

Chapter-VI: Human Resources of Urban Local Bodies

Summary

Human resources of ULBs are categorised in three groups *viz.*; Centralised Services, Non-centralised Services and Sanitation Services. The powers regarding sanction of posts, to decide emoluments *etc.* for staff of ULBs were vested with the State Government and ULBs had no role in recruitment of staff under various services. The State Government did not frame any service rules for the staff of Non-centralised Services and Sanitation Services. In addition, retirement benefit rules were also not framed by the State Government for the Staff of Sanitation Services.

There was shortfall in human resources to the extent of 34.33 *per cent*, 29.95 *per cent* and 43.06 *per cent* under Centralised Services, Non-Centralised Services and Sanitation Services respectively as on March 2020. In test-checked ULBs, shortfall in manpower for water supply services and sanitation services were 34 *per cent* and 43 *per cent* respectively. This led to non-compliance of service level benchmarks of these services.

6.1 Human Resources of ULBs

Availability of adequate and qualified manpower is paramount to ensure discharge of any function. The devolved functions can be carried out effectively by ULBs only when they are supported with sufficient manpower and have control over recruitment of human resources. Further, adequate devolution of functionaries could in turn improve the collection of own revenue, utilisation of devolved funds and carrying out the functions to the extent of which they were devolved.

Human resources of ULBs are categorised in three groups *viz.*; Centralised Services, Non-centralised Services and Sanitation Services. The provisions related to establishment and governance of each group is detailed as under:

Centralised Services

Section 112A of UPMC Act and Section 69B of UPM Act, empowered the State Government for creation of one or more Centralised services (CS) of such officers and servants, common to the NNs or to the NNs, NPPs, NPs and *Jal Sansthans* of the State and to prescribe for the method of recruitment, conditions of service of persons appointed to any such service *etc.* Similarly, the Uttar Pradesh Water Supply and Sewerage Act, 1975 also provided for establishment of CS for *Jal Sansthans*.

In compliance of provisions of UPMC Act and UPM Act, the State Government *vide* the Uttar Pradesh Municipality Centralised Services Rules, 1966 created 23 services¹ common to ULBs. As per provisions, the powers

¹ Mainly UP Municipality; Administrative (Senior and Subordinate) Services, Revenue (Senior and Subordinate) Services, Medical & Health (Male & Female) Services for Allopathic; Homeopathic; Ayurvedic & Unani, Public Health Services, Veterinary Services, Engineering (Senior and Subordinate) Services for Civil; Mechanical & Traffic, Arboriculture (Senior and Subordinate) Services, Audit and Accounts Services *etc.*

regarding sanction of posts, recruitment, transfer, posting, disciplinary action & to decide eligibility for recruitment, service conditions and emoluments *etc.* in respect of CS were vested with the State Government, though, powers in respect of recruitment, transfer, posting, disciplinary action *etc.* of some cadres were delegated to the Director (LB).

Besides, the State Government framed UP Municipality (Centralised Services) Retirement Benefit Rules 1981 for governing the matters related with pension, gratuity *etc.* for CS and the Director (Local Bodies) was nominated as competent authority for sanctioning the retirement benefits for staff of CS.

Further, as per provisions of the Uttar Pradesh Municipality Centralised Services Rules, 1966, the Divisional Commissioner was also authorised for transfer of staff of CS from one ULB to another situated within the division. However, there was no role of District Magistrate in transfer-posting of staff of CS and the State Government also restricted (December 2017) the District Magistrates to provide charge of vacant post of EO to any other EO or Sub District Magistrate on their own. Despite the fact, Audit observed instances² of providing charge of vacant posts of EO by the District Magistrate without approval of the State Government which indicated unnecessary interference of district authorities in the matters of ULBs.

It is evident from above that ULBs did not have any control over the staff of CS. However, ULBs may request with the State Government for transfer of any staff of CS, if any special resolution in this regard was passed by the Council.

