Odisha Urban Sanitation Strategy
2011
Odisha Urban Sanitation Strategy
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ABBREVIATIONS

AC Nielsen: a global market research firm
ARI: Acute Respiratory Infections
BSUP: Basic Services to the Urban Poor
CBO: Community Based Organization
CDS: City Development Society
CPCB: Central Pollution Control Board
CSP: City Sanitation Plan
CSTF: City Sanitation Task Force
DUDA: District Urban Development Agency
DUSC: District Urban Sanitation Committee
FY: Financial Year (01 April – 31 March)
GoI: Government of India
HRD: Human Resource Development
HUDD: Housing & Urban Development Department
IHSDP: Integrated Housing & Slum Development Programme
ILCS: Integrated Low Cost Sanitation
JnNURM: Jawaharlal Nehru National Urban Renewal Mission
M&E: Monitoring & Evaluation
MDGs: Millennium Development Goals
MIS: Management Information System
MoUD: Ministry of Urban Development; GoI
NFHS: National Family Health Survey
NGO: Non-Governmental Organization
NSSO: National Sample Survey Organization
NUSP: National Urban Sanitation Policy
ODF: Open Defecation Free
O&M: Operation & Maintenance
ORG-MARG: a syndicated market research agency
OSPCB: Orissa State Pollution Control Board
OVIIs: Objectively Verifiable Indicators
OWSSSB: Orissa Water Supply & Sewerage Board
PCB: Pollution Control Board
PHEO: Public Health Engineering Organization
PPCP: Public Private Community Partnership
PPP: Public Private Partnership
PWD: Public Works Department
RAY: Rajiv Awas Yojana
SC: Scheduled Caste
SPCB: State Pollution Control Board
SSA: Sarva Sikhya Abhiyan
SSNA: State Sanitation Nodal Agency
ST: Scheduled Tribe
SUDA: State Urban Development Agency
SUSF: State Urban Sanitation Fund
SUSM: State Urban Sanitation Mission
SUSMC: State Urban Sanitation Management Committee
SUSSC: State Urban Sanitation Steering Committee
TNA: Training Needs Assessment
UIDSSMT: Urban Infrastructure Development Scheme for Small & Medium Towns
ULB: Urban Local Body
WCD: Women & Child Development
A. Preamble

The MDGs enjoin upon signatory nations to extend access to improved sanitation to at least half the urban population by 2015, and 100% access by 2025. This implies extending improved sanitation coverage to the un-served households and providing proper sanitation facilities in public places; for making cities open-defecation free. The National Urban Sanitation Policy (2008) envisions that all Indian cities become totally sanitized, healthy and livable; ensure and sustain good public health and environmental outcomes for all their citizens with a special focus on hygienic and affordable sanitation facilities for the urban poor and women.

Odisha has the lowest level of urbanisation (nearly 15 per cent of the state population of 37 million) amongst the major states in India. There is significant inter-district variation with Khurda district in coastal Odisha reporting an urbanisation rate of 43 per cent at one end of the spectrum and Boudh in south-central Odisha, having an urbanisation rate of only 5 per cent at the other. Urban Odisha population comprises of 13 per cent SC population (12 per cent of the state total) and eight per cent ST population (6 per cent of state total). Over the period 1991-2001, urban population has grown nearly twice than the state population. However, starting from a low base of urbanisation, while these rates appear high; the challenges posed by absolute numbers do seem manageable.

The urban sanitation scenario is a cause for concern - 40% of urban households in the state do not have access to a latrine, another 11% of households have to share latrines with others (NFHS 2006). The level of access to sanitation is even lower in the slum settlements of the urban areas.

The impact of unsafe sanitation conditions and behaviour are immense that adversely affect the urban poor, women and children. Besides poverty, lack of tenure, housing and environmental conditions in slum etc., constrains the urban poor households from gaining access to safe sanitation.

The new thrust areas such as devolution of governance as well as civic functions to Urban Local Bodies, urban development and renewal, and tackling sanitation in a more integrated and comprehensive manner, make it imperative for the state government to set forth a strategy to address the different aspects of sanitation management – tackling both liquid and solid waste - in a systematic, coordinated and time-bound manner.

B. Situation analysis

The Situation Analysis of sanitation arrangements in urban areas of Odisha was carried out in November 2009 and the key issues were discussed in a state level workshop at Bhubaneswar in January 2010. The Situation Analysis highlights the following issues that need to be addressed by the Odisha Urban Sanitation Strategy:

- Need to have adequate baseline information: especially comprehensive information about the full cycle of sanitation (viz. from household arrangements to collection to disposal/treatment);
- Need to ensure access to sanitation for the un-served, urban poor and non-resident/浮动 households and populations:
  - About 40% urban households do not have access to toilets, and another 11% have to share toilets. The situation in the slums and squatter settlements is worse.
  - Socially disadvantaged groups (SC/ST households) have poorer access levels – 67% of SC and 73% of the ST households do not have access to toilets.
o In 2001, 23% of urban Odisha resided in slums (Census), a similar proportion being reported by the State of Environment report (2004) also. Only 32% of the slums are notified (NSSO, 2010) and 40% of the population residing in slums report no access to latrines;

o The stagnation in urban household sanitation coverage over the 2001-2008 period amidst reports of increasing urbanisation, is a challenge;

o Public Toilets exist in urban areas and are accessed by a substantial number of users but the number of seats is inadequate especially in locations with high seasonal and floating populations viz. tourist/religious sites);

o Operations of Public Toilets in urban centres (mostly outsourced to NGO/private agencies by ULBs for management) present a mixed picture, with some beset by problems of inadequate water supply and not catering to local user needs (like early morning hours for labour population);

o More than 16 million tourists visit Odisha (AC Nielsen ORG-MARG, ref. period 2005-2006), comprising of 3.6 million domestic overnight visitors, and 12.6 million day tourists. A significant proportion of the domestic overnight visitors seek accommodation units and about 70% of them come for leisure and holiday. Toilet facilities and environment were reasons for dissatisfaction of about 18% of the tourists.

