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Assessment of Capacity Building Initiatives for Key Stakeholders from Odisha in Rural Water & Sanitation

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TABLE OF CONTENT

ABBREVIATIONS	3
TABLES	3
EXECUTIVE SUMMARY	4
INTRODUCTION	5
METHODOLOGY FOR CAPACITY ASSESSMENT	6
INSTITUTIONAL RESPONSIBILITIES FOR RURAL WATER SUPPLY AND SANITATION IN ODISHA	6
CAPACITY BUILDING INSTITUTIONS AND TRAININGS OFFERED	9
Key trainings provided at the state level	
Key trainings provided at the District level	
Support for service delivery from the district to blocks	
Panchayat level support	
REVIEW OF TRAINING INITIATIVE	17
Areas for strengthening capacities in water	17
Handover of assets	
Areas for strengthening capacities in sanitation	18
Demand for Training	19
CONCLUSION	19
Capacities of Elected representatives (PRIs at GP level)	
Capacities of technocrats (at state, district and block level)	
Capacities of Bureaucrats (at state, district and block level)	
ENDNOTES	22
ANNEXURE	23

ABBREVIATIONS

AE: Assistant Engineers	O&M: Operation & Maintenance
BASUDHA: Buxi Jagabandhu Assured Water Supply to Habitations	ODF: Open Defecation Free
BDO: Block Development Officer	OSWSM: Odisha State Water and Sanitation Mission
CAS: Community Approaches to Sanitation	PD-DRDA: Project Director, District Rural Development Agency
CLTS: Community Led Total Sanitation	PEO: Panchayat Executive Officer
CW: Chief Engineers	PRDW Department: Panchayati Raj and Drinking Water Department
DDWS: Department of Drinking Water and Sanitation	PRI: Panchayati Raj Institution
DWSM: District Water and Sanitation Mission	PWS: Piped Water Scheme
EE: Executive Engineers	RWSS: Rural Water Supply and Sanitation
GLAAS report: Global Analysis and Assessment of Sanitation and Drinking Water report	SDG: Sustainable Development Goal
GP: Gram Panchayat	SE: Superintending Engineers
GPDP: Gram Panchayat Development Plan	SEM: Self Employed Mechanic
IGTC: Indira Gandhi Training Centre	SIRDPR: State Institute of Rural Development and Panchayati Raj
JE: Junior Engineers	UNDP: United Nations Development Programme
KRC: Key Resource Centre	VDC: Village Development Committee
KSRM: KIIT School of Rural Management	WASH: Water, Sanitation and Hygiene
M&R: Maintenance & Repair	WATSAN: Water and Sanitation
MGNREGA: Mahatma Gandhi National Rural Employment Guarantee Act	
NRDWP: National Rural Drinking Water Program	

TABLES

Table 1: Overview of stakeholders and officials considered in the assessment

Table 2: Trainings conducted by the State Institute for Rural Development and Panchayati Raj

Table 3: Trainings conducted by Indira Gandhi Training Centre

Table 4: Trainings conducted by KIIT School of Rural Management

Table 5: Details of trainings at the district level

Table 6: Support provided by the district level to the blocks

Table 7: Important Schemes/Programs for rural WATSAN services in Odisha



EXECUTIVE SUMMARY

Safe and sustainable water, sanitation and hygiene (WASH) service delivery to end users requires strong national and local WASH systems. WASH systems comprise of multiple building blocks. Institutions are one of the key building blocks necessary to develop, maintain and deliver reliable services. The institutions building block refers to the formal organisational arrangements in the WASH sector; the capacity and resources that each organisation has to perform its role, and the coordination mechanisms amongst the organisations. Over decades, large investments by governments and donors have led to creation of considerable amount of WASH infrastructure. Increase in access and coverage of WASH services demand greater maintenance for built infrastructure.

This document provides findings from a rapid assessment of state sponsored capacity building initiatives for concerned individuals across different levels of institutions from the state to the village level. The assessment, conducted between 2018 and early 2019 across four districts of Odisha – Ganjam, Nuapada, Balasore and Jajpur- maps the institutions and the individuals responsible at the different levels, after which it provides insights in to the existing capacity development support available for them.

The assessment reveals that capacities (in terms of knowledge, skills and attitude) necessary for the provision of drinking water supply and sanitation services steadily decline as we progress downwards in the hierarchy towards the grassroots. The existing capacities are average even at the top levels of the bureaucratic, technocratic and Panchayati Raj Institutions (PRIs) hierarchies. This points to the need for enhanced capacity building initiatives for Administrators, Technocrats and Elected Representatives, especially at the operational levels right from the district till the village level.

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INTRODUCTION

Safe and sustainable water, sanitation and hygiene (WASH) service delivery to end users requires strong national and local WASH systems. WASH systems comprise of multiple building blocks. Institutions are one of the key building blocks necessary to develop, maintain and deliver reliable services. The institutions building block refers to the formal organisational arrangements in the WASH sector; the capacity and resources that each organisation has to perform its role, and the coordination mechanisms amongst the organisations.¹

Over decades, large investments by governments and donors have led to the creation of considerable amount of WASH infrastructure (for example, tube wells, piped water systems, toilets). This has definitely contributed to increased coverage. However, sustainability of the services has remained questionable. Often gaps in planning for finances and human resource post the implementation stage render services unsustainable. According to the 2012 Global Analysis and Assessment of Sanitation and Drinking Water (GLAAS) report², out of the 67 countries evaluated, only eleven had sufficient staff to operate and maintain rural WASH facilities.