Non-centralised Services

Section 106 of UPMC Act and Sections 71 & 74 of UPM Act provided for creation of Non-centralised services (NCS) for ULBs, consisting of permanent staff under Group C & D cadres required for the discharge of duties of ULBs. While the powers related to sanction of posts, decide emoluments *etc.* of NCS vested with the State Government, the authority of appointment, disciplinary action, to decide service conditions and eligibility *etc.* of NCS were conferred to Mayor/President.

However, Audit observed that no service rules were framed for staff of NCS as on November 2021. Though, the State Government had framed (October 1984) UP Municipality (Non-centralised Services) Retirement Benefit Rules 1984 for governing the matters related with pension, gratuity *etc.* of staff of NCS but nominated Divisional Commissioner as competent authority for sanctioning the retirement benefits for staff of NCS.

It was also observed that the State Government authorised (March 2015) UP Subordinate Services Selection Commission for selection of candidates for Group C cadres of both CS and NCS. Besides, the State Government also put an end to (September 2010) recruitment of Group D cadre of Staff.

Thus, ULBs lack autonomy in management of affairs related with NCS. Further, in absence of service rules, process of promotion, transfer, disciplinary action *etc.* was also not specified for staff of NCS.

² In district Jhansi.

Sanitation services

Section 106 of UPMC Act and Section 75 of UPM Act authorised Municipal Commissioner/Executive Officer to appoint permanent servants (*Safai Karmachari*, etc.) for conservancy purposes. While the powers related to sanction of posts, emoluments *etc.* of Sanitation services (SS) vested with the State Government, the authority of appointment, disciplinary action, to decide service conditions and eligibility *etc.* were conferred to MC/EO.

However, Audit observed that alike NCS, no service rules were framed for staff of SS and in addition to it, retirement benefit rules were also not framed for SS. Moreover, the State Government banned (June 2002) the recruitment of staff under SS and further directed (December 2010) ULBs to perform sanitation services through outsourcing of manpower from service providers. Further, the State Government allowed (July 2016) ULBs for recruitment of forty thousand *Safai Karmachari* under 630 ULBs of the State on contractual basis and for this purpose, constituted a committee headed by the MC and Sub Divisional Magistrate in respect of Municipal Corporations and Municipalities respectively. Moreover, list of candidates short listed by the above committees was also to be approved by the State Government. It indicated that powers of EO in respect of recruitment of staff of SS were also bypassed by the State Government.

It was also observed that the process of recruitment of *Safai Karmachari* on contractual basis could not be completed and ULBs managed sanitation services through outsourcing of manpower from service providers.

Thus, seizure of powers of ULBs regarding recruitment of staff under SS, impacted the autonomy of ULBs.

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

The issues relating to shortfall in management of human resources are discussed in succeeding paragraphs:

6.2 Shortage of human resources

The details of sanctioned posts, person in position and vacant posts across all services of ULBs in the State during 2015-20³ are detailed in **Table 6.1** below:

Table 6.1: Showing details of sanctioned posts *vis-a-vis* person in position in ULBs

Year	Sanctioned Posts			Person in position			Vacant posts (<i>per cent</i>)		
	CS	NCS	SS	CS	NCS	SS	CS	NCS	SS
2015-16	3276	28969	100957	1660	23362	62898	1616(49.33)	5607(19.36)	38059(37.70)
2016-17	3285	28624	99120	1869	22902	62086	1416(43.11)	5722(19.99)	37034(37.36)
2017-18	3377	28289	101445	2121	22076	60608	1256(37.19)	6213(21.96)	40837(40.26)
2018-19	3544	27948	101702	2376	21135	60038	1168(32.96)	6813(24.38)	41664(40.97)
2019-20	3644	27900	101585	2393	19544	57840	1251(34.33)	8356(29.95)	43745(43.06)

(Source: *Karya Vivran* of UD Department)

³ 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.