• Need to build capacities within ULBs and other line agencies for participatory city-wide sanitation management, through the support of specialized agencies (state-level) and community level organizations:

o About 26% of the urban population is resident in the three Municipal Corporations, 50% live in the 37 Municipalities and 24% are in the 63 Notified Area Committees.

o Only two of the Municipal Corporations had reported sewerage provisions and only 8% of human excreta generated in urban Odisha is treated by any formal sewage treatment system (CPCB, 2009);

o On-site sanitation systems (septic tanks, pit latrines) predominate in urban areas but current practices point deficiencies in construction, lack of proper sludge disposal/treatment facilities and also sometimes problems with access to septic tank/pits;

o ULBs are also constrained by inadequate personal and systemic capacities for social mobilization and implementing user-participatory programs;

o ULBs which are statutorily responsible for providing public health and sanitation services to the households, suffer from constraints of adequate technical knowledge, staff shortage for coverage and enforcement, technical and financial problems that hinder correction of identified infrastructural or management solutions;

o The financial position of ULBs indicates an overt dependence on government (state and central) grants and scheme pass-through. This constrains the ULB in developing internal capacities for planning and management as current fund sources do not have provisions for that;

o In matters of personnel systems at the ULBs, Odisha follows a mixed system in which the higher officials at the technical and administrative levels (on-deputation) are drawn from the State Government from different cadres, the middle level functionaries are appointed by the State Government and are transferable to other units and the lower level staff are borne on the ULB only. This leads to a system in which cadre specializations do not match management
requirements at ULB. The need for the formation of a dedicated cadre for Municipal management has been articulated earlier. Also, the need for creating facilities for building capacities of urban managers and the support cadre is also a felt need.

- Need to clarify the roles and responsibilities and possible opportunities of different stakeholders - institutions, citizenry, private enterprise - in sanitation provision and maintenance along with service delivery norms:
  - Community participation is reportedly low in the implementation of programs that have sanitation components (household or public facilities).
  - Solid Waste management, after the passage of the Municipal Solid Waste Handling Act and Rules, occupies primary focus in ULBs, but suffers from lack of adequate community involvement and constraints with respect to safe disposal.
  - Existing Municipal laws provide for punitive action against house/building owner in case of letting out waste impacting local environment. However, punitive action recommended is not a major deterrent and seldom enforced. Also, clarity on provisions to be made in places frequented by public (eating places, shopping areas) need to be detailed in the bye-laws of the ULBs. Even with the necessary legal provisions, city managers find enforceability a problem.
  - There are a few NGOs that have built social mobilisation and technical expertise in sanitation through work in the rural domain and some have started to work in the urban domain;
  - The presence of significant number of service latrines (2002) and subsequent tightening of the ban on manual scavenging, indicate the presence of significant numbers of personnel who require rehabilitation. Also, current work practices within ULBs in septage management including disposal point to the need for significant improvements to ensure workplace safety and dignity of labour. Safai Karmacharis continue to be a vulnerable group in the whole chain of sanitation management. Their working conditions, safety needs, health hazards have not received adequate attention;
  - School sanitation could provide a key entry point for initiating and sustaining behaviour change amongst the urban population. Curriculum improvements and hygiene education utilizing successful experiences of the on-going programs (like SSA) need to be thought of, as also dovetailing these into the National School Sanitation Initiative launched by the Ministry of Urban Development, Government of India.

- Need to provide directions on setting standards relating to sanitation technologies (at household/community level), and wastewater disposal methods for different settlement characteristics anticipated across the state:
  - Even while 47% of the urban households report access to improved sanitation facilities, comprehensive city-wide data and information on safe confinement and safe disposal is lacking and empirical evidence points to significant deficiencies in safe management of faecal waste and public health risks thereof in urban areas;

- Technology options have been limited and financial sustainability unclear considering the ULB financial situation. Directions are needed on provision of technical knowledge with respect to sanitation technology options and wastewater disposal methods along with easily comprehensible evaluation methods that incorporate risk factors like natural disasters;
• There is poor awareness amongst households, institutions and city managers of the implications of poor sanitation and its inherent linkages with public health. Departmental divides have further limited movement towards establishing this linkage. Directions on awareness-creation and providing information about the full cycle of sanitation (household confinement, collection and safe treatment/disposal) are needed;
  o Directions on raising awareness amongst public and institutional stakeholders at all levels, triggering behaviour change and sustaining this;
  o Use of this information as input for planning and implementation of sanitation plans
• Current investments in sanitation are done in a piece-meal manner and have proven never-ending. The need for an integrated city-wide approach aimed at successful outcome needs to be highlighted;
  o Designating nodal agency at state/regional levels that regulate, direct and support the ULB initiatives in sanitation with adequate human and capital resources;
  o Clarity of processes that would help sustaining positive sanitation outcomes.
• Odisha has been frequented by natural disasters, especially cyclonic storms. Sanitation solutions need to be ideally matched with the risk profile of the area, and suitable guidelines must be framed for any emergency response.

A uniform strategy is required that retains enough flexibility to accommodate local situations anticipated in different parts of urban Odisha, while providing adequate guidance to the development stakeholders including ULBs, NGOs and other support actors.

C. Vision: All cities and towns in Odisha become totally clean, sanitized, healthy, liveable, ensuring and sustaining good public health and environmental outcomes for all citizens, with a special focus on hygienic and affordable sanitation for the urban poor and women; in line with the National Urban Sanitation Policy.

D. Goal: The overall goal of this strategy is to transform urban Odisha into community-driven, totally sanitized (safe), healthy and liveable cities/towns that are managed by ULBs with citizen and stakeholder participation. The specific goals are:

a. Increasing Awareness and Instilling Sustained Behaviour Change
   i. Generating increased awareness about sanitation and its linkages with public and environmental health amongst communities and institutions;
   ii. Promoting mechanisms to bring about and sustain behavioural changes aimed at adoption of healthy sanitation practices;

b. Achieving Open Defecation Free Cities
   i. Move towards a situation where all urban dwellers have access to and use safe and hygienic sanitation facilities and arrangements so that no one defecates in the open. In order to achieve this goal, the following activities shall be undertaken:
      1. Promoting access to households with safe sanitation facilities (including proper disposal arrangements);
      2. Promoting community-planned and managed toilets wherever necessary, for groups of households who have constraints of space, tenure or economic constraints in gaining access to individual facilities;
      3. Adequate availability and 100% upkeep and management of Public Sanitation facilities, for floating population and community toilets for urban poor in all urban areas, to rid urban centres of open defecation and environmental hazards;
c. Enabling Integrated City-wide Sanitation
   i. Re-Orienting Institutions and Mainstreaming Sanitation
      1. Mainstream thinking, planning and implementing measures related to sanitation in all sectors and departmental domains as a cross-cutting issue, especially all urban management endeavours;
      2. Strengthening state, city and local institutions (public, private and community) to accord priority to sanitation provision, including planning, implementation and O&M management;
      3. Extending access to proper sanitation facilities for poor communities and other un-served settlements;