Human resource capacities imply both, the number of people employed as well as their knowledge and skills. For WASH systems to function, effectively and efficiently, adequate number of staff, who are clear about their roles, responsibilities and have the capacity to perform their duties adequately, is a necessity. There is sufficient research to indicate that existing human resource capacity in most developing countries is inadequate to achieve the Sustainable Development Goal (SDG) 6³, which seeks to “ensure availability and sustainable management of water and sanitation for all”. In 2008, the WASH Institute reviewed the capacity building efforts taken for WASH programme in the country and found lack of any formal mechanism or channel through which the Government, NGOs, and private stakeholders could procure or reinforce work force.⁴ Additionally, WASH systems are complex “socio-technical”⁵ frameworks that require the people involved to have an understanding of the other actors in the systems, for coordination and support.

Increasing access and coverage of WASH services demands greater maintenance for built infrastructure. Sustaining these gains and closing the gaps require coordinated planning and financing for the same. For instance, the state of Odisha has been able to mobilize resources to increase access to toilets

in the household (at 74.68 per cent for rural households⁶), and in schools and healthcare facilities. However, to ensure on-going services requires coordinated planning and sustained investments. According to the 2017 GLASS report, over 80 per cent of the 750 countries studied report insufficient financing to meet the national WASH targets.⁷

METHODOLOGY OF CAPACITY ASSESSMENT

In September 2018, a rapid qualitative assessment of capacity building initiatives was conducted. This exercise was based on key informant interviews conducted with officials and WASH consultants at Chhatarapur block, Ganjam district, in the state of Odisha. In February 2019, quantitative data was collected on gender disaggregated staff strength at various positions at the block, district and state levels, in the Ganjam district. In April 2019, the comprehensive qualitative assessment was replicated in three additional districts - Nuapada, Balasore and Jajpur – of Odisha.

This assessment maps the institutions and the people/ officials responsible at the different levels, after which it provides insights in to the existing capacity development support available for them. The assessment looks both at the supply (i.e. the available courses and modules) and at demand (i.e. the perceived needs) for capacity support. To understand the supply side, in addition to identifying capacity building initiatives, training modules have been reviewed. For the demand side, interviews with individuals have been conducted.

INSTITUTIONAL RESPONSIBILITIES FOR RURAL WATER SUPPLY AND SANITATION IN ODISHA

The institutions from state to village levels [i.e. state, district, block and the Gram Panchayat (GP)⁸], can be divided along three pillars, as listed in Table 1:

1. Administrators (bureaucracy)
2. Technocrats (engineers)
3. Elected representatives (PRI members)

Table 1: Overview of stakeholders and officials considered in the assessment⁹

Level	Administrators	Technocrats	Elected Representatives
State	Principal Secretary, Additional Secretary & Director, Panchayati Raj and Drinking Water Department	Engineer-in-Chief, Rural Water Supply and Sanitation	Minister, in charge of Department of Panchayati Raj and Drinking Water
	Director- Odisha Water and Sanitation Mission	Chief Engineers, Rural Water Supply and Sanitation	
		Superintending Engineers	
District	District Magistrate/Collector	Executive Engineer, Rural Water Supply and Sanitation Division	Chairman, Zilla Parishad and members
	Project Director - District Rural Development Agency		
Sub- division/ Block	Block Development Officer	Assistant Executive Engineer Junior Engineer	Chairman, Block Panchayat & members
Panchayat	Panchayat Executive Officer		Sarpanch
Village		Self Employed Mechanic Motivator/ Swachhagrahi	Ward members

A. State level

Water and Sanitation are state subjects, as listed in List -II or State List of the Seventh Schedule (Article 246) of the Constitution of India.

I. ADMINISTRATORS: The overall responsibility for Rural Water Supply and Sanitation (RWSS) is with the Department of Panchayati Raj and Drinking Water (PRDW), Government of Odisha. The Department is headed by the Principal Secretary, with a team of bureaucrats supporting him on rural water, sanitation and other rural development divisions. Further, the Odisha State Water and Sanitation Mission¹⁰ (OSWSM), a registered body under the Cooperative Societies Act, is responsible for coordinating RWSS-related capacity building and other behaviour change communication (BCC) initiatives in the state. The OSWSM is headed by a Mission Director. The OSWSM provides support for the implementation of the Central Government sponsored National Rural Drinking Water Program (NRDWP) and Swachh Bharat Mission Grameen (SBM-G), and the state Government sponsored water

supply programme (Buxi Jagabandhu Assured Water Supply to Habitations, BASUDHA).

II. TECHNOCRATS: The Engineer-In-Chief is responsible for RWSS, supported by a team of Chief Engineers (CEs) at the state level and Superintending Engineers (SEs) at the Circle level.

III. ELECTED REPRESENTATIVES: The Department of PRDW is headed by the Minister for Panchayati Raj.

B. District level

The district administration is responsible for planning, budgeting and monitoring the execution of SBM and NRDWP within its geographic jurisdiction. There are 30 districts in the state of Odisha.

I. ADMINISTRATORS: Each district has a District Water and Sanitation Mission (DWSM), with the District Collector or the District Magistrate as the Chairperson and the Project Director of the District Rural Development Agency (PD-DRDA) as Member Secretary. S/he is directly responsible for SBM and other rural development programmes [such as housing, Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA), rural livelihoods and other social assistance programmes].

II. TECHNOCRATS: The Executive Engineer of RWSS district division acts as the Convenor of the DWSM and is mainly responsible for rural water supply. Their functions mirror those of the administrators: s/he is directly responsible for NRDWP and for the state water supply programmes.

III. ELECTED REPRESENTATIVES: The District or Zilla Parishad, comprising of the Chairman and members, are the elected representatives at this level. They play a facilitative and supportive role in overall implementation of action plans, inter-sectoral coordination, training, and M&E.

C. Sub Division/ Block

The block administration is responsible for supporting the execution of SBM and the NRDWP within its geographic jurisdiction.