It can be seen from the above table that there was shortfall in human resources to the extent of 34.33 per cent, 29.95 per cent and 43.06 per cent under CS, NCS and SS respectively as on March 2020.

Besides, illustrative example of availability of employees *per thousand* of population in test-checked city based ULBs and position of sanctioned and vacant posts of test-checked NNs and NPPs are depicted in **Chart 6.1** and **Table 6.2** below:

Chart 6.1 Showing number of employees *per 1000* population in test-checked city based ULBs as on March 2020

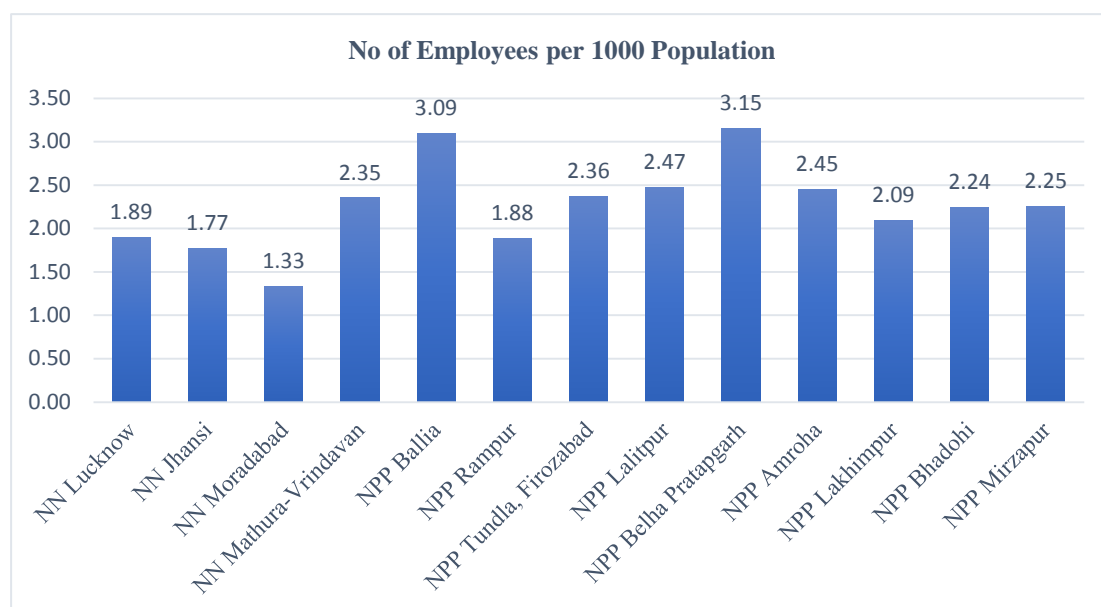


Table 6.2: Showing status of Human Resources in test-checked NNs and NPPs as on March 2020

Sl. No.	Name of ULB	Sanctioned posts	Vacant post	Vacant posts (<i>per cent</i>)	Contractual staff	No. of employees <i>per thousand</i> population
Nagar Nigams						
1	Lucknow	6105	1915	31.37	1144	1.89
2	Jhansi	767	349	45.50	556	1.77
3	Moradabad	1307	389	29.76	268	1.33
4	Mathura-Vrindavan	1588	666	41.94	145	2.35
	Total	9767	3319	33.98	2113	1.82
Nagar Palika Parishads						
5	Mauranipur (Jhansi)	130	58	44.62	59	2.25
6	Gurusarai (Jhansi)	40	15	37.50	34	2.20
7	Chirgaon (Jhansi)	64	30	46.88	9	2.57
8	Ballia	268	18	6.72	73	3.09
9	Rasara (Ballia)	58	18	31.03	47	2.67
10	Rampur	741	305	41.16	163	1.88
11	Bilaspur (Rampur)	65	28	43.08	60	2.21
12	Swar (Rampur)	61	40	65.57	32	1.65
13	Thakurdwara (Moradabad)	68	4	5.88	55	2.70
14	Bilari (Moradabad)	63	24	38.10	44	2.21
15	Tundla (Firozabad)	91	35	38.46	63	2.36
16	Sirsaganj (Firozabad)	84	14	16.67	22	2.86
17	Lalitpur	278	150	53.96	215	2.47

