

# CAPACITY BUILDING STRATEGY FOR URBAN LOCAL BODIES AND STATE GOVERNMENT ON SANITATION: ODISHA

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## ABSTRACT

*Sanitation in the urban areas of Odisha, as in most other parts of the country, has been a major challenge. Though one of the least urbanized states in the country, Odisha has registered a significantly high growth rate in the 2001-2011 decade and a considerable increase in the number of Census Towns. The Census of 2011 reflects the poor state of basic services such as water and sanitation in the urban areas. While only 42% of urban households have access to treated tap water, more than 35% do not have access to toilets and only a little over 58% have water closets, with the remaining using pit or other kind of toilets. As much as 98% of the septage and waste water is drained off into rivers and water bodies or into the open environment without any kind of treatment. The situation is of graver concern in small and medium size towns that face a greater capacity and resource crunch. Concerned with the dismal status, the Government of Odisha has initiated several measures to improve the overall situation. Odisha was, in fact, one of the first states to formulate an Urban Sanitation Strategy in 2011. A revised strategy (2016) is also in place focusing on FSM. Odisha revised the strategy and notified in December 2016. Since then several other initiatives, ranging from policy to legislations and programmes, are being drafted to bring about improvements. This document, part of the ongoing initiatives, describes a proposed strategy for capacity building of the urban local bodies (ULBs) for planning and managing sanitation facilities and services with a focus on urban septage and waste water management. The strategy has been developed with reference to small towns and municipalities (based on a study of Angul and Dhenkanal<sup>1</sup>).*

## PROBLEM STATEMENT AND RATIONALE FOR THE STRATEGY

The Government of Odisha has initiated activities in the wider urban development context as well as in specific areas such as sanitation and other basic services. However, there are several gaps that need to be strengthened. Overall, across the state, technology options available with the ULBs are limited and capacity enhancement is needed across the sanitation sector, including for waste water disposal. The major shortcomings are weak or inadequate institutional structures and poor policy frameworks; lack of political will due to low prestige of the sector; inadequate and poorly utilized resources; inappropriate approaches, standards and regulations; and neglect of consumer preferences. This lack of capacities is reflected in both the elected and the executive wings of the ULBs across size and functions.

- i. In small towns (like Angul and Dhenkanal), while on the one hand, the percentage of open defecation is significantly high, on the other, those in the community who have access to toilet facilities have not adopted adequately safe design and technology both in terms of construction and maintenance.

Hence, the ULBs need to urgently address the issue of ensuring standard designs, as well as operation and maintenance of toilets across the respective municipal areas.

- ii. Small towns are, in fact, at a stage where the ULBs concerned need to adopt multiple strategies to ensure adequate sanitation services in the areas under their jurisdiction. The strategy needs to focus on adopting improved and appropriate technologies along the complete cycle of sanitation management (including solid and liquid waste).

Hence, in terms of faecal sludge management this would mean ensuring that waste is safely contained, collected, transported, treated and, wherever possible, reused. This would also mean that while on the one hand the communities are made aware, mobilized and supported to adopt safe and hygienic practices, the municipality itself needs to adopt appropriate technologies and practices. This in turn would require revisiting the current human resources structure and management arrangements as well as developing appropriate capacity building inputs.

- iii. Sanitation is one of the major responsibilities of the ULB, and in terms of staff, engages the largest number of people. The basic sanitation services currently being provided are highly dependent on limited manpower and

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1. The study was undertaken by the Centre for Policy Research (CPR) as part of Project Nirmal, a pilot project in collaboration with the Government of Odisha and Practical Action. Supported by BMGF and Arghyam.

human resources, including a team of professionals who have other responsibilities. The launch of the Swachh Bharat Mission (SBM) has led to an additional burden on these officials without commensurate support in terms of effective guidelines, training and manpower. The new Municipal Cadre system also does not have a separate service category for sanitation; it is assumed that the functions would again be drawn from the Engineering and Community Development Services.

Hence, in the long run there is a need to review and define staff and human resource requirements in the light of the focus on sanitation, the new technologies that need to be introduced, the efficient management systems that will have to be put in place, the proposed agenda to engage with both communities and private providers, and the intensive Swachh Bharat Mission that has been launched in each town.

iv. Currently the framework and strategy for continuous capacity building of the staff in the ULBs is minimal and confined more or less to the senior staff like the Executive Officer, Municipal Engineer and the Accountant. The elected representatives are also at times exposed to orientations that are generic in nature.