I. ADMINISTRATORS: The Block Development Officer is the Nodal Officer for all development initiatives in the block, including water and sanitation (WATSAN). S/he is responsible for establishing block level convergence between different line department functionaries.

II. TECHNOCRATS: The Assistant Engineer (AE) is responsible for facilitating the designing and implementation of water supply schemes, ensuring they are functional, and interacting with the communities, with the support of the Junior Engineer (JE). The JE is responsible for supporting/supervising new construction and repair and maintenance of existing facilities, as well as facilitating the water quality tests.

III. ELECTED REPRESENTATIVES: The Block Panchayat comprises of the Chairman and other elected representatives from the Gram Panchayat. The elected representatives at the block level play a role in institution building (e.g. GPs, WATSAN committee) and facilitate supply chains and monitoring.

D. Gram Panchayat

As institutes of local governance, GPs have the constitutionally mandated nodal role of local area planning¹¹. On approval of plans, programmes and projects for social and economic development by the Gram Sabha, GPs are to implement the same.

I. ADMINISTRATORS: The Panchayat Executive Officer (PEO) is responsible for the overall coordination of the GP administration.

II. ELECTED REPRESENTATIVES: The Sarpanch supervises the various development functions and functionaries of the line departments working at the GP level.

E. Village

I. TECHNOCRATS: Each GP has a Self Employed Mechanic (SEM), who handles the minor repair and maintenance of 30 to 50 tubewells. The SEM takes support from the JEs as and when required. The Swachhgrahis are the foot soldiers of SBM who play the vital role of motivators - influencing behaviour change in sanitation practices in rural India.

CAPACITY BUILDING INSTITUTIONS & TRAININGS OFFERED

Key trainings provided at the state level

The state has established training institutes at the state level with devolution of expertise to the districts. Each training institute often operates independently, with little reliance on other organisations for technical assistance. The state has the Gopabandhu Academy of Administration as the apex training institute for the administrative officers serving in the Government of Odisha. The State Institute of Rural Development and Panchayati Raj (SIRDPR) is the key training agency under the Panchayati Raj and Drinking Water Department. The Indira Gandhi Training Centre (IGTC), also under the Department, is the mandated institute to conduct capacity-building initiatives, chiefly for the rural drinking water and sanitation sector. IGTC is also enlisted as a Key Resource Centre (KRC)¹² with the Department of Drinking Water and Sanitation (DDWS), under the Ministry of Jal Shakti. Non-government institutions, such as the Kalinga Institute of Industrial Technology (also a KRC), UNICEF, United Nations Development Programme (UNDP), and WaterAid have been supporting capacity-building initiatives. It is important to note that all training institutes, government as well as non-government, are located in the state capital – Bhubaneswar.

STATE INSTITUTE OF RURAL DEVELOPMENT AND PANCHAYATI RAJ (SIRDPR)

The SIRDPR is the nodal institute for training, research, evaluation and consultancy work in the field of rural development under the aegis of Panchayati Raj wing of the PRDW Department of the Government of Odisha. SIRDPR trains officials, engineers and PRI members. With support from UNICEF and UNDP, it has developed modules on rural development and WASH used for training elected representatives and bureaucrats; these cover water and sanitation. For training technocrats on water issues, it deploys modules developed by the RWSS wing of the department. Table 2 provides an assessment of the trainings conducted by SIRDPR.

Table 2: Trainings conducted by the State Institute for Rural Development and Panchayati Raj

Who were trained?	On what?	Feedback on training
<p>Zilla Parishad members and Block Samiti Presidents were trained in Bhubaneswar, while Sarpanches and ward members were trained in the districts.</p>	<p>Rural development schemes: 3-day course on the major development schemes to prepare gram panchayat development plans¹³ (GDPDs) covering the role of PRIs, sources of funds, procedure to hold gram sabha meetings, get approvals, negotiating with technocrats and bureaucrats, monitoring and training. Both water and sanitation are covered.</p>	<p>The method of making, adopting and submitting resolutions to bureaucrats and technocrats was found to be very helpful, as reported by the PRI members.</p>
<p>PRI members and frontline workers¹⁴</p>	<p>Prosperity through WASH: 1-day course organised twice a month on health impacts and loss of income from poor sanitation. It includes sanitation concepts, the role of PRIs, solid and liquid waste management, hygiene and norms of safe drinking water.</p>	<p>Provided an overview but not operational details of SBM and NRDWP. There was no content on sustainability, medium to long term maintenance or service standards</p>
<p>Block Development Officer (BDO), Junior Engineers (JEs)</p>	<p>Sanitation: SBM training on the national/ state programme, goals, procedure to apply for household latrines and release incentives, types of toilets, Community Led Total Sanitation (CLTS) and working with the government.</p>	<p>Information on types of toilets and reporting completed toilets was the most useful take-away from the training sessions; community orientation sessions were not adequate</p>
<p>Assistant Engineers and Junior Engineers (AEs and JEs)</p>	<p>Water: Engineering modules - manuals for Operation and Maintenance (O&M) of rural drinking water supply covering technical aspects, GIS, legal background for ensuring services, the roles and responsibilities of engineers, PRI members and officials, procedure for registering and attending to faults, community engagement.</p> <p>Sanitation: They have undergone CLTS orientation courses and were provided an overview of SBM, payment of incentives, types and structure of toilets.</p>	<p>The module on installation and repair of handpumps was found most useful by the Junior Engineers. However, they reported to have not learnt about piped water schemes (PWS), especially mega PWS being set up under BASUDHA.</p>

SIRDPR was found to have a roster of 300 resource persons in the state to provide training sessions on GPDs. A majority of these trainings were provided at the district level, based on the resource material provided by SIRDPR.