18	Belha Pratapgarh (Pratapgarh)	262	88	33.59	68	3.15
19	Koshikalan (Mathura)	194	66	34.02	33	3.02
20	Amroha	406	39	9.61	128	2.45
21	Bachhraun (Amroha)	24	0	0.00	27	1.64
22	Lakhimpur (Lakhimpurkheri)	354	147	41.53	110	2.09
23	Paliakalan (Lakhimpurkheri)	53	14	26.42	20	1.43
24	Bhadohi	156	38	24.36	94	2.24
25	Mirzapur	800	324	40.50	52	2.25
Total		4260	1455	34.15	1408	2.31

(Source: Information provided by test-checked ULBs)

It is evident from above that the *percentage* of vacant posts in test-checked NPPs were higher than the test-checked NNs, however, due to hiring of contractual staff in excess of vacant posts in 14 test-checked NPPs⁴, availability of human resources *per* 1000 population was better than NNs. Further, in test-checked NPs, vacancy against sanctioned posts was 33 *per cent* and against the 135 vacant posts, 393 contractual staff was deployed (more than 100 *per cent*) as detailed in **Appendix-XII**.

It was also observed that in none of the test-checked ULBs, functionaries were transferred to ULBs with devolution of functions, which further constrained the manpower position in ULBs.

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

Likewise above, availability of manpower for performing selected functions and activities in test-checked ULBs was also deficient, as discussed in succeeding paragraphs:

6.2.1 Availability of technical staff

Proper and timely execution of all development works and proper maintenance of all urban infrastructure depends upon the availability of technical staff. However, Audit observed that under the Engineering services (Civil), overall 10 and 48 *per cent* posts were vacant in test-checked NNs and NPPs respectively, as detailed in **Appendix-XIII**. Despite it, there was excess⁵ deployment of staff against the sanctioned posts in NN Lucknow, which indicated that deployment of staff was uneven. Further, in test-checked NPs, no posts of Engineering services were sanctioned by the State Government.

Due to unavailability of staff of Engineering services at the level of NPPs and NPs, the State Government authorised (September 2014) Executive Engineer of NNs and UP *Jal Nigam* (posted at district/division level) to approve estimates, projects *etc.* (involving expenditure of upto five crore rupees) of such NPPs/NPs. Further, in case of expenditure of more than five crore rupees, these powers were conferred to the Chief Engineer of NNs and UP *Jal Nigam*.

⁴ Mauranipur (Jhansi), Gurusarai (Jhansi), Ballia, Rasara (Ballia), Bilaspur (Rampur), Thakurdwara (Moradabad), Bilari (Moradabad), Tundla (Firozabad), Sirsaganj (Firozabad), Lalitpur, Amroha, Bachhraun(Amroha), Paliakalan (Lakhimpur kheri) and Bhadohi.

⁵ Against the one sanction post of Chief Engineer (CE), five posts of Executive Engineer (EE), eight posts of Assistant Engineer (AE) and 18 posts of Junior Engineer (JE), two CE; three EE, nine AE and 23 JE were posted.

However, Audit observed that contrary to orders, NPPs and NPs got approved their estimates from Executive Engineer of Public Works Department.

It indicated that due to unavailability of technical staff, NPPs and NPs were dependent on Government departments to perform their duties and it also caused delays in execution of development works.

