementation.
Future Scope of Research

This thesis has attempted to introduce the concept of effective implementation of spatial plans and development in BMA. As there is increased attention on innovation in providing resources for urban development, deliberation on the use of the plan and instruments to meet various planning objectives is gain renewed interest. Both in the International and Indian context, there are very few studies on the implementation of the spatial plans. Most of the studies and models are based on the ex-ante evaluation of the planning. Studies can be furthered hybrid tests covering both conformance and performance for evaluation.

The areas for future research include:

- Adaptation of the Town planning schemes for the various urban areas in the city. Using the Scheme for non residential uses.
- Carrying technical and legal review with changes for the redevelopment policy
- Formulating PPP projects and support integrated planning projects involving shared facilities/costs and rights through use of schemes and instruments.
- Designing instruments to address environment features preservation.
- Parts of urban development to be made self-financing.
- How public spaces that are not “viable” can be created with the help of schemes.
- Provide for infrastructure provision through in a cost recovery mechanism on the basis of plans.
- Enhancement in the working of property /development rights as well as mortgage market.
- Devising the technical indicators for monitoring and evaluation of spatial implementation.