INDIRA GANDHI TRAINING CENTRE (IGTC)

The IGTC is a training institution with the RWSS wing of the PRDW Department and has been functioning as the main institution catering to capacity building of a range of stakeholders at the district, block and gram panchayat (GP) levels, on various aspects of WASH programmes. Registered as an autonomous society with the Registrar of Societies, IGTC is also a designated KRC of the DDWS, Ministry of Jal Shakti. The types of training programmes conducted by IGTC in the years gone by are summarized in Table 3.

Table 3: Trainings conducted by Indira Gandhi Training Centre

Who they train?	On what?
New recruits (engineers)	3 day orientation water supply, covering tube-well design, operation, structure, site selection, community interface, preparing estimates and O&M.
Engineers	Water Modules on water quality, and manuals for O&M of rural drinking water supply covering technical aspects, GIS, legal background for ensuring services, the roles and responsibilities of engineers, PRI members and officials, procedure for registering and attending to faults.
District & Block level implementers	District Coordinators, Block Coordinators, Cluster Coordinators supporting the implementation of SBM-G in their respective districts have been trained on various aspects of the program. This includes aspects of program implementation, Community Approaches to Sanitation (CAS) and even the ODF Verification process.
Master Trainers	The cadre of Master trainers created and supported by UNICEF for carrying out Community Approaches to Sanitation (CAS) modalities in the GPs and villages have been trained in several batches in the past couple of years.
GP motivators	The master trainers trained by IGTC under the aegis of the institution have carried out massive capacity building of GP motivators in all districts of the State on Community Approaches to Sanitation for demand generation and facilitating the development of ODF GPs.

KIIT SCHOOL OF RURAL MANAGEMENT (KSRM)

This is a college associated with the Kalinga Institute of Industrial Technology, which is a privately-owned university. The KSRM coordinates training for the PRDW department and DDWS on sanitation and drinking water, respectively. Table 4 provides a summary of the trainings provided by KSRM.

Table 4: Trainings conducted by KIIT School of Rural Management

Who they train?	On what?
Assistant Engineers (AEs) and Junior Engineers (JEs)	Water: KSRM has its own water module covering engineering aspects of piped water schemes (PWS), source selection, system design, engineering and GIS for NRDWP. These courses are conducted for MDWS that selects participants and allots funds. KSRM draws on the expertise of engineers from KIIT's School of Engineering.
New recruitments in state line departments	Sanitation: The courses are conducted for OSWSM that selects participants and allots funds. KSRM's own team conducts these courses using material developed by them. They cover SBM guidelines, sanitation concepts, behaviour change and types of toilets.

Training Initiatives by Technical Assistance Organisations

UNICEF has been a key technical partner to the department in Odisha, and has facilitated crucial training workshops that often targeted PRDW training-of-trainers as part of an efficient cascade model for subsequent training and scale-up of programme implementation.

- It developed WASH training modules for junior officials and PRI members on SBM-G and NRDWP for the Odisha State Water and Sanitation Mission (OSWSM).
- The UNICEF supported CLTS Laboratory in Koraput was set up in January 2016 to create a grassroots cadre of sanitation motivators. It started with six master trainers who had been earlier trained by Feedback Foundation, a technical agency. The master trainers trained four batches of resource persons who in turn trained about 23,000 GP motivators/*Swacchagrahis*¹⁵ on Community Approaches to Sanitation (CAS).
- In terms of drinking water, UNICEF has trained officials and PRI members on water security planning, covering topics ranging from preparation of village water security plans, sources of finance, source selection, to water quality issues and negotiations with local communities on ownership and setting tariffs.
- It trained all consultants across 30 districts on Social and Behaviour Change Communication to improve understanding of their role in planning, implementation and monitoring of communication interventions, leading to regular communication interventions as well as greater demand for sanitation.

- It trained bureaucrats on WASH in Schools Leadership course at the Administrative Staff College of India in Hyderabad.
- It has trained around 100 participants comprising of District Coordinators and Master Trainers on handling GP Monitors on various aspects of ODF-Sustainability.
- It has supported and facilitated the training-of-trainers of junior engineers, SDOs and Executive Engineers on planning and implementation of the Swajal program for solar-based drinking water supply schemes for priority and aspirational districts in the state.

UNDP has supported various training initiatives in the past. For instance, it was involved in developing the reference book for Gram Panchayat Development Plans (GPDs).

Key trainings provided at the District level

At the district level, the District Collector, Project Director, DRDA and the Executive Engineer, RWSS have attended state-level one-day workshops on SBM and NRDWP. These workshops covered topics such as roles and responsibilities of the different stakeholders, CLTS approach, procedure for release of subsidy, community engagement and operational procedures.

The district SBM team of consultants, who themselves were trained directly by various training institutions or external organisations, coordinated training on sanitation for *Swachhagrahis* (i.e. community motivators and volunteers) and block SBM coordinators. For drinking water, the Executive Engineer conducted need-based training sessions for AEs and JEs. Table 5 summarises the key trainings available at the district level.

At the time of our study, we found that JEs and AEs were trained at SIRD on GIS and convergence with other government programmes for water supply. After their induction training, JEs learnt additional skills on the job at periodic review meetings with the EE and AEs.

Other initiatives to support capacity development for service delivery at district level

Tata Trusts appointed district Swachh Bharat Preraks¹⁶ for a year to support the district teams. They coordinated sanitation in the district, IEC activities and the *swachhagrahis'* calendar. At the time of joining, they were trained on SBM guidelines, objectives, processes and IEC by the Trusts.