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

6.2.2 Deficiency of staff in Revenue services

For timely and proper assessment of all buildings and lands to property tax without any leakages and to ensure collection of taxes and non-taxes as per demands, availability of staff of revenue services is imperative. However, Audit observed that in test-checked ULBs, overall 45 per cent posts of Revenue services were vacant, as detailed in *Appendix-XIV* and summarised in **Table 6.3** below:

Table 6.3: Showing status of manpower in test-checked ULBs under Revenue Services as on March 2020

Name of post	NNs		NPPs		NPs	
	SS	PIP	SS	PIP	SS	PIP
Chief Tax/Tax Assessment Officer	4	4	0	0	0	0
Tax/Revenue Assistant Superintendent	21	32	10	4	0	0
Tax Assessment Officer	8	7	4	1	0	0
Tax/Revenue Inspector	107	66	25	19	0	0
Tax collector	99	59	46	30	20	13
<i>Nayab Mohrir</i>	90	13	89	37	0	1
Total	329	181	174	91	20	14

(Source: Information provided by test-checked ULBs)

Audit further observed that in NN Lucknow, excess staff was deployed under the Chief Tax/Tax Assessment Officer, Tax/Revenue Assistant Superintendent and Tax Assessment Officer cadres, which needs to be rationalised for fair distribution of staff.

Thus, shortfall and uneven distribution in manpower of Revenue services impacted the efficacy of ULBs in levy and realisation of own tax and non-tax revenue, as detailed in *paragraph no. 7.2*.

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

6.2.3 Insufficient staff for sanitation activities

To keep the city/town clean and to ensure proper implementation of sanitation activities including solid waste management, availability of sufficient sanitation staff is essential. However, Audit observed that in test-checked ULBs, overall 43 per cent posts related with sanitation activities were vacant, as detailed in *Appendix-XV* and summarised in **Table 6.4** below:

Table 6.4: Showing status of manpower in test-checked ULBs under Sanitation activities as on March 2020

Name of post	NNs		NPPs		NPs	
	SS	PIP	SS	PIP	SS	PIP
Sanitation Inspector ⁶	65	63	26	17	0	0
Safai Nayak/Hawaldar	177	93	120	97	8	12
Safai karmachari	10009	5690	4979	2815	992	529
Zonal Sanitary Officer	8	6	0	0	0	0
Total	10259	5852	5125	2929	1000	541

(Source: test-checked ULBs)

Thus, insufficiency of manpower of sanitation activities led to not achieving of Service Level Benchmark (SLB) of Solid Waste Management (SWM), as discussed in *paragraph no 5.4*.

Further, as per provisions of UP Health Manual 28 *Safai karmchari* per ten thousand populations was required to ensure sanitation. However, Audit observed that strength of *Safai karmachari* was not sanctioned/revised on the basis of above norms. As a result, sanctioned post of *Safai karmchari* in test-checked ULBs was far less than the required numbers. The details of required *Safai karmachari* (considering population as per 2011 Census), their sanctioned post and person in position *vis-a-vis* manpower engaged through outsourcing is given in *Appendix-XVI* and summarised in **Table 6.5** below:

Table 6.5: Showing details of safai Karmachari in test-checked ULBs as on March 2020

Type of ULBs	Required Safai Karmachari as per norms	SS	PIP	No. of Safai Karmachari engaged through outsourcing
NNs	13,191	10,009	5,690	8,890
NPPs	5,100	4,979	2,815	3,209
NPs	1,441	992	529	1,122
Total	19,732	15,980	9,034	13,221

(Source: test-checked ULBs)

It is evident from above that due to not adhering to norms of UP Health manual, outsourcing of *safai karmacharis* were made on arbitrary basis as total staff engaged in sanitation work was 13 *per cent* and 39 *per cent* more than the norms and SS respectively, resulting in excess hiring of *safai karmacharis*.

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

6.2.4 Availability of manpower for water supply services

For proper operation and maintenance of water supply services, availability of sufficient manpower is required. However, out of 50 test-checked ULBs, in 38 ULBs (providing service on their own) overall 34 *per cent* posts were vacant, as detailed in *Appendix-XVII* and summarised in **Table 6.6** below:

⁶ Created under Public Health Services of CS.