d. Ensuring 100% Sanitary, Safe Treatment and Disposal
   i. 100 % of human excreta and liquid wastes from all sanitation facilities including toilets must be safely treated and disposed of. In order to achieve this goal, the following activities shall be undertaken:
      1. Promoting/encouraging safe and properly constructed on site sanitation arrangements, wherever cost efficient and sustainable;
      2. In case of network-based sewerage systems, adequate connectivity of households and demonstrated financial viability for O&M would be required to ensure sustainability and proper functioning of the system;
      3. Promoting proper disposal and treatment of sludge from on-site installations (septic tanks, pit latrines, etc.);
      4. Ensuring that all the human wastes are collected safely, confined and disposed of after treatment so as not to cause any hazard to public health or the environment;
      5. Promoting recycle and reuse of treated waste water for non-potable applications wherever possible.

e. Proper Operation & Maintenance of all Sanitary Installations
   i. Promoting proper usage, regular upkeep and maintenance of household, community and public sanitation facilities;-sewage/septage treatment facilities
   ii. Strengthening ULBs to provide or cause to provide, sustainable sanitation services delivery.

E. Phasing of outcomes
These Goals will be achieved over a period of six years, i.e. 2011-2017, in a phased manner. The state will aim to achieve year-wise target for ODF status across urban Odisha beginning with ODF status for 5% of the wards in each ULB during the FY 2011-12 and progressively raising it to 10% by FY 2013, 20% by FY 2014, 50% by FY 2015, 80 by FY 2016 and 100% by the end of FY 2017. As part of the strategy, efforts will be made to showcase Bhubaneswar as the first ODF city of Odisha within FY 2011-12. City-wise, Bhubaneswar and Cuttack will be the pilot ODF cities beginning FY 2011-12.
In the first phase, all 3 Municipal Corporations and 5 Municipalities are to prepare their CSP by FY 2010-11. The rest 32 Municipalities and all NACs will prepare their CSP in similar manner within a definite time-frame. A more detailed road map with OVIs to measure outcomes will be prepared by the SSNA and announced by the State Urban Sanitation Mission after integration of all the CSPs. The ULBs will accord sanitation as a priority basic service; and act upon accordingly.

F. Principles: The state strategy is based on the following principles:-

a. Increased awareness and changing mind-sets: The causal linkages of sanitation with public and environmental health need to be made more explicit to citizens, communities and institutions. In addition to the provision of facilities, sustained improvements in quality of life are possible when supplemented by hygiene behaviour changes. Thus, sustained communication and behaviour change triggers are necessary.

b. Sanitation as basic service: The state govt. will strive to create opportunities and provide necessary support through which all the citizens can have access to sanitation services as their basic entitlement; while enjoining the household to be responsible for maintaining such facilities and ensuring safety as declared by the Urban Local Body. This will be complemented with efforts to generate demand for sanitation amongst the un-served households. The state will also make efforts to resolve tenure, space and affordability constraints for providing individual sanitation facilities preferably; and community facilities where individual provision is not feasible. The emphasis will be to try and ensure that every urban dweller is provided with minimum levels of sanitation, irrespective of the legal status of the land in which he/she is dwelling, possession of identity proof or status of migration. However, the provision of sanitation services would not entitle the dweller to any legal right to the land on which he/she is residing. Adequate quantum of funds will be earmarked by the state govt. with clear modalities for allocation, to enable the provision of services to the urban poor. The ULBs are also enjoined to make annual budgetary provisions for supporting the cause.

c. Institutional roles and responsibilities: The strategy will hinge on progressive articulation in policy and law followed up by operations that are in line with the spirit of the 74th Constitutional amendment. Devolution of functions, funds and functionaries will need to be progressively ensured to the ULB with adequate support for building planning and management capacities. The quality of planning and implementation of the city-wide sanitation plans will depend on the extent of deepening in urban governance through the formation of sub-city representative institutions and the active role that these institutions are given.

d. Sustainability of sanitation arrangement: Sustainability shall be achieved through realistic planning considering trade-offs between on-site and off-site sanitation arrangements, proper management arrangements and realistic fund flows enabling capital cost contributions and operating cost contributions.

e. City-wide integrated development: Water, sanitation, health and environmental sanitation services need to be coordinated at city (and sometimes region) level. Sanitation needs to be mainstreamed in all urban management endeavours through inclusion of sanitation aspects in planning and implementation, across all sectors and departmental domains as a cross-cutting issue. Development of City Sanitation Plans is mandatory as directed by the national Urban Sanitation Policy before sanctioning of funds.
**f. Environmental integration**: The environment (land, water and air resources) must be considered in all development activities for sanitation provision and management. All planning and implementation will seek to ensure that risks to public and environmental health are adequately minimised at all steps of faecal management – containment, conveyance, treatment and disposal. Appropriate protection of the environment shall be applied, including prosecution under law where required.