Table 5: Details of trainings provided at the district level

Who were trained?	On what?	By whom?	Demand
Swacchagrahis (5-day training) PRI members (3-day training);	Sanitation: Training covered technical specifications of toilets, location and community motivation	District SBM team and state resource people	<i>Swacchagrahis</i> mentioned the need for refresher trainings on SBM. Bureaucrats and technocrats mentioned the need for refresher courses on PWS and SBM. Elected representatives mentioned the need for refresher trainings and problem solving sessions on SBM
Bureaucrats and technocrats (2-day training)	CLTS triggering and demand generation, follow-ups, health and socio-impacts of open defecation		
Block sanitation coordinators and Junior Engineers (technocrats)	Sanitation: SBM guidelines, hardware and any new government orders	PD-DRDA and district SBM team. Trainings aimed at achieving ODF targets	They mentioned the need for refresher trainings on SBM.
Assistant and Junior Engineers	Water supply: Small village water supply schemes, hand-pump installation and maintenance, water security planning, source selection, system design, community engagement and water quality testing	Executive Engineer RWSS	Technocrats mentioned the need for additional training on PWS, focusing on large schemes, so they could understand DPRs and be engaged with the construction of the schemes
Block data entry operators for SBM	Sanitation: Online payment systems for SBM	District MIS operator for SBM	
Zilla Parishad members (7-day training)	Orientation on all development schemes, planning, budgets, monitoring by SIRD, conducting panchayat meetings and seeking administrative approvals	SIRD, PD-DRDA	The elected representatives mentioned the need for regular trainings and problem solving sessions

Support for service delivery from the district to blocks

In addition to providing trainings for individuals across the three pillars in the district, institutions at the district level provide support to block level officials for service delivery, as summarized in the following table.

Table 6: Support provided by the district level to the blocks

Who is supported?	By whom?	On what?	Demand
Block Development Officer	SIRD/DRDA at the district	Sanitation: ODF, the technical aspects of toilet construction covering twin leach pit toilets, the superstructure and siting considerations, CLTS, how panchayats raise demands for toilets through palli and gram sabhas; monitoring <i>swacchagrahis</i>	Refresher training courses; systematic problem-solving sessions
		Water: procedure for fault repairs, tariffs	
Assistant Engineers	EE of the district	Water: Prepare DPRs for villages schemes, setting up village and water sanitation committees (VWSCs), select sources in consultation with local people, preventive maintenance, interface with PRIs, engage with gram or ward committees (palli sabhas) and the Village Development Committee (VDC)	Training on mega-PWS to understand DPRs. Refresher sessions on SBM
		Sanitation: SBM overview, types and design of toilets, release of subsidy	
Junior Engineers	EE and AEs	Water: AEs provide regular inputs to JEs on PWS and new government rules and regulation	Refresher courses on SBM and water supply to keep up with current government priorities
		Sanitation: SBM overview, types and design of toilets, release of subsidy	
	Laboratory assistants in the district water quality laboratory	Water quality monitoring	
Block Panchayat Samiti President	SBM team, EE for RWS	Water: Setting and collecting tariffs, identifying scarcity pockets and prioritizing projects	Refresher courses on water supply and sanitation, understanding of PWS
		Sanitation: SBM concepts, CLTS, monitoring <i>swacchagrahis</i> , procedure to apply for toilets, submit completion documents, release of subsidy	
		Both: Refresher and problem-solving sessions were held in the monthly block and quarterly district meetings	

Self-Employed Mechanics (SEMs)	JEs	Water: Basic training on the job to effect minor repairs on hand pumps and reporting major faults; for PWS, SEMs to read voltages, start and stop water pumps, rectify minor electrical faults and leaks and operate valves
	Laboratory assistants in the district water quality laboratory	Water quality testing using field test kits

Panchayat level support

Elected Representatives of the Panchayati Raj Institutions reported to have undergone one-time training post their election. The following section discusses the details of the same.

TRAININGS BY DRDA

At the Gram Panchayat level, some Sarpanches and some ward members have attended SIRD's three-day orientation on rural water supply and a one-day SBM session at the District level. This training included inputs on:

MAINTENANCE OF WATER SYSTEMS: They were oriented on maintenance of hand pumps and piped water supply.

REPAIR SERVICES: They were informed about the channels of approach for maintenance and repair of handpumps and PWSs. For minor repairs, SEMs are entrusted for the tasks whereas for major repairs, the GP or SEMs would have to approach the JE.

REGULAR MAINTENANCE COSTS: Participants were informed and made aware of the regular operation and repair cost for PWSs and handpumps and also made aware that the GPs need to generate revenues for regular operation, maintenance and repairs of water supply assets through tariff collection from user households. Moreover, in case the Maintenance & Repair (M&R) is carried out by the RWSS, the GPs would need to pay the cost for the same to the RWSS Sub Division for annual M&R of tube wells.

SANITATION: For rural sanitation, the focus was on construction of toilets as per baseline for making GPs ODF. Other aspects included supervising GP motivators for carrying out social mobilisation activities, expediting toilet construction and for facilitating the necessary procedures for the incentive to the beneficiaries.

LEVERAGING FUNDS (FINANCE COMMISSION FUNDS): The Sarpanches were oriented about utilisation of Central and State Finance Commission funds for ensuring the functioning of rural water supply & sanitation infrastructure and its day-to-day maintenance and repair. Other aspects included mechanism for tariff collection for smooth operation of water supply systems, strengthening of village level institutions to act as extended arms of the GP.

SWACCHAGRAHIS

As far as 23,000 GP motivators or Swachhagrahis have been enumerated and trained on Community Approaches to Sanitation techniques for carrying out massive social mobilisation drive to make villages and GPs ODF. The trainings were provided over five days, by the district master trainers deployed by the district SBM team. At the weekly review meetings held at the block level office, the GP motivators/ Swachhagrahis were assigned tight deadlines, often that of three months, to work towards making the villages and GPs ODF, using coercion, if necessary.