Hence, there is a need to develop a clear capacity building strategy for sanitation that focuses on all staff engaged in the activity. The strategy has to take into consideration the technical as well as the management skills required.

v. The planning and management systems are weak and planning is undertaken on the basis of the previous year's budget and expenditure.

Hence, there is a need to build up a database on the sanitation status and requirements of the municipalities, prepare a comprehensive city sanitation plan, and develop efficient management systems to implement it. This will include monitoring and supervision; and by default it would also mean building up the capacities of the concerned officials.

vi. Community interface at present is minimum and restricted to receiving and addressing complaints through the offices of the Executive Officer or Ward Councillors. The sole Community Organizer is engaged in activities related to the National Urban Livelihoods Mission. Given that a ULB by definition is a community based institution in terms of structure, responsibilities and governance, its functions need to be tailored around the community.

Hence, it is important to establish a platform for regular interface between the community and the ULB, and to build up the capacities of the elected representatives as well as officials to engage with the communities. Community

awareness and an information strategy need to be developed and located within the process of service delivery.

vii. The ULBs are expected to generate and raise their own resources, including that for improved sanitation. However, they are constrained by access to information about potential sources and ways of accessing the resources, including private sector funds, CSR funds and borrowings from the market and state institutions.

Hence, while on the one hand the ULBs' confidence and capacities to access funds need to be built up, on the other their capacity to effectively use the resources also needs to be strengthened.

## STRATEGIC OBJECTIVES

Given that the service providers at the city level, primarily the ULBs responsible for planning and oversight of faecal sludge management (FSM) services, are constrained by lack of appropriate knowledge, technical guidelines and a regulatory framework; absence of adequate powers and capacities; inadequate human resource and skills; poor interface with the communities; and absence of coordination with other relevant agencies, the objectives for capacity building of ULBs for FSM are to:

- i. Adopt a ULB specific and locally conducive institutional model for sanitation and FSM, and adequately structure the sanitation team and functions within the ULB
- ii. Adopt a locally appropriate technical model for FSM
- iii. Establish efficient and effective systems, processes and guidelines for planning, implementing and managing sanitation interventions, including FSM
- iv. Create an enabling environment through appropriate Acts and Regulations
- v. Build capacities of the team and individual members in both technical and management functions
- vi. Build capacities to engage with the communities to bring about behaviour change related to sanitation, hygiene and FSM and establish a robust social marketing process)
- vii. Evolve a concurrent capacity monitoring and assessment system with multiple level and objective oriented indicators

## APPROACH AND THRUST AREAS

The approach for capacity building will be to adopt a multipronged strategy that will address the organizational structure, organizational capacities and individual skills and capacities. Additional attention will be paid to establishing an

effective interface with the communities. The state agencies will provide necessary guidance, oversight and resources.

The specific approach will be to:

- i. Focus on institutional issues, organizational strengthening, improvement of technical skills and functional management, and enhanced quality of engagement of other stakeholders, especially the community
- ii. Collectively understand the sanitation profile and needs of the ULB through intense surveys and consultations with a range of stakeholders
- iii. Identify and adopt an institutional model for FSM appropriate to the capacities and needs of the ULB based on technical research and study of best practices
- iv. In the long run build and establish a core sanitation team within the ULB; in the short run use services of external resources that will work in tandem with the project cycle to build capacities
- v. Strengthen the role of the district for planning and monitoring oversight, and to facilitate viable use of land for treatment and disposal
- vi. Develop a long-term strategy with short-term actionable goals and plans for improving the overall sanitation of the city with a focus on FSM based on research and consultation with stakeholders.
- vii. Strengthen the technical and management skills of the core team, as well as their skill and capacity to manage

contracts and coordinate with different stakeholders through targeted trainings and workshops

- viii. Enable the core team to mobilize the private sector for various cycles of the service chain through resource incentives and trainings on business management
- ix. Enable the core team to develop and implement a social marketing strategy to promote sanitation and appropriate FSM in the community
- x. Enable the core team to establish service level benchmarks and other relevant indicators as evidence of the impact of capacity enhancement and overall improvement in services
- xi. Enable the core team to develop an annual team performance appraisal process as an input to the annual planning practice, which will ensure a dynamic capacity building process
- xii. Support the ULBs (through the state level Housing and Urban Development Department) to develop training and capacity building modules by interfacing with resource agencies and best practices, sharing technical know-how and providing resource support.
- xiii. Regularly enhance learnings and capacities through a range of tools and methods, such as structured trainings, periodic planning and review workshops, peer learning and knowledge sharing through a learning portal, newsletters and state level workshops.