**G. Institutional mechanisms for urban sanitation**
The existing multi-tier (State-District-City/Town) institutional arrangement shall be oriented within the scope of increased devolution initiated over the last two years, with clear assignment of roles, responsibilities to the institutions as detailed below:

a. **State level institutional set up**:  
The Housing and Urban Development Department, Government of Odisha shall provide the finance, human resources and technical support to the ULBs and assign clear roles to its subsidiary organisations like SUDA, Development Authorities, PHEO, OWSSB, Odisha State Housing Board, etc. This parent department will be responsible for the implementation of the State Urban Sanitation Strategy. The state institutional platform needs to also provide scope for convergence between the ULB and line department functions further strengthening the devolution initiatives and also build partnerships with private/NGO sector to leverage technical expertise in sanitation and social mobilisation. The institutional arrangement at the state level is thus, a three-tier arrangement:

i. **State Urban Sanitation Mission (SUSM)):-** The apex body, chaired by the Hon’ble Chief Minister, providing overall guidance and policy direction to urban sanitation initiatives in the state, and overseeing the planning and implementation of the state strategy.  
   *(The composition of the SUSM is detailed in Annexure- I)*  
   ➢ The Mission will direct all departments and agencies, apart from the ULBs, for the successful implementation of the Odisha Urban Sanitation Strategy.

ii. **State Urban Sanitation Steering Committee (SUSSC):-** An inter-departmental-executive setup, to provide strategic support to the State Urban Sanitation Mission (SUSM); and to ensure successful execution of the state strategy by periodic evaluation of progress across Departments.  
   *(The composition of the SUSSC is detailed in Annexure- I)*  
   ➢ The SUSSC will guide the actions of the State Urban Sanitation Management Committee (SUSMC) and ensure convergence with other Departments for optimising efforts towards successful outcomes.

iii. **State Urban Sanitation Management Committee (SUSMC):-** A core H & UD Departmental line agencies setup to provide implementation support to the State Urban Sanitation Mission (SUSM); and to ensure successful implementation of the state strategy by periodic review of progress across line agencies.  
   *(The composition of the SUSMC is detailed in Annexure- I)*  
   ➢ The SUSMC will decide the framework for appropriate and effective MIS, HRD, and M&E systems, implementation of the Urban WATSAN Communication Strategy, engagement with support organisations, and partnerships (PPP or otherwise) required for the sanitation initiatives. It will provide strategic direction to the State Sanitation Nodal Agency for development, procurement and application of appropriate technology options and service standards for higher environmental and public health outcomes.
iv. **State Sanitation Nodal Agency (SSNA)**:- OWSSB to function as the nodal agency for facilitating implementation of the State Strategy. The SSNA will be led by the Executive Director, OWSSB will be the Nodal Officer and s/he will be designated as State Programme Officer, Urban Sanitation. S/he will be supported by a Technical Cell comprising at least four professionals with more than 5 years of experience in urban sanitation, social mobilisation, communication and capacity building. The Cell will provide technical, managerial and professional support to the SSNA.

(The composition of SSNA is given in Annexure-I; and the detailed chart of roles and responsibilities in Annexure-II)

- The SSNA shall set out guidelines for ULBs to operationalize different components of the sanitation strategy; including third party roles, etc. The SSNA shall be responsible for development and deployment of appropriate MIS (including M&E) systems, HRD systems, communication strategy, empanelment of consultants, advisors and other third party support requirements.

- The SSNA shall, under directions from the SUSM/SUSSC, liaise with other line departments and agencies (like Health and Family Welfare Dept., SPCB, etc.) to finalise outcome indicators, enable data capture, etc. The SSNA would also seek to bring in successful experiences in other cities, develop collaborations and suitable models for technical options and social mobilisation, including making use of available expertise within government.

- The SSNA will be responsible for guiding ULBs in the preparation of City Sanitation Plans, channelling financial resources from state, central and externally aided sources and providing technical assistance required by ULBs.

- The SSNA will examine the need and possibilities of improving and securing (making safe) the work conditions of Safai Karmacharis, the sanitation needs of the urban poor, examine the sanitation situation in schools, especially the situation of girl children, with the idea of using this platform also, to trigger behaviour change in the community, design and implement suitable reward schemes that provide incentives to ULB to achieve positive sanitation outcomes, and promote demand-based sanitation while ensuring that suitable protocols for maintenance are set up.

- The SSNA will be responsible for advising the state government on necessary modifications/notifications required by law to affect the sanitation strategy, examine the updation of the Development Control Regulations, and provide other technical know-how for effective management.

b. **District level institutional set up:**
In the current devolution scenario, most of the ULBs (barring the three Municipal Corporations) may have considerable deficits in capacities to plan, implement and monitor urban sanitation programs. While it is expected that ULBs will develop these capacities over the medium term (next three to five years), a district level mechanism will be the appropriate institution for guiding and assisting ULBs in urban sanitation, in coordination with different line departments and their frontline units at the district and the ULB levels. This will also enable leveraging on capacities and programs ongoing in the nearby rural areas.
i. **District Urban Sanitation Committee (DUSC-DUDA)** - Chairied by the District Collector, it will be the District level monitoring and implementing agency for urban sanitation programmes, schemes and strategies with Mayors/Chairpersons and Commissioners/ Executive Officers of ULBs, heads of line departments, and representatives from local industries associations, NGOs, etc. The DUSC shall:

- Remain in constant liaison with the SSNA for implementation of the State Urban sanitation Strategy and coordinate between the ULBs in the District and the State for timely and proper flow of information;
- Direct the Integration of city sanitation planning in the ULBs according to the directions of the State level nodal agency.
- Monitor the progress of preparation of CSPs, and implementation of sanitation promotion, health and environment outcomes, in urban areas of the district and report as required by the SSNA;
- Plan for emergency requirements (floods, cyclones, etc.) of sanitation and also seasonal requirements (festivals, fairs, etc.) and approve the arrangement;
- Direct the coordination of the activities of line department frontline personnel towards enabling planned sanitation outcomes.
- Assist the ULBs in carrying out their tasks as provided for in the City Sanitation Task Force (below) in the initial phase.

c. **The ULB level institutional set up:**

i. **City Sanitation Task Force (CSTF)** will be created within the ULB under the leadership of the Commissioner/ Executive Officer to design, implement and monitor the sanitation promotion programs in the respective ULBs. The CSTF will be responsible for:

- Preparation of baseline database and situation analysis;
- Design of city sanitation plan (CSP) emphasizing participatory approaches;
- Ensuring use of sanitary latrine by all and ensuring safe disposal of sewage;
- Conduct of city-wide communication campaign;
- Monitoring progress of the campaign and make periodic corrections as needed and regular reporting to district and state coordination agencies;
- Working with support organisations, line departments and civil society formations in setting up systems that enable community level monitoring and management of common sanitary facilities;
- Developing systems that enable community-based monitoring of public health and environmental outcomes;
- Working with the appropriate line departments and civil formations to identify and develop suitable citizen-interaction platforms as a hub for the communication and also monitoring;
- Design and implement incentive schemes for ward or suitable sub-city administrative territory and other identified units – schools, slums, shopping areas; etc.