REVIEW OF TRAINING INITIATIVES

At the state-level, capacity building initiatives are designed to equip the PR and RWSS officials with programme planning and implementation skills, to achieve 100 per cent ODF status and drinking water supply coverage in the state.

Our analysis reveals that Technocrats receive training and orientation on building and operating water supply schemes. However, the training content does not include mega PWS. Additionally, to promote convergence, they receive orientation on SBM. Bureaucrats and elected representatives, on the other hand, receive training and orientation on creation of demand, construction and follow-up activities related to sanitation.

The PD-DRDAs, BDOs and engineers, we find, obtain regular information on notifications and changes in rules at the weekly or monthly review meetings. However, capacity building and information flows to the PRIs are not as regular. As a result, PRIs are not aware of current government orders, nor do they learn to plan, execute or monitor WASH programmes. The training for PRIs on RWSS are output- instead of outcome-oriented. The trainings do not cover aspects related to post construction support - which include planning for ongoing services, maintenance, water security planning - beyond ODF and behaviour change communication. Therefore, the overall effect of capacity building initiatives continue to make the PRIs dependent on engineers or officials for each step of the WASH project cycle, including post construction. Their role is, essentially, confined to mobilising demand and monitoring swacchagrahis.

Areas for strengthening capacities in water

We find that engineers learn about NRDWP and other drinking water policy guidelines, such as water safety planning. However, the training content does not cover topics of design, implementation and O&M of mega water supply schemes, and tariff collection mechanisms for ensuring smooth operations and functionality of the schemes. The trainings also do not cover aspects of post construction management and sustainability, including major repairs and support costs. The JEs are not trained on aspects of PWS, instead they learn about PWS on the job through trial and error. The initiatives for rural water include an operations and maintenance (O&M) component focusing on preventive maintenance, fixing faults, costing issues, and reporting procedures for drinking water schemes.

HANDOVER OF ASSETS: At the block level, an Assistant Engineer (AE) is responsible for designing water supply schemes, ensuring they are functional and interacting with the communities, with the support of the JE. One of the crucial aspects of training provided to the AEs was the procedure of

handing over a water source to the sarpanch. We found that both sarpanches and AEs understood the details, the method of reporting faults, inventory and maintenance schedules. The hand-over note also contained these details. However, long-term maintenance including replacement of infrastructure was not covered. In addition to formal training, updates on new rules and regulations were provided to AEs, BDOs and sarpanches at periodic review meetings.

Areas for strengthening capacities in sanitation

In general, technocrats are trained and oriented to build and operate water supply schemes, excluding the mega PWS, such as BASUDHA. They also receive orientation on SBM. Bureaucrats and elected representatives are trained and oriented to creating demand, construction and follow-up activities related to sanitation.

A review of the material from SIRDPR shows that there is limited focus on post construction support in the existing training material. The material did not cover asset inventory and asset management, planning for costs of preventive maintenance, major repairs or replacement of infrastructure, preventive maintenance schedules, etc. Additionally, other key topics like hygiene education or WASH in institutions such as school, anganwadis (child care centres) and health care facilities were not covered. Also, no specific references to the inclusion of women or marginalized communities in the planning and implementation processes were found. The one-day session module on SBM covered basic concepts but did not provide training on operational issues such as O&M, finance and budgeting. This could in part be because the Government of India and DDWS are currently working on shifting focus from simple sanitation coverage to a focus on how to sustain it, through promoting the implementation of an ODF-Plus (ODF+) package that will focus on building the capacities of technocrats and appointed representatives in developing and managing O&M budgets, implementing complementary interventions such as handwashing with soap, faecal sludge management, and other activities part of the sanitation cycle.

The BDOs identify ODF targets as their sanitation achievements, guiding panchayats and swacchagrahis on the same. However, they are not knowledgeable about the community processes which are the foundation stone for ensuring community level ownership of individual as well as institution sanitation. Further, the BDOs also seem limited in their understanding of convergent actions for implementation of rural sanitation program with other programs viz. rural livelihoods, health, ICDS, rural housing and MGNREGS.

In terms of the training provided to swachhagrahis, in spite of capacity building on community mobilisation and eliciting individual or institutions and village groups' actions for managing the rural sanitation programs to eliminate open defecation, the focus has been to engage them to get toilets constructed. This, however, is done without building their knowledge on technical aspects, quality assurance of the infrastructure and the upkeep of sanitation infrastructure within the villages & GPs. The Swacchagrahis as well as the block level officials are found to be lacking knowledge on aspects of ODF Verification. Moreover, the team composition for ODF verifications was also found to be inappropriate and comprising of merely the motivators, Gram Panchayat Sarpanch and the JEs, thereby displaying non-adherence to the State ODF Verification Guidelines.

In case of rural sanitation, it was found that community members and the PRI representatives had adequate knowledge (and experience) of inappropriateness of leach pit technology for high water table and flood affected areas. However, they lacked information and skills to address this concern through alternative means. Similar gap in information and skills was observed to exist in the case of septic tanks and on aspects of solid and liquid waste management.

Demand for Training

The state level senior engineers interviewed articulated the need for exposure visits outside Odisha, national as well as international, to learn and understand issues related to water supply and sanitation. At the different levels of institutions varying training requirements were put forth.

While the technocrats (engineers) learnt about achieving ODF targets, and water coverage and O&M for water supply, they did highlight the need for their capacity enhancement to move from handpump or tubewell system to PWS and mega PWS, and for post construction support.

GP functionaries mentioned the immediate need for support on planning, implementation and monitoring which interalia includes eliciting community response for owning the water supply & sanitation infrastructure. It was inferred that review meetings were not appropriate platforms for providing the necessary knowledge and skills for smoothly operating the water supply & sanitation systems within their areas of operation.

