Revised in August 2015

South Asia Urban Knowledge Hub

University of Moratuwa
Sri Lanka

ADB

University of Moratuwa, Sri Lanka

I.   INTRODUCTION

A.   Background

1.   The local governance and service provision to the citizens of Sri Lanka is carried out by three types of local level authorities: namely the Municipal Councils, established under the Municipal Council Ordinance No. 29 of 1947, Urban Councils established under the Urban Councils Ordinance No. 61 of 1939 and PradeshiyaSabha formulated within the provisions of PradeshiyaSabha Act No. 15 of 1987, abolishing the Town Councils prevailingbefore that. As of today, there are 335 local authorities in Sri Lanka (23 Municipal Councils, 41 Urban Councils and 271 PradeshiyaSabhas). The respective laws of establishment vested these authorities with powers and they are held responsible for preparing development plans for the areas under their jurisdictions, implementing those plans and providing comfort, convenience and wellbeing of the citizens by means of services, facilities and amenities.

2.   However, subsequent developments in statutory arrangements have divested many of the subjects and powers originallyexecuted by the local authorities and assigned those subjects with newly established organizations of the central government. Planning and implementation was undertaken by the Urban Development Authority; and water supply, electricity and public thoroughfares are presently carried out by the National Water Supply & Drainage Board, Ceylon Electricity Board and the Road Development Authority respectively. This takeover has affected the status, autonomy, revenue sources and powers of local authorities, creating a complicated situation.

3.   One of the areas of concern is environmental sanitation. Although Sri Lanka has met withtargets of sanitation, commitment is needed to meet universal targets. While access to toilet facilities is very high (national average 1.7% in 2012), pollution occurring due to improper collection and disposal of sewage is alarming. Causesinclude lack of effective technologiesandimproper selection of technologies and/or faulty designs.

4.   Several needs have been identified including a mechanism/benchmark for local authorities to measure the effectiveness of the technology option in terms of level of treatment and method of effluent disposal; and local authorities need capacity building in proper evaluation of sanitation standards, guidelines and designs. There is also a need forguidelines for households toselectproper treatment systems and disposal options and a need to synchronize policies and enforcement of regulations for pollution control.

5.   Most of the sanitation issues can be identifiedas an outcome of the limited capacities of the local authorities in planning and implementation,aprogrammewith a range of interventions and a holistic visionto improve the capacities of the local authorities of the entire island is a timely need. Despite the provisions available in respective statutes for the local authorities to receive capacity building, so far no initiatives have been noted with this regard in relation to planning and implementation.Therefore, the Sri Lanka national centreproposestoinitiate a programme to supportlocal authorities to have improved capacities for development planning and service delivery in the area of environmental sanitation and physical development. As the first and foremost requirement for this purposeit intends to develop a web-basedEnvironmentalSanitation Management Information System (ESMIS), through which most of the existing environmental sanitation and development information related to the services provided by the local authoritycouldbe accessed and monitored.

6.   Moratuwa and Gampaha Municipal Councils will be the first two local authorities selected for initial testing as the Department of Town and Country Planning has close interactions with them. At the same time, these are two areas where the importance of such systems and improvements could be demonstrated.

II.   GOAL AND IMPACT

Goal: Improved service delivery in the area of environmental sanitation in Moratuwa and GampahaMunicipal Council areas of Sri Lanka by the year 2020.

Impact: All residents of Moratuwa and Gampaha Municipal Councils get access to improved environmental sanitation services by the year 2020.

III.   OBJECTIVES

Objective 1: To influence the selected two Municipal Councils (Moratuwa and Gampaha) to employ the newly developed Environmental Sanitation Management Information System (ESMIS) for their planning, development and environment management activities by 2017.

A.   Activities:

(i.)   Research on preceding attempts to establish Environmental Management System (EMS): The case of Sri Jayawardenapura-Kotte Municipal Council to understand the challenges encountered in the past efforts in Sri Lanka and review the best practices of EMIS in K-Hub and other countries (Case study 01) (01 December 2014).

(ii.)   Develop a draft concept paper to develop ESMIS for Moratuwa and Gampaha Municipal Council areas with review by ADB and other national centers (15 January 2014).

(iii.)   Draft influencing strategies and adapt and fill in on an ongoing basis(30 January 2015).

(iv.)   Identify stakeholders and form working groups (through workshops) and meetings to share the purpose of ESMIS (30 May 2015).

(v.)   Conduct a seminar with key stakeholders to identify existing practices and issues of the sanitation sector; conduct research on best sanitation practices nationally and internationally; and conduct workshopsforMunicipal Council officers for capacity building, knowledge transfer and information dissemination (30 September 2015).