The CSTF will have membership of the relevant elected representatives heading the standing committees and also of women members. *(The composition of the CSTF is detailed in Annexure-I)*

d. **Sub-city level institutional set up:**

i. **Ward Committee/Area Committee** will be constituted to be responsible for oversight and implementation of the CSP within the ward and report to CSTF. It will also be responsible for monitoring the progress of the campaign and school sanitation initiatives.

ii. **Support Organisations**: CSTF may involve identified committed NGOs and CBOs by allocating clear roles and outcomes. Private sector involvement is to be encouraged through voluntary efforts, financial contributions or the PPP route.
H. Planning and financing

a. Planning

i. ULB level: City Sanitation Plans (CSPs) will need to be prepared in a participatory manner through consultations with urban citizens, especially the poor and women. The goal of making cities open defecation free and moving towards a safe disposal system for sewage will be the main thrust of CSP. The phasing of the plan, its operational elements, choice of technology options and finances will feature in the plan. This plan will be integrated into the overall development plan of the ULB and will also be reviewed by the DUSC to dovetail it with other urban infrastructure development initiatives. The CSPs need to be readied within a definite time frame.

ii. State level: The SSNA will consolidate CSPs into a state level plan specifying the time frame, finances, operational components and guideline-sets for these components, to enable the state to earmark resources. The ULB will align to the State plan. Special emphasis will need to be given to urban centres that attract floating population seasonally (tourism) or sporadically (religious/cultural occasions) for planning. Also, appropriate environment-friendly solutions would need to be incorporated for these locations.

A communications strategy evolved at the state level would guide the awareness generation and Behaviour Change Communication components at the ULB level.

b. Investment requirements and financing options

i. A dedicated State Urban Sanitation Fund may be set up under the budget of Housing and Urban Development Department with outlay from the state budget, supplemented by any provisions from MoUD, GoI. The proposed SUSF will be utilized for urban sanitation, and will focus on assisting the ULBs in the management – planning, communication, monitoring, etc. - aspects of sanitation programme. Guidelines for access and use of this fund would be framed and the SUSC will advise the department on the approval and sanction of ULB proposals. It will be mandatory for ULBs to commit to prepare the CSP for accessing this fund, and subsequent fund flows will be conditional with the implementation of the CSP.

ii. The consolidation of ULB City Sanitation Plans (anticipated over the 2010-2012 period) at the state level would indicate financing requirements for implementing total sanitation in the urban areas of the state.

iii. A portfolio of funding sources - funds available through schemes like JnNURM, BSUP, IHSDP, UIDSSMT, ILCS and RAY; funds committed through externally aided projects, PPP options with private or corporate sector – and possibilities of partnerships with NGOs, private sector and other sanitation sector participants would be explored by the SSNA and clear guidelines issued to the ULB on the nature and modalities for access these.

iv. Looking at the availability of funds, the need to incentivise ownership and maintenance of sanitation provisions and the exigencies of sustaining provisions created, guidelines will be developed on user fee and related principles. Examination of finance shortfall will also enable the state level nodal agency (SSNA) to develop appropriate estimations of required supplementary quantum through the state budget or advice on utilization of Finance Commission funds already earmarked; or instruct the ULB to make necessary cross-subsidization.
v. The H & UD Dept. will earmark a certain percentage of its annual budget over six succeeding financial years (from FY 2011-12 to FY 2016-17); towards soft components-behaviour change, communication, technical support and administrative cost, which is essential to set the strategy in place and implement action plans. The approximate fund requirement for implementing the strategy and making SUSM, SUSSC and SSNA operational for FY 2011-12 is projected to be Rs. 3, 20, 65, 000.00; and over the period FY 2011-12 to FY 2016-17, it is Rs. 23, 98, 91, 762.00. (Details of financing provision for this purpose are provided in Annexure-III).

vi. So far as the hard components are concerned – CAPEX and OPEX on creating and maintaining sanitation infrastructures, budgetary allocation to cities will be made for construction and maintenance of sanitation infrastructures, which will be linked with current need assessment and ODF performance of a particular city.

vii. The ULB concerned will earmark a certain percentage of its own resource to be spent on creating and maintaining vital sanitation infrastructures in the city on sustainable basis; with objectively verifiable results thereof. This will be adjudged as an initiative towards ODF status.

I. Incentives for ULBs to make progress in sanitation

a. The state will institute an assessment scheme to encourage competition and transparency in sanitation actions, amongst the towns/cities in Odisha. The goal of the reward is to encourage ULBs to strive for 100 per cent access to sanitation facilities to all residents and 100 per cent safe disposal of all waste generated within the urban environs. The assessment and award is based on the premise that improved public health and environmental standards are two outcomes that ULBs must ensure for urban citizens. In doing so, city governments must adopt a holistic, city-wide approach while incorporating processes that help reach outputs pertaining to goals of this strategy.

b. The state reward scheme would be designed in consultation with the ULBs, for incentivising city performance in sanitation aspects. It would consist of an assessment format with weighted indicators (this would possibly enlarge on the Nirmal Shahar Puraskar introduced by the Government of India – for details on rating schema refer Annexure-IV), and would also provide basis for performance based financial incentives for cities making progress on the sanitation front. The scheme will have earmarked budgets requisitioned from the state budget (and could be part of the SUSF).

J. Implementation

a. Setting the standards:
The SSNA will draft and issue guidelines for the ULBs in sanitation management covering:
   i. Environmental standards (like PCB effluent standards for discharge to land and water)
   ii. Public Health indicators and standards (like incidence of diarrhoea, ARI, Water Quality standards – faecal coliform)
   iii. Safety standards for workers involved in safe sanitary disposal and management including identification of hazards and minimum worker-safety and process-safety standards to be maintained.

b. Service delivery:
   i. The ULB concerned will be accountable with regard to service delivery and for assets created and managed as part of the initiative.
   ii. All service providers will confirm to the SLB standards stipulated by the Govt. & report accordingly.
iii. All asset-creation that results from the CSP will be clearly inventoried and ownership made clear. Service delivery could be through agencies contracted by the ULB. However, all non-household assets would be owned by the ULB with clear lease arrangements for users.