Table 6.6: Showing status of manpower in test-checked ULBs for water supply services

Name of post	NNs		NPPs		NPs	
	SS	PIP	SS	PIP	SS	PIP
Engineer (Water)	25	12	6	3	0	0
Junior Engineer (Water)	38	17	10	5	0	0
Pump Attendant	49	40	85	38	10	10
Pump Cleaner	30	27	7	5	0	0
Pump Operator	638	399	74	75	8	19
Fitter Jalkal	58	22	14	4	1	5
Pump Mechanic	1	0	0	0	0	0
Jalkal Beldar	47	46	14	11	0	0
Water Supervisor	0	0	1	1	0	0
Total	886	563	211	142	19	34

(Source: test-checked ULBs)

Thus, deficiency in manpower (except in NPs) attributed towards inadequacy of water supply services (as discussed in *paragraph no. 5.4*) to some extent.

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

6.3 Assessment of human resources

The assessment of manpower should be based on the functions undertaken by ULBs with a view that majority of the functions which are service oriented have to be discharged within a reasonable time period. This assessment could be done best by ULBs themselves considering various criteria such as the extent of geographical area to be covered, the extent and type of population, the number of properties existing *etc.* Function-wise staff assessment, if carried out, would bring in more transparency in terms of specifying the roles and responsibilities for each position, requirement of skills and qualification for each role *etc.* This would also prevent any overlap of functions between two persons/posts.

As per provisions of Section 106 of UPMC Act and Section 71 of UPM Act, the Council was authorised to assess the requirement of manpower for performing their duties. Audit observed that in only five test-checked ULBs⁷, out of 50 test-checked ULBs, assessment of requirement of manpower was done by the Councils during the period 2015-20 and subsequently, requests were made with the State Government for sanctioning the required posts under NCS as per their needs. However, no action was initiated by the State Government on the proposals of Councils (as of November 2021).

Though, the powers to sanction posts across all three services of ULBs are vested with the State Government, however, no basis for sanction of posts was available with the Government. The State Government did not standardise any norms for creation of posts despite a proposal submitted (June 2016) by the Directorate in this regard. Further, the State Government also constituted (March 2018) a high powered committee to submit proposals in respect of norms for creation of minimum post in ULBs. However, no action was initiated by the State Government on the recommendations of the committee.

⁷ NPPs: Bachhraon (Amroha), Lalitpur, Sirsaganj & Tundla (Firozabad) and NP Pakbara (Moradabad).

In absence of any norms, posts sanctioned in ULBs were not enough to fulfil their obligations.

Thus, sanction of posts without any norms and without seeking the actual requirement from ULBs affected the discharge of duties of ULBs.

In reply, the UD Department stated (November 2022) that the recommendations of high-powered committee are under consideration. However, the reply was silent regarding reasons for delay in implementation on the recommendations of the aforesaid committee.

6.4 Powers over staff

As discussed earlier, the powers to appoint & promote officials, initiate disciplinary action, impose penalties *etc.*, in respect of the officials of CS, have not been delegated to ULBs. Further, powers of President and EO in respect of recruitment of staff of NCS and SS were also restricted by the State Government.

Recommendation 7:

The State Government may consider to delegate adequate powers over manpower resources to Urban Local Bodies in matters such as assessment and recruitment of required staff. Vacancies against sanctioned strength may be filled in Urban Local Bodies to enhance their efficiency and for better services to citizen.

6.5 Conclusion

The State Government did not devolve adequate manpower to ULBs. The ULBs did not have any powers over the staff of Centralised services. The ULBs also lack autonomy in management of affairs related with the staff of Non-centralised services. The powers of ULBs in respect of recruitment of staff under Sanitation services was also restricted by the State Government. ULBs also lack sufficient and technical manpower for carrying out their functions effectively.