## STRATEGIC INTERVENTIONS AND KEY CAPACITY BUILDING INPUTS

The thrust areas and specific interventions required are as follows (Refer Annexe 1 for elaboration):

Strategic interventions	Key capacity building inputs
<b>ULB: Organizational Structure</b>	
i. In the long run create a core sanitation team for community centred service ii. Locate the team within the structure of the ULB iii. Establish coordination/ functional linkages with stakeholders iv. Strengthen the role of the district in planning/monitoring oversight; facilitate viable use of land for treatment and disposal	i. Define size/profile of required sanitation team ii. Gradually revisit and rationalize functions of existing staff iii. Cover HR gaps with time bound contracts/external resources iv. Ensure sufficient number of Community Organizers v. Establish functional linkages and reporting structure within the ULB vi. Establish functional linkages with elected representatives
<b>ULB: Organizational Capacities &amp; Systems</b>	
i. Establish effective systems for planning, implementation, supervision and monitoring	<b>Workshops/team meets to develop and establish systems/ protocols for:</b> i. Perspective and annual plans (GIS/ other planning tools) ii. Supervision of infrastructure construction/upgradation iii. MIS and monitoring strategy and plan iv. Preparation of DPRs, estimates and overall budgeting; protocols for pooling resources from various sources v. Continuous interface and feedback on service levels from communities – SLBs and Social Audits vi. A system for private sector participation and contract management
Strategic interventions	Key capacity building inputs
<b>ULB: Skill Development &amp; Upgradation</b>	
i. Build job oriented skills: <ul style="list-style-type: none"> <li>• Technical</li> <li>• Planning and management systems</li> <li>• Community processes</li> </ul>	i. Technical skill upgradation for SWM/LWM/FSM: Municipal Engineers ii. Skill upgradation for operating and maintaining SWM/ LWM/FSM facilities and services: Sanitary Inspectors/ Sanitation Workers/Pvt Contractors iii. Applying upgraded systems and processes – planning, budgeting, MIS, monitoring: Executive Officers/Municipal Engineers/ Accounts Officer/Community Organizers iv. Upgradation of skills in community processes: Community Organizers (Municipal Engineers/Executive Officers to be oriented)
<b>ULB: Community Interface &amp; Public Campaigns</b>	
i. Establish a platform for interface between ULB and community, including a dedicated system for quick grievance redressal on sanitation issues ii. Promote sanitation in the city	i. Activate Ward Committees and community participation platforms around issues of sanitation ii. Periodic planned campaigns to promote sanitation in the ULB iii. Establish service level benchmarks, generating periodic Report Cards and organizing Social Audits

Strategic interventions	Key capacity building inputs
<b>STATE SUPPORT</b>	
i. Establish a TSU for small towns/municipalities	<ul style="list-style-type: none"> <li>i. Prepare ToR with detailed structure and scope of work for TSU</li> <li>ii. Draft profile of specialists/experts (technical experts for SWM, LWM and FSM, programme and systems management, GIS community management and public relations)</li> <li>iii. Contract out TSU functions</li> </ul>
ii. State support through TSU for small towns/municipalities	<ul style="list-style-type: none"> <li>i. Prepare capacity building plan/ guidelines</li> <li>ii. Dissemination and orientation to CBP</li> <li>iii. Orientation of staff to technical and management techniques for urban sanitation/exposure to best practices</li> <li>iv. Annual workshops of ULBs to share and showcase experience</li> <li>v. Prepare training manuals, material and guidelines on sanitation</li> <li>vi. Set up a CB call centre/help desk that could be accessed by ULBs</li> <li>vii. Periodic assessment and review of capacities of ULBs to plan and manage sanitation functions</li> </ul>

## PHASING AND PROPOSED TIMELINE

The interventions will have to be phased over a period of three years.