(vi.)   Undertake research to develop ESMIS in the areas of development permits, solid waste and sanitation for Moratuwa and Gampaha Municipal Councils (30 October 2015).

(vii.)   Finalize the influencing strategies (30 March 2015).

(viii.)   Formulation of ESMIS (12 September 2015) (KP1).

(ix.)   Validation of ESMIS with stakeholder working group of municipalities(September - 2015).

(x.)   Finalize ESMIS for installation (30 September2015).

	a.	Include relevant elements of good practices from South Asia K-Hub partner countries and provide existing situation in each country.
	b.	Develop a policy brief to communicate the ESMIS and relevance to policy makers in the two target municipal councils. (Policy Brief on transformation of the existing information handling mechanisms into Information Technology based local authority information management system)

(xi.) Trial run of the ESMIS to receive feedback (30 September2015).

(xii.) Gain the acceptance of ESMIS by the stakeholders (September-October 2015).
- a. 2 workshops
- b. Identify speaker (champion of the IMS from an MC) for a lecture series

(xiii.) Monitor and provide feedback on how ESMIS is helping MC's make better decisions (September 2015- March 2016).
- a. Reflection meeting with each MC
- b. Case Study on how ESMIS is improving the Municipal Council in their decision making (Case Study 2)

(xiv.) Develop User Manual/Practice Guide for households of Moratuwa and Gampaha Municipal Council areas to select proper treatment methods and disposal options along with appropriate technical designs (KP2)(30 December 2015).

(xv.) Gain the acceptance of User Manual/Practice Guide by the stakeholders (April-May 2016).
- a. Twoworkshops
- b. Identify speaker (champion of sanitation from an MC) for eminent lecture series

(xvi.) Develop a technical briefto communicate the User Manual/Practice Guide and relevance to policy makers in the two target municipal councils (September 2016).

(xvii.) Monitor and provide feedback on how ESMIS and the User Manual/Practice Guide is used by the Municipal Councils to make better decisions (Reflection meeting with each Municipal Council) (October 2016-March 2017).

B. Outputs:

- Case study 1 on EMS at Sri Jayawardenapura MC and on the best practices of EMS in K-Hub and other countries
- User working groups for ESMIS
- Draft and final influencing strategies
- Lecture series (annual) by eminent speakers, Reflection meetings with the stakeholders and case study documentation illustrating improvements in MC decision making
- Model on ESMIS (KP 1)
- User Manual/Practice Guide for adopting sustainable sanitation practices (KP 2)
- Policy Brief 1 on ESMIS
- Technical Brief 1 on User Manual/Practice Guide
- Case study 2 on how ESMIS is improving the Municipal Council in their decision making
- Workshops with stakeholders
- Reflection meetings with two MCs

C. Indicators of success:

    (i.)   At least one of the selected MCs tests working with the ESMIS(November 2016).

    (ii.)   At least one of the two MCs uses the User Manual/Practice Guide to inform decisions (December 2016).

Objective 2: To supportMoratuwa and Gampaha Municipal Councils to enhance their capacities in Strategic Planning and Implementation by 2016.

A. Activities:

    (i.)   Development of a concept paper to initiate research on capacity building for preparation of development plans and implementationwith feedback from ADB and other national centers (19 September 2015).

    (ii.)   Draft influencing strategies and adapt and fill in on an ongoing basis(30 September2015).

    (iii.)   One to one meetings with the Mayors, Elected Members, and Public Representatives on the importance and possible financing strategies of the projects and programmes(30 September 2015).

    (iv.)   Identification of stakeholders, form working groups (through workshops), and hold meetings to share the purpose of capacity building, developmental timeline, and review needs (19 September 2015).

    (v.)   Networking key partners such as University of Moratuwa, Ministry of Urban Development, Water Supply and Drainage, Urban Development Authority, Local Authorities, Divisional Secretariat, Sri Lanka Institute of Local Governance, Mayors Forum, Chamber of Commerce, Business Association, and Tax Payers Association.

    (vi.)   Undertake research on good practices from South Asia K-Hub partner countries of development plan preparation and implementation (31 October 2015).

    (vii.)   Draft report on capacity building (policies and practices) (30 December 2015).

    (viii.) Finalize report on capacity building (policies and practices) (KP3: Sector Specific Report) (30 May 2016).

    (ix.)   Finalize the influencing strategies (30 June 2016).