CONCLUSION

The assessment has revealed that capacities (in terms of knowledge, skills and attitude) for drinking water supply and sanitation steadily decline as we move downwards in the hierarchy towards the grassroots.

The existing capacities are average even at the top levels of the bureaucratic, technocratic and PRI hierarchies. This points to the need for enhanced capacity building initiatives for administrators (officials), technocrats (engineers) and elected representatives (PRI members), especially at the operational levels right from the district till the village level.

Capacities of Elected representatives (PRIs at GP level)

- In terms of water, PRI members are found to be peripherally engaged with water supply.
- They are oriented to project execution, not long term strategic planning and monitoring.
- They lack awareness on factors affecting water supply, such as, the linkages to sustainable water source, and those between unsafe sanitation and water supply. As a consequence, they do not incorporate necessary factors in their annual planning.
- In terms of sanitation, the understanding is restricted to achieving ODF through toilet construction.
- As a consequence of irregular capacity building initiative and information flows, PRIs lack

awareness of current government orders. They are unaware of how to plan, execute or monitor WASH programmes. Their role is, essentially, confined to mobilising demand and monitoring swacchagrahis. They continue to be heavily dependent on the engineers or officials for each step of the WASH project cycle, including post construction.

Capacities of technocrats (at state, district and block level)

- At the state level, the technocrats have a good understanding of planning, budgeting and monitoring of NRDWP and BASUDHA schemes.
- District and below, the AEs and JEs have received training on operational issues and understand their job as maintaining water supply sources (mainly for point sources) and checking toilets for technical compliance; however which again is by-and-large lacking on the ground.
- Technocrats (JEs and EEs) are primarily seen to be more concerned with rural water supply even though their responsibilities include sanitation.
- They are aware of NRDWP rules and guidelines but lack knowledge of mega piped water supply schemes – in terms of design, tariffs setting or tariff collection.
- They lack awareness of sustainability concepts of PWS including major repairs & support cost.
- The technocrats are required to support capacity building of GPs by providing them trainings. However, there is often a mismatch in terms of the knowledge and skills required by the GP and what is provided to them.

Capacities of Bureaucrats (at state, district and block level)

- At the time of the assessment, the bureaucratic set up was found to be focused on SBM; with limited focus on water. However, this balance of interest may be inverted with different political priorities over time.
- At the state level, the orientation is on strategic planning and budgeting. At the district level, the training is focused on planning, budgeting and monitoring. And, at the lower levels, bureaucrats are oriented towards SBM's operational procedures viz. geo-tagging, release of incentive as compared to the process approach for elimination of ODF, carrying out ODF Verification strictly.
- Across all levels, bureaucrats are found to lack understanding of concepts related to sustainability of water supply and sanitation programs. In the case of water supply, the focus has been on coverage through tubewells and now through piped water supply. However, the importance of post construction management by the local governments and the support required from the administration for the same are lacking. In the case of sanitation, while the Government of India and DDWS are shifting from sanitation coverage to sustainability, they are yet to roll out comprehensive trainings incorporating the relevant information and messaging.
- Inter-departmental coordination for planning, implementation, monitoring, and leveraging convergence where possible for ensuring sustained WASH services in institutions and public places is a largely overlooked aspect.

SUMMARY OF FINDINGS

- Technocrats and administrators receive regular information on government notifications, orders and changes in rules, at the weekly or monthly review meetings. However, information flows to the PRIs are not as regular.
- Capacity building initiatives for the PRIs are also limited, making them dependent on the technocrats and the administrators for the entire WASH cycle. To truly work towards strengthened local PRIs, there needs to be possibilities of capacity building beyond trainings and meetings, to include more innovative approaches- such as mentoring, coaching, etc.
- In terms of sanitation, all targets across the levels are aimed at achieving ODF status through household toilet construction, with little thought given to sustaining ODF and ODF+ activities.
- There appears to be lack of knowledge of alternate technologies/ toilet models, and of modifying or retrofitting the available model (twin leach pit toilets) in different situations – such as different geographical conditions, etc.
- There is lack of awareness to guide panchayats to leverage alternate funds for water and sanitation, example – local water security measures like pond renovations, or/and toilet construction for household that are not eligible for SBM incentive, .
- The target of achieving ODF status focuses on toilet coverage rather than behavior change and safely managed sanitation. For sustaining the momentum of the sanitation programme, thus, there is need to orient the technocrats and administrators, to the vital aspects of impact of unsafe sanitation on public health and on the environment, Behaviour Change Communication and Community Approaches to Sanitation.
- In addition to technical inputs in the training, it is important to include topics of team building & management, Leadership skills, Documentation and Knowledge management and Conflict resolution so as to infuse a collective working environment, motivating colleagues and personnel in lower level hierarchy and also project / show case the achievements for a larger audience.
- There is a need for follow up trainings as well as refresher courses, as has been highlighted by officials during the interviews.
- There is also a need for course textbooks or booklets to be made available in local language so as to ease transfer of knowledge to the local level.