ACTIVITY CLUSTER	KEY RESPONSIBILITIES	YEAR 1	YEAR 2	YEAR 3
<b>Establish State TSU &amp; ULB Level Core Teams</b>	State			
<b>Orientation and Training of ULBs/ Stakeholders</b>	State (TSU) in consultation with respective ULBs			
<b>Handholding to Prepare State and ULB level Perspective/ Annual Plans</b>	State (TSU) in consultation with respective ULBs			
<b>Handholding to Implement and Manage ULB Level Action Plans</b>	ULBs (Core Team)			
<b>Review Impact of Capacity Building/Document Lessons/Prepare Revised Capacity Building Guidelines</b>	ULBs (Core Team) with support from State (TSU)			

## INSTITUTIONAL STRUCTURE AND RESPONSIBILITIES

The institutional structure in place for sanitation is built around the ULBs, which in turn are governed by a team of elected representatives and an executing team consisting of administrators, engineers, finance and accounts persons, tax collectors, sanitary inspectors and a large contingent of sanitation workers. Some critical works like collection of garbage and cleaning of drains and tanks are outsourced to

private vendors. The staff (at the moment being reorganized under a State Municipal Cadre) performs multiple tasks and is engaged in several programmes. The capacity building strategy recommends, in the long run, a reorganization and constitution of a dedicated team for managing the sanitation functions. It also recommends the contracting of a technical support unit for handholding during the capacity building process (three years).

### Functional Linkages of the Proposed Institutional Model



## ANNEXE 1: CAPACITY BUILDING PLAN: STRATEGIC AREAS OF INTERVENTION

CAPACITY BUILDING COMPONENT	AREAS/ISSUES TO BE ADDRESSED	CAPACITY BUILDING INPUTS/SUPPORT TO BE PROVIDED	RECOMMENDED
<b>ORGANIZATIONAL STRUCTURE</b>	<p>In the long run creating an appropriate team dedicated to sanitation functions and community centred services:</p> <ul style="list-style-type: none"> <li>– SWM</li> <li>– LWM &amp; FSM</li> <li>– SBM</li> </ul> <p>Gradually locating the team within the overall structure of the ULB</p> <p>Establishing coordination/functional linkages with other relevant departments and agencies</p>	<p><b>Support ULB in:</b></p> <ol style="list-style-type: none"> <li>a. Defining number, profile and responsibilities of team required for sanitation related activities/interventions over the next 3 years with reference to enhanced technology, increased workload and community centred approach to address<sup>2</sup> <ul style="list-style-type: none"> <li>– SWM &amp; LWM</li> <li>– FSM</li> <li>– SBM</li> </ul> </li> <li>b. Revisiting requirements, rationalizing functions of existing staff, proposed Municipal Cadre and human resource provided under SBM; covering gaps by contracting time-bound consultants through Project Nirmal</li> <li>c. Ensuring adequate Community Organizers</li> <li>d. Preparing job descriptions</li> <li>e. Establishing functional linkages and reporting structure with the ULB</li> <li>f. Establishing functional linkages with elected representatives</li> </ol>	<p>Team construct to include:</p> <ul style="list-style-type: none"> <li>- Municipal Engineer for oversight with one Junior Engineer dedicated to setting up the infrastructure and facilities</li> <li>- Supported by Sanitary Inspector (reporting to EO) assisted by one Supervisor for each zone. Will oversee road and drain cleaning and lifting and transporting of solid waste</li> <li>- STPs/FSM units and dumping sites will be directly supervised by the Junior Engineer with the oversight of the Municipal Engineer until such time that the facilities operate on their own steam</li> <li>- Alternatively, the ULB may contract a technical agency on a BOT basis. Funds for this may be raised from the Infrastructure Development Trust Fund</li> <li>- Similarly, the Community Organizer in the ULB may be supported by a local NGO on contract basis</li> </ul>
<b>ORGANIZATIONAL CAPACITY</b>	<p>Establishing effective systems for planning, implementation, supervision and monitoring</p>	<p>Series of trainings and workshops with sanitation team to develop systems for:</p> <ol style="list-style-type: none"> <li>a. Preparing perspective and annual plans</li> <li>b. Developing a protocol for supervision of infrastructure construction/upgradation</li> <li>c. Developing an MIS and monitoring strategy and plan</li> <li>d. Improving system for preparation of DPRs, estimates and overall budgeting; establishing protocols for pooling resources from various sources</li> <li>e. Establishing a system for continuous interface and feedback on service levels from the communities</li> <li>f. Establishing a system for private sector participation and contract management</li> <li>g. Establishing a protocol for social audits</li> </ol>	<p>- Workshops and trainings may be jointly organized for both Angul and Dhenkanal in order to expand vision and share learnings</p>
<b>ORGANIZATIONAL/ INDIVIDUAL SKILLS</b>	<p>Job oriented skills:</p> <ul style="list-style-type: none"> <li>– Technical</li> <li>– Planning and Management Systems</li> <li>– Community Processes</li> </ul>	<ol style="list-style-type: none"> <li>a. Technical skill upgradation for SWM/LWM/FSM: <b>Municipal Engineers</b></li> <li>b. Upgradation for operating and maintaining SWM/LWM/FSM facilities and services: <b>Sanitary Inspectors/Sanitation Workers/Pvt Contractors</b></li> <li>c. Applying upgraded systems and processes – planning, budgeting, MIS, monitoring: <b>EO/Municipal Engineers/ Accounts Officer/ Community Organizers</b></li> <li>d. Upgradation of skills in community processes: <b>Community Organizers (Municipal Engineers/ EOs to be oriented)</b></li> </ol>	<p>Annual exercise to identify training and capacity building needs based on the annual sanitation plan for the ULB</p>