    (x.)   Formalization of improved mechanism of plan preparation and implementation (July - September 2016).

          a.   Two workshops

          b.   Identify speaker (champion from an MC) for eminent lecture series

          c.   Develop a Policy Brief on local government policy on increased capacity in plan preparation and implementation

    (xi.)   Develop knowledge exchange programmes for the purpose of exposure, experience and knowledge sharing. (a field trip to learn from best practices of planning of Twining partnership between Gampaha MC and Moratuwa MC) (December 2016)

    (xii.)   Monitor and provide feedback on how the plan preparation and implementation mechanism is helping MC's make better decisions (October 2016-March 2017)

    (xiii.) Reflection meeting with each MC for monitoring and receiving feedback to activate the improved plan preparation and implementation mechanism

B.   Outputs:

- Networking user working groups
- Draft and final influencing strategy
- Policy Brief on relevance and use of plan preparation and implementation,
- Gaining acceptance workshops in selected MCs
- Lecture as part of the Eminent Lecture Series (annual)
- Reflection meetings with each Municipal Council
- Sector specific reports on plan preparation and implementation (KP3)
- Twinning partnership completion report

C.   Indicator of success:

(i.)   The development planning activities initiated by the selected MCs include strategic planning and implementation as per the capacity building initiative of the K-Hub (January 2016).

Objective 3: To develop recommendations for an improved Masters of Spatial Planning, Management and Design curriculum at the Department of Town & Country Planning by 2017.

A.   Activities:
(i.)   Establish a working group that consists of Department-Industry Consultative Board (DICB) of the Department of Town& Country Planning to:
   a.   Review existing urban planning curriculum to identify gaps and opportunities for improved curriculum (12 September2015)
   b.   Develop recommendations for curriculum revision to support better service delivery in the Municipal Councils(30 September 2015)
(ii.)   Develop a draft and final influencing strategy(19 September 2015).
(iii.)   Develop a report with recommendations for communicating to stakeholders(30 September 2015).
(iv.)   Finalize and communicate the recommendations to the identified audience via stakeholder workshop, lecture series and small group meetings(September-October 2015).
(v.)   Gain the approval from the University Senate and Institute of Town Planners Sri Lanka for the finalized curriculum recommendations(November- February 2016).

B.   Outputs:

- Assessment report of existing curriculum
- Draft and final influencing strategy
- Peer review workshop with the working group that is consisted of DICB members
- Report of recommendations for improved Masters of Spatial Planning, Management and Design curriculum

C.   Indicator of success:

(i.)   Improved Masters of Spatial Planning, Management and Design curriculum recommendations accepted by the University Senate and Institute of Town Planners Sri Lanka(April 2016).

Objective 4: To build capacity of the Sri Lanka National Center (Department of Town & Country Planning) in knowledge management, communications and learning.

A.   Activities:
- (i.)   Activating and maintaining webpage / website
    - a.   Participating in working group
    - b.   Providing content
- (ii.)   Contributing to Newsletter – biannual
    - a.   Participating in working group
    - b.   Providing content
- (iii.)   Reporting and learning
    - a.   Monthly (or bi-monthly) 'check in meetings' with team leader and ADB representative
    - b.   Quarterly progress reports to Regional Coordinator and ADB
    - c.   Annual reports of Working Groups (to ADB, regional and national center)
    - d.   Steering Committee Meetings (at least once a year)
    - e.   Twice yearly reflections on outcomes (communication between our team and ADB)
    - f.   Midterm capacity building / reflection retreat for national teams –
    - g.   Participation in two training webinars per year for national teams
    - h.   Participation in a final reflection workshop on lessons on implementation of regional K-Hub (May 2017 – K Hub partners and implementing agencies)
- (iv.)   Knowledge Products
    - a.   Contributing to knowledge products of other countries by submitting Sri Lanka country profile on the topic (9 in total)
    - b.   Reviewing the KP concept papers of other countries and providing comments
    - c.   Contributing to the regional knowledge products (regional database)
        - 1.   Participating in working group
        - 2.   Contributing to influencing strategy
        - 3.   Contributing to the concept note on the KP
        - 4.   Support implementation

B.   Outputs:

- Website
- Newsletter (bi-annual)
- Knowledge products
- Quarterly progress reports
- Annual reports
- Working groups
- Steering committee
- Participation in training

Indicator of success:

> (i.) The team members show progression from researchers to influencing agents with influencing strategies to work outside the K-Hub deliverablesby January 2017.