c. Regulation, coordination and ULB primacy:
   i. Strengthening existing state level institutions that are charged with ensuring compliance of ULBs to environmental standards (e.g. State Pollution Control Boards), health outcomes (e.g. Health Departments), and Service Delivery Standards (e.g. State Urban Departments). Wherever these responsibilities or action on deviance are not spelt out clearly, the SSNA would examine and advise the state government on making these clear. The strategy also identifies the ULB as having the key regulatory role over all properties and agencies/households in the city in respect of outcomes and stipulated process standards, subject to due cognisance of law.

d. Monitoring & Evaluation:
The institutional setup at the city-district-state will be responsible for operating the M&E system detailed by the SSNA. The outputs of this will be reported and reviewed by the Government of Odisha. The key guiding principles would be:
   i. State level agency (SSNA) will be responsible for M&E of cities’ performance;
   ii. ULBs in turn need to track compliance of households (establishments, etc.) with outcomes and process standards that it has adopted;
   iii. Supplementary features like introducing citizens’ report cards, citizens’ monitoring committees, self-assessment system, inter-city competitions, etc. will be considered as part of the overall State strategy. The roles of third party agencies - NGOs and CBOs - in this process will be made clear.

e. Capacity Building & Training:
   It is understood that the capacities of the existing ULB structure – political and executive – are rather limited, to proactively take up and manage the list of activities envisaged under this strategy. Suitable institutions that are equipped to build capacities in these local bodies are imminent and a state training institute for urban leaders and managers is urgently recommended. In the interim, the SSNA could make use of the training capacities already built up within the state and districts for the rural sanitation campaign and utilise these to create the pool of local trainers necessary for the implementation of the strategy with necessary urban adaptations. This pool of master trainers will impart cascaded training sessions to ensure coverage of all stakeholders, within the ULB. ULBs will need to provide training on sanitation to their own staff – using these identified state level resource agencies. They will need to utilize Govt. of India (including NUSP) and State Government Schemes for training and capacity building in order to achieve this.

The SSNA would develop the content-needs document and TNA for this HRD exercise. This will also need to focus on capacity building, i.e. not just training but also development of systems and capacities of ULBs in sanitation (including both internal and external communication), in line with the Urban Sector Reforms that the state may be implementing. Where needed, the SSNA would identify, select and engage specialised agencies of the government, and/or NGOs and private sector organizations.
K. Reaching the un-served population and urban poor
Sanitation facilities are not accessible to a considerable proportion of the population in Odisha. These include the poorest of the poor, the vulnerable and marginalised like the homeless, rag pickers and migrants. For providing access to these sections, the following steps need to be taken:

- Sanitation will be a basic service and de-linked from tenure. ULBs and other service providers should not have any problems in extending sanitation provisions in un-authorised settlements. Access to sanitation facilities will not automatically accrue the benefit of tenure/land rights. Necessary modifications to existing law/rules to make this practicable would need to be initiated by the state government through the SSNA.

- Adequate community and public toilets need to be created and maintained with 24x7 water supply. Guidelines for these toilets will be prepared at the state level, including technical design options suitable for different locations and user groups, processes for stakeholders’ engagement, capacity estimation, management rules, Operations and Maintenance. Financial options with share of contributions from user groups, support organisation, ULB, state government and central government for capital expenditure will be made clear. Operations and maintenance are the key responsibility of the user group and ULB concerned as specified by the state guidelines. It can be done through PPCP mode.

L. Provision for the migrants, floating population
Sanitary provisions at key concentration points of floating population such as busy squares of the city, bus stops, railway stations, daily hats and shopping complexes including temporary provisions during rush periods (fairs, etc.) would need to be planned and implemented utilising a ‘pay per use’ approach; through PPCP mode.

- Guidelines for this would also specify capital expenditure contribution that would ideally ensure contribution from the ULB and the private partner(s) concerned in case of permanent facilities and institution that creates/organises the festival/fair for temporary provisions; on case to case basis.

- Guidelines would need to be prepared for provision of adequate sanitation facilities at tourist spots working on pay and use principles and for arrangements during emergencies and natural disasters.

M. Communication for behaviour change—individuals, households and institutions
The state strategy acknowledges the need to raise awareness and changing mind-sets /behaviours as a step towards ensuring totally sanitised urban centres. Accordingly, awareness generation on sanitation and behaviour change to facilitate adoption of healthy sanitation practices as a priority would be combined with strategic communications/advocacy to push sanitation higher-up on the agenda of the state institutions and to build support for strategies such as city-wide approaches, mainstreaming the poor and local needs-based technological options. Communications approaches would seek to:

- Facilitate development of a holistic understanding of “sanitation” amongst service providers and the service users (citizens) and focus on what constitutes “good sanitation practices” at the end user level (i.e. at the level of citizens especially the urban poor / slum dwellers).

- Provide clarity to the stakeholders (i.e. the service providers – ULBs, PHEO and OWSSB and end users i.e. the citizens) about their respective roles and responsibilities vis-à-vis sanitation.

- Involve and engage opinion influencers (viz. political and religious leaders, academicians, media personalities, eminent civil society representatives and others) to promote sanitation consciousness; and very importantly;

- Encourage continuous communication among front line sanitation service providers, city and state level officials from interlocking line departments as opposed to the use of communications in one-off or sporadic events.
STATE-DISTRICT-CITY INSTITUTIONS
FOR SANITATION MANAGEMENT

A. Composition of State Urban Sanitation Mission (SUSM)
   1. The Chief Minister (Chairman)
   2. Minister, Housing & Urban Development
   3. Minister, Health & Family Welfare
   4. Minister, Women & Child Development
   5. Minister, School & Mass Education
   6. Mayor, Bhubaneswar Municipal Corporation
   7. Mayor, Cuttack Municipal Corporation
   8. Mayor, Berhampur Municipal Corporation
   9. The Chief Secretary, Govt. of Odisha
  10. Secretary, Housing & Urban Development (Member Secretary)
  11. Secretary, Department of Health & Family Welfare
  12. Secretary, Women & Child Development Department
  13. Secretary, Department of School & Mass Education
  14. Representative, UNDP
  15. Representative, Unicef
  16. Representative, WSP-South Asia
  17. Two Representatives of NGOs working in sanitation sector
      (To be nominated by the State Govt.)
  18. Executive Director, Orissa Water Supply & Sewerage Board
      (Nodal Officer & State Programme Officer, Urban Sanitation)