ENDNOTES

1. Angela Huston and Patrick Moriarty. 2018. Building strong WASH systems for the SDGs: Understanding the WASH system and its building blocks. IRC
2. 2012 GLAAS Report: https://www.un.org/waterforlifedecade/pdf/glaas_report_2012_eng.pdf
3. An unavoidable Crisis: WASH Human Resource Capacity Gaps in 15 Countries, IWA, 2014
4. Results4Development brief on 'Bridging Skilled Human Resource Gap in WASH': <https://washinnovations.r4d.org/program/washi>
5. Huston and Moriarty. 2018.
6. <https://data.gov.in/resources/stateut-wise-percentage-rural-households-which-have-access-toilets-facilities-12122018> (as on 12.12.2018)
7. 2017 GLASS Report: <https://apps.who.int/iris/bitstream/handle/10665/254999/9789241512190-eng.pdf;-jsessionid=DE430304FADF11492453E50B98017462?sequence=1>
8. The 73rd Constitutional Amendment Act (CAA) of 1992 formalized a three-tier system of local self-governance in rural India. Known as Panchayati Raj Institutions (PRIs), the lowest tier of the locally-elected councils is at the village level (Gram Panachayat), through the block level (Block Panchayat) up to the district level (Zilla Parishad). The 73rd CAA made provisions for the states to endow Gram Panchayats (GPs) with powers to enable them to prepare and implement plans for economic development and social justice including schemes on drinking water and sanitation. Towards this, the National Rural Drinking Water Programme guidelines stipulated formation of Village Water Supply and Sanitation Committees (VWSC) as standing committees of the GPs to supervise the implementation of rural water supply and sanitation interventions. In 2015, the 14th Finance Commission enabled responsive local governance through release of grants to the GPs based on their plans on provision of basic services.
9. See Annexure 1 for a detailed table on institutional roles and responsibilities, as emerged from the study across the four districts in Odisha. See Annexure 2 for gender disaggregated data on staff strength across the different levels, as per varying institutional roles.
10. This Mission manages rural water and sanitation in the state under PRD
11. Local area planning constitutes of 29 subjects as per the XI schedule of the Constitution of India.
12. Key Resource Centres are institutions selected by MDWS to support training and research in states on water and sanitation. <https://mdws.gov.in/key-resource-center-training>
13. Each panchayat is to develop a development plan (GPDP) that embodies the aspirations and needs of local people. The sarpanch leads the process supported by local officials and the village body
14. Government employees of various programmes including child welfare workers, accredited social and health activists and self-help group members
15. Under SBM, one swacchagahi conversant with CLTS is to be deployed in each village to motivate people to make and use toilets. The person is paid out of IEC funds
16. In 2017, the Tata Trusts, a philanthropic organisation, appointed young graduates as swachhata preraks for one year to support district SBMs.

ANNEXURE 1:

Institutional Roles and Responsibilities

The following table lists the designations directly concerned with WASH responsibilities, as had emerged from the assessment conducted across the four districts.

Institutional Roles and Responsibilities

Level	Area of concern	Person concerned			
		Elected Representative	Administrator	Technocrat	Consultants/ Volunteers
State	Water, Sanitation, Primary Health, Primary Education, Common Property Resources	Minister, Department of Panchayati Raj and Drinking Water, Government of Odisha	Principal Secretary, Department of Panchayati Raj and Drinking Water, Government of Odisha	Engineer-in-Chief (EIC), RWSS & Superintending Engineers, RWSS	
	Sanitation (SBM) & Water (NRDWP & Basudha)		Director, Odisha State Water and Sanitation Mission (OSWSM), Rural Development Department, Government of Odisha		
District	Sanitation (SBM)		District Collector/ District Magistrate & Programme Director, District Rural Development Agency		District consultants - IEC, MIS, CLTS Master Trainer
	Water (NRDWP & BASUDHA)			Executive Engineer, RWSS	
Division	Water (NRDWP & BASUDHA) and Sanitation (SBM)			Assistant Engineer, RWSS	
Block	Sanitation (SBM)		Block Development Officer	Junior Engineer – II, RWSS	Block Coordinator, Block Data entry Operators, Cluster Coordinators
	Water (NRDWP & BASUDHA)			Junior Engineer – I, RWSS	
Gram Panchayat (GP)	Water (NRDWP & BASUDHA) and Sanitation (SBM)	PRI members, Village Water and Sanitation Committee members			GP Motivators, Swachhagrahis

ANNEXURE 2:

WASH Human Resources by Sex

The following table provides indicative gender disaggregated information on strength of concerned officials and elected representatives mandated to carry out WASH related responsibilities. The data is solely from Ganjam district.

Sex disaggregated WASH roles in Ganjam district

Level	Role	Men	Women
State	Technocrat	19	1
	Bureaucrat	33	8
District (Ganjam)	Technocrat	166	47
	Bureaucrat	86	9
	Elected Representatives (PRIs)	18	12
Block	Technocrat	701	325
	Bureaucrat	276	27
	Elected Representative (PRIs)	301	0

ANNEXURE 3:

Summary of Trainings for Officials by Level of Responsibility

The following table summarizes the findings on the details of trainings for officials and elected representatives across the four districts.

Details of training as per institutional responsibility

Level	Trainee			Details of Training
	Designation	Category	Area of concern	
District	District Collector (DC)	Administrator	Sanitation (SBM)	Orientation to SBM
District	Programme Director of the District Rural Development Agency (PD-DRDA)	Administrator	Sanitation (SBM)	Orientation to SBM

Level	Trainee			Details of Training
	Designation	Category	Area of concern	
District	Executive Engineer, RWSS	Technocrat	Water (NRDWP & BASUDHA)	Orientation to SBM and NRDWP
Division	Assistant Engineer	Technocrat	Water (NRDWP & BASUDHA) and Sanitation (SBM))	O&M of water source, GIS, water supply schemes, hand pump installation, water security planning, community engagement, water quality testing. SBM, CLTS, payment of incentives
Block	BDO	Administrator	Sanitation (SBM)	SBM, CLTS, payment of incentives
Block	JE-II	Technocrat	Sanitation (SBM)	SBM, CLTS, payment of incentives, ODF targets
Block	JE-I	Technocrat	Water (NRDWP & BASUDHA)	O&M of water source, GIS, water supply schemes, hand pump installation, water security planning, community engagement, water quality testing
GP	PRI members	Elected Representative	Water (NRDWP & BASUDHA) and Sanitation (SBM)	SBM, CLTS, sanitation concepts, role of PRIs, solid and liquid waste management, hygiene, drinking water norms

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