IV. WORKPLAN FRAMEWORK

Design Summary	Performance Targets	Risks
Intended Impact		
Improved service delivery in the area of environmental sanitation in Moratuwa and Gampaha Municipal Council areas of Sri Lanka by the year 2020.	Minimized gap between the expectation and satisfaction of public service provision of all citizens by year 2020.	
Objectives		
1. To influence the selected two Municipal Councils (Moratuwa and Gampaha) to employ the newly developed Environmental Sanitation Management Information System (ESMIS) for their planning, development and environment management activities by 2017.	a) KP1: Model ESMIS b) KP2: User Manual/Practice Guide for adopting sustainable sanitation practices c) Policy Brief on transformation into information technology based local authority information management policy d) Technical Brief for policy makers on adopting sustainable sanitation practices (communicating user manual) e) Case study 1onEMS at Sri Kotte- Sri Jayawardenapura MC and on the best practices of Environmental Management Systems in K-Hub and other countries f) Case study 2 on how ESMIS is improving the Municipal Council in their decision making g) At least one of the selected MCs tests the ESMIS h) One of the two MCs uses the User Manual/Practice Guide to inform decisions	Bureaucracy in Municipal Councils
2.To support the Moratuwa and Gampaha Municipal Councils to enhance their capacities in Strategic Planning and Implementation by 2016.	a) KP3- Sector specific recommendations on plan preparation and implementation b) Policy Brief on relevance and use of plan preparation and implementation c) Twinning partnership completion report on best practices of two MCs d)Initiatives for development plan preparation and implementation on their own	Bureaucratic resistance
3.To develop recommendations for an improved Masters of Spatial Planning, Management and Design curriculum at the Department of Town & Country Planning by 2017.	a) Report of recommendations for improved Masters of Spatial Planning, Management and Design curriculum b) Improved Masters of Spatial Planning, Management and Design curriculum recommendations, accepted by the University Senate and Institute of Town Planners Sri Lanka	Lack of research personnel
4. Operational Objective: To build capacity of the Sri Lanka National Center (Department of Town & Country Planning) in knowledge management, communications and learning.	a) Webpage / Website, Newsletter developed b) Knowledge Products developed c) Quarterly Progress Reports/ Annual Reports prepared d) Working Groups and Steering Committee formed e) Progression of Team members from researchers to influencing agents with influencing strategies to work outside the K-Hub deliverables	

Activities with Milestones

Objective 1: To influence the selected two Municipal Councils (Moratuwa and Gampaha) to employ the newly developed ESMIS for their planning, development and environment management activities by 2017.

(1) Research on preceding attempts to establish Environmental Management System (EMS): The case of Sri Jayawardenapura-Kotte Municipal Council to understand the challenges encountered in the past efforts in Sri Lanka and review the best practices of EMIS in K-Hub and other countries (Case study 01) (01 December 2014).

(2) Development of a draft concept paper to develop ESMIS for Moratuwa and Gampaha Municipal Council areas with review by ADB and other national centers (15 January 2014).

(3) Draft influencing strategies and adapt and fill in on an ongoing basis(30 January 2015).

(4) Identify stakeholders and form working groups (through workshops) and meeting to share the purpose of ESMIS (30 May 2015).

(5) Conduct a seminar with key stakeholders to identify existing practices and issues of the sanitation sector; conduct research on best sanitation practices nationally and internationally; and conduct workshops for Municipal Council officers for capacity building, knowledge transfer and information dissemination (30 September 2015).

(6) Undertake research to develop ESMIS in the areas of development permits, solid waste and sanitation for Moratuwa and Gampaha Municipal Councils (October 2015).

(7) Finalize the influencing strategies (30 March 2015).

(8) Formulation of ESMIS (12 September 2015)(KP1).

(9) Validation of ESMIS with stakeholder working group of municipalities (September - October 2015).

(10) Finalize ESMIS for installation(30 September 2015).
    a. Include relevant elements of good practices from South Asia K-Hub partner countries and provide existing situation in each country
    b. Develop a policy brief to communicate the ESMIS and relevance to policy makers in the two target municipal councils. (Policy Brief on transformation of the existing information handling mechanisms into Information Technology based local authority information management system)

(11) Trial run of the ESMIS to receive feedback (30 September 2015).

(12) Gain the acceptance of ESMIS by the stakeholders (September-October 2015).
    a. Two workshops
    b. Identify speaker (champion of the IMS from an MC) for a lecture series

(13) Monitor and provide feedback on how ESMIS is helping MC's make better decisions (September 2015- March 2016).
    a. Reflection meeting with each MC
    b. Case Study on how ESMIS is improving the Municipal Council in their decision making (Case Study 2)

(14) Develop User Manual/Practice Guide for households of Moratuwa and Gampaha Municipal Council areas to select proper treatment methods and disposal options along with appropriate technical designs (KP2)(30 December 2015).