B. Composition of State Urban Sanitation Steering Committee (SUSSC)
   1. The Chief Secretary (Chairman)
   2. The Development Commissioner
   3. Principal Secretary, Finance Department
   4. Secretary, Housing and Urban Development Department
   5. Secretary, Dept. of Health & Family Welfare
   6. Secretary, Dept. of School & Mass Education
   7. Secretary, Women & Child Development Department
   8. Secretary, Department of Forest & Environment
   9. Secretary, Department of Tourism
  10. Secretary, Works Department
  11. Secretary, Dept. of Commerce & Transport
  12. General Manager, East Coast Railway
  13. Executive Director, Orissa Water Supply & Sewerage Board (Convenor)
      (Nodal Officer & State Programme Officer, Urban Sanitation)
  14. Director, Municipal Administration
  15. Member Secretary, State Pollution Control Board
  16. Chief Engineer, Orissa State Water and Sanitation Mission
  17. Chief Engineer, PHEO-Urban
  18. Chief Engineer, Orissa Water Supply and Sewerage Board
  19. Secretary, Orissa State Housing Board
  20. Vice Chairman, Bhubaneswar Development Authority
  21. Representative of leading NGOs/CBOs–Nominated by the H & UD Dept.
  22. Representative from Corporate Bodies/ Industries Associations– Nominated by the H & UD Dept.

C. Composition of State Urban Sanitation Management Committee (SUSMC)
   1. Secretary, Housing and Urban Development Department (Chairman)
   2. Executive Director, Orissa Water Supply & Sewerage Board (Convenor)
      (Nodal Officer & State Programme Officer, Urban Sanitation)
   3. Vice Chairman, Bhubaneswar Development Authority
   4. Director, Municipal Administration
   5. Chief Engineer, PHEO-Urban
   6. Chief Engineer, Orissa Water Supply and Sewerage Board
   7. Secretary, Orissa State Housing Board
   8. Commissioner, Bhubaneswar Municipal Corporation
   9. Commissioner, Cuttack Municipal Corporation
  10. Commissioner, Berhampur Municipal Corporation
  11. Representative from Municipalities– Nominated by HUDD
  12. Representative from NACs - Nominated by the H & UD Dept.
D. **Composition of District Urban Sanitation Committee (DUSC – Part of DUDA)**

1. District Collector (Chairperson)
2. Mayors/ Chairpersons of ULBs (Members)
3. Commissioners/ Executive Officers of the ULBs in District (Members)
4. Project Officer, DUDA/ ADM (Member Secretary)
5. Chief District Medical Officer (CDMO)
6. District Social Welfare Officer (DSWO)
7. District Project Coordinator (DPC); SSA
8. Circle Inspector of Schools (CI)
9. Regional/District Officer, OSPCB
10. Officer in charge of CDS, DUDA
11. One invitee from Mission Shakti
12. One invitee from Industries
13. One invitee from NGOs active in District (preferably in health or sanitation sectors)

E. **Composition of City Sanitation Task Force (CSTF)**

1. Mayor/ Chairperson of the ULB Council concerned (Chairperson)
2. Commissioner/ Executive Officer of ULB (Member Convenor)
3. City Health Officer
4. Officer, Social welfare/ development; WCD Department
5. Officer, Engineering Dept.
6. Chairperson of relevant Standing Committees
7. One member from the PHEO
8. One women self-help group/ community representative
9. One NGO/CBO representative working on slums, urban poverty, water & sanitation
10. One Women member from the ULB Council
11. One representative of *safai karamcharis*, sewerage and sanitation workers etc.
12. One representative of private firms/ corporate agencies working in the sanitation sector
1. With directives from the State Urban Sanitation Mission, advice from State Urban Sanitation Steering Committee and guidance from the State Urban Sanitation Management Committee, the SSNA would set out guidelines for ULBs to operationalize different components of the sanitation strategy; including third party roles, etc. To operationalize the working strategy.
2. The SSNA will consolidate all CSPs into a state level sanitation plan, specifying time frame, finances, operational components and guideline-sets for components, to enable the state to earmark resources.
3. The SSNA would be responsible for directing the development and deployment of appropriate MIS (including M&E) systems. This would also include building capacities at the state and ULBs for maintaining these and analysis.
4. The SSNA would be responsible for drafting the training needs document pertaining to different stakeholders in the sanitation initiative; directing the development of HRD systems and oversight of implementation for successful outcomes and continuous improvement.
5. The SSNA would oversee the development of a communication strategy that highlights multi-level messages, media and would work with the identified agencies for successful implementation.
6. In the work of operationalizing the sanitation strategy, the SSNA would carry out empanelment of consultants, advisors, specialised government institutions and other third party service providers. The committee could appoint suitable third party agencies to review city sanitation plans, if needed.
7. The SSNA will collaborate with other line departments and agencies (like health and family welfare, PCB, etc.) and develop outcome indicators, deploy these and enable data capture. It will also examine the need for refining standards and take this forward when needed.
8. SSNA would strive to bring in and learn from successful experiences in other cities; develop collaborations and suitable models for technical options and social mobilisation.
9. SSNA would examine the use of OSPCB technical expertise to guide ULBs in achieving required standards or coordinate with the WCD department and other allied departments as felt needed to enhance the frontline interaction of the ULB with the community.
10. SSNA would examine and move ahead to utilise the available technical expertise in the PHEO, PWD or invite resource persons from the private and NGO sector for evolving, testing and evaluating technical options in on-site and off-site sanitation.
11. The SSNA will also be responsible for guiding ULBs in the preparation of city sanitation plans, channelling financial resources from state, central and externally aided sources and providing technical assistance required by ULBs.
12. The SSNA will also examine the need and possibilities of improving and securing (making safe) the work conditions of Safai Karmacharis, and direct the appropriate rules and procedures to achieve the same.
13. The SSNA will direct the examination of the sanitation situation in schools, especially the situation of girl children, with the idea of using this platform to trigger behaviour change in the community, as also monitor for measuring improvements.
14. The SSNA will oversee the design and implementation of suitable reward schemes that provide incentives to ULB to achieve positive sanitation outcomes, and promote demand-based sanitation while ensuring that suitable protocols for maintenance are set up. This would require setting out the following:
   a. Periodicity of assessment
   b. Minimum criteria for entry: Establishment of baseline, Development of City Sanitation Plan with phasing and finances and subsequent activation;
   c. Objective and transparent criteria for deciding sanitary category at start and at time of application
   d. Guidelines for assessment including composition of assessment teams, assessment criteria, marking, etc.
   e. Application to district and state
   f. Rewards in different categories – ULB Types within each Division, financial incentives and use of incentives.
   g. Revision of criteria will be carried out under advice from SUSM as directed
15. The SSNA will be responsible for advising the state government on necessary modifications/notifications required by law to implement the sanitation strategy, examine the updation of the Development Control Regulations, and provide other technical know-how for effective management.
## ANNEXURE-III