2. It is visualized that most of the staff could be recruited and deployed within the framework of the new Cadre system, which also recommends outsourcing of Class D employees. Any additional requirements may be sourced through external/CSR support.

CAPACITY BUILDING COMPONENT	AREAS/ISSUES TO BE ADDRESSED	CAPACITY BUILDING INPUTS/SUPPORT TO BE PROVIDED	RECOMMENDED
<b>ESTABLISHING INTERFACE WITH THE COMMUNITY</b>	<ul style="list-style-type: none"> <li>-Establishing a platform for interface between ULB and community, including a dedicated system for quick grievance redressal on sanitation issues</li> <li>-Promoting sanitation in the city</li> </ul>	<ul style="list-style-type: none"> <li>-Activating Ward Committees and community participation platforms around issues of sanitation</li> <li>-Periodic planned campaigns to promote sanitation in the ULB</li> <li>-Establishing service level benchmarks, generating periodic Report Cards and organizing Social Audits</li> </ul>	
<b>ROLE OF THE STATE</b>	<p>Orientation of staff to technical and effective management techniques for urban sanitation/exposure to best practices</p> <ul style="list-style-type: none"> <li>-Annual workshops of ULBs to share and showcase experience of individual ULBs</li> <li>-Preparing training manuals, material and guidelines on sanitation</li> <li>-Setting up a call centre type help desk that could be assessed by ULBs</li> </ul>		

## ACRONYMS

AMRUT	Atal Mission for Rejuvenation and Urban Transformation	MAS	Mahila Arogya Samiti
ANM	Auxiliary Nurse Midwife	MDG	Millennium Development Goal
APL	Above Poverty Line	MoUD	Ministry of Urban Development
ASCI	Administrative Staff College of India	MSW	Municipal Solid Waste
ASHA	Accredited Social Health Activist	NBA	Nirmal Bharat Abhiyan
BMGF	Bill and Melinda Gates Foundation	NGO	Non Government Organization
BPL	Below Poverty Line	NULM	National Urban Livelihoods Mission
CBO	Community Based Organization	NUSP	National Urban Sanitation Policy
CCBP	Communication and Capacity Building Programme	OBC	Other Backward Castes
CDMO	Chief District Medical Officer	O&M	Operation and Maintenance
CPR	Centre for Policy Research	OUSS	Odisha Urban Sanitation Strategy
CSO	Civil Society Organization	OWSSB	Odisha Water Supply and Sanitation Board
CSR	Corporate Social Responsibility	PCB	Pollution Control Board
DA	Development Authority	PHEO	Public Health Engineering Organization
DALY	Disability Adjusted Life Year	PMU	Project Management Unit
DLR	Daily Labour Rate	PRI	Panchayati Raj Institution
DPR	Detailed Project Reports	PPP	Public-Private Partnership
EO	Executive Officer	RWA	Resident Welfare Association
FSM	Faecal Sludge Management	SBM	Swachh Bharat Mission
GoI	Government of India	SDG	Sustainable Development Goals
GoO	Government of Odisha	SFC	State Finance Commission
HUDD	Housing & Urban Development Department	SIG	School Improvement Grant
IDSMT	Integrated Development of Small and Medium Towns	SLWM	Solid and Liquid Waste Management
IEC	Information, Education, Communication	SSA	Sarva Shiksha Abhiyan
ISO	Indian Standards Organization	STP	Sewage Treatment Plant
JNNURM	Jawaharlal Nehru National Urban Renewal Mission	SUDA	State Urban Development Agency
KAP	Knowledge, Attitude and Practice	SWM	Solid Waste Management
LWM	Liquid Waste Management	ULB	Urban Local Body
FSTP	Faecal Sludge Treatment Plant		