### FUNDS REQUIREMENT DURING FY 2011-12

**TO SET THE STRATEGY IN PLACE**

<table>
<thead>
<tr>
<th>Sl. No.</th>
<th>Particulars</th>
<th>Unit Cost in ₹</th>
<th>No.</th>
<th>Total Amount in ₹</th>
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<td>Launching of SUSM Website*</td>
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<td>50,000.00</td>
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<td>K</td>
<td>Posters, Fliers, Brochures, Leaflets, T-Shirts, flags, stickers, buttons, badges, caps etc.</td>
<td>10,000.00</td>
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<td>10,00,000.00</td>
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<td>Exposure visits, production of media kits, press meets, sending bulk SMS, local cable TV broadcasting, adv. In cinema halls/ theatres</td>
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<td>2</td>
<td>City Rating and State Award Scheme</td>
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<td>A</td>
<td>City Award (1st = ₹ 10 lakh; 2nd = ₹ 5 lakh; 3rd = Three Awards ₹ 3 lakh each; Recognition for Visible Changes Two Awards ₹ 2 lakh each)</td>
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<td>TNA &amp; Preparation of Training Modules &amp; Materials</td>
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<td>Training Expenses (State)</td>
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<td>Training Expenses (Regional)</td>
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<td>4</td>
<td>Working of SUSM, SUSSC, SUSMC and SSNA</td>
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<td>Meetings/Deliberations of SUSM &amp; SUSSC</td>
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<td>20,00,000.00</td>
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<td>B</td>
<td>Towards salary of One Sanitation Specialist, One Social Mobilization Spec., One Capacity Building Spec.; &amp; One WATSAN Comm. Spec. at SSNA @ ₹ 75, 000 pm each</td>
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<td>36,00,000.00</td>
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**Total** | | | | **₹ 3,20,65,000.00**

* Based on I & PR Standard Rate; Govt of Odisha
** Based on Prevailing Market Price; others are as per the “Toolkit for Financial Support for Comprehensive Capacity Building for Improved Urban Governance & Poverty Alleviation, MoHUPA; GoI (Annexure-VII).
## ANNEXURE-III - A

**Funds Requirement Over the Period FY 2011-12 to FY 2016-17**

**To Move the Strategy Forward**

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<td>D</td>
<td>Short Documentary of 5-8 minutes (Production Cost)* (3)</td>
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<td>110000</td>
<td>1210000</td>
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<td>605000</td>
<td>665500</td>
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## 2. City Rating and State Award Scheme

| A | City Award (1st= ₹ 10 lakh; 2nd= ₹ 5 lakh; 3rd= Three Awards ₹ 3 lakh each; Recognition for Visible Changes Two Awards ₹ 2 lakh each) | 2800000 | 2800000 | 2800000 | 2800000 | 2800000* | |
| B | Rating Expenses | 1030000* | 1133000 | 1246300 | 1370930 | 1508023 | 1658825.3 |

## 3. Training/Capacity Building

| A | TNA & Preparation of Training Modules & Materials | 400000 | 400000 | 242000 | 266200* | 292820* | 322102* |
| B | Training Expenses(State) | 200000* | 220000 | 242000 | 266200 | 292820 | 322102 |
| C | Training Expenses(Regional) | 1350000* | 1485000 | 1633500 | 1796850 | 1976535 | 2174188.5 |
| D | Hiring of Professional Organizations and NGOs for community mobilization and other purposes | 1000000 | 1100000 | 12100000 | 13310000 | 14641000 | 16105100 |

## 4. Working of SUSM, SUSSC and SSNA

<p>| A | Meetings/Deliberations of SUSM &amp; SUSSC | 20000* | 22000 | 24200 | 26620 | 29282 | 32210.2 |
| B | Towards salary of 1 Sanitation Specialist, 1 Social Mobil. Spec., 1 Capacity Build. Spec., 1 WATSAN Com. Spec. at SSNA @ ₹ 75, 000 pm | 3600000* | 3960000 | 4356000 | 4791600 | 5270760 | 5797836 |
| C | Towards salary of One Office Assistant @ ₹ 20, 000 pm | 240000* | 264000 | 290400 | 319440 | 351384 | 386522.4 |
| D | Towards salary of One Office Support Staff @ ₹ 10, 000 pm | 120000* | 132000 | 145200 | 159720 | 175692 | 193261.2 |</p>
<table>
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<th></th>
<th>Incremental Operating Cost (Office Establishment, Logistics, Tour &amp; Travels to Field etc.)</th>
<th>600000*</th>
<th>660000</th>
<th>726000</th>
<th>798600</th>
<th>878460</th>
<th>966306</th>
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<tr>
<td>F</td>
<td>Infrastructure, System Support &amp; Equipment</td>
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<td>200000</td>
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*10 per cent increase is proposed as inflationary adjustment; for each succeeding Financial Year.
## ANNEXURE-IV

**CATEGORIZATION SCHEMA FOR RATING OF CITIES**  
(MoUD, GOVERNMENT OF INDIA; 2010)

<table>
<thead>
<tr>
<th>No.</th>
<th>Category</th>
<th>Description</th>
<th>Points</th>
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<td>1</td>
<td>Red</td>
<td>Cities needing immediate remedial action</td>
<td>&lt; 33</td>
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<tr>
<td>2</td>
<td>Black</td>
<td>Needing considerable improvements</td>
<td>34-66</td>
</tr>
<tr>
<td>3</td>
<td>Blue</td>
<td>Recovering</td>
<td>67-90</td>
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<tr>
<td>4</td>
<td>Green</td>
<td>Healthy and Clean city</td>
<td>91-100</td>
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</tbody>
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