(15) Gain the acceptance of User Manual/Practice Guide by the stakeholders (April-May 2016).
    a. Twoworkshops
    b. Identify speaker (champion of sanitation from an MC) for eminent lecture series

(16) Develop a technical brief to communicate the User Manual/Practice Guide and relevance

to policy makers in the two target municipal councils (September 2016).

(17) Monitor and provide feedback on how ESMIS and the User Manual/Practice Guide is used by the Municipal Councils to make better decisions (Reflection meeting with each Municipal Council) (October 2016-March 2017).

Objective 2: TosupportMoratuwa and Gampaha Municipal Councils to enhance their capacities in Strategic Planning and Implementation by 2016.

(1) Development of a concept paper to initiate research on capacity building for preparation of development plans and implementation with feedback from ADB and other national centers (19 September 2015).

(2) Draft influencing strategies and adapt and fill in on an ongoing basis (30 September 2015).

(3) One to one meetings with the Mayors, Elected Members and Public Representatives on the importance and possible financing strategies of the projects and programmes (30 September 2015).

(4) Identification of stakeholders, form working groups (through workshops) and hold meetings to share the purpose of capacity building, developmental timeline and review needs(19 September 2015).

(5) Networking key partners such as University of Moratuwa, Ministry of Urban Development, Water Supply and Drainage, Urban Development Authority, Local Authorities, Divisional Secretariat, Sri Lanka Institute of Local Governance, Mayors Forum, Chamber of Commerce, Business Association, and Tax Payers Association.

(6) Undertake research on good practices from South Asia K-Hub partner countries of development plan preparation and implementation (31 October 2015).

(7) Draft report on capacity building (policies and practices) (30 December 2015).

(8) Finalize report on capacity building (policies and practices) (KP3: Sector Specific Report)(30 May 2016).

(9) Finalize the influencing strategies (30 June 2016).

(10) Formalization of improved mechanism of plan preparation and implementation (July - September 2016).
   a. 2 workshops
   b. Identify speaker (champion from an MC) for eminent lecture series
   c. Develop a Policy Brief on local government policy on increased capacity in plan preparation and implementation

(11) Develop knowledge exchange programmes for the purpose of exposure, experience and knowledge sharing. (a field trip to learn from best practices of planning of Twining partnership between Gampaha MC and Moratuwa MC) (December 2016).

(12) Monitor and provide feedback on how the plan preparation and implementation mechanism is helping MC's make better decisions (October 2016-March 2017).
   a. Reflection meeting with each MC for monitoring and receiving feedback to activate the improved plan preparation and implementation mechanism

Objective 3: To develop recommendations for an improved Masters of Spatial Planning, Management and Design curriculum at the Department of Town & Country Planning by 2017.

(1) Establish a working group that consists of Department-Industry Consultative Board (DICB) of the Department of Town& Country Planning to;
   a. Review existing urban planning curriculum to identify gaps and opportunities for improved curriculum (19 September2015)
   b. Develop recommendations for curriculum revision to support better service delivery in the Municipal Councils (30 September2015)

(2) Develop a draft and final influencing strategy (19 September 2015).

(3) Develop a report with recommendations for communicating to stakeholders (30 September 2015).

(4) Finalize and communicate the recommendations to the identified audience via stakeholder workshop, lecture series and small group meetings (September- October 2015).

(5) Gain the approval from the University Senate and Institute of Town Planners Sri Lanka for the finalized curriculum recommendations(November- February 2016).

Objective 4 (Operational): To build capacity of the Sri Lanka National Center (Department of Town & Country Planning) in knowledge management, communications and learning.

(1) Activating and maintaining webpage / website
   a. Participating in working group
   b. Providing content
(2) Contributing to Newsletter – biannual
   a. Participating in working group
   b. Providing content
(3) Reporting and learning
   a. Monthly (or bi-monthly) 'check in meetings' with team leader and ADB representative
   b. Quarterly progress reports to Regional Coordinator and ADB
   c. Annual reports of Working Groups (to ADB, regional and national center)
   d. Steering Committee Meetings (at least once a year)
   e. Twice yearly reflections on outcomes (communication between our team and ADB)
   f. Midterm capacity building / reflection retreat for national teams –
   g. Participation in two training webinars per year for national teams
   h. Participation in a final reflection workshop on lessons on implementation of regional K-Hub (May 2017 – K Hub partners and implementing agencies)
(4) Knowledge Products
   a. Contributing to knowledge products of other countries by submitting Sri Lanka country profile on the topic (9 in total)
   b. Reviewing the KP concept papers of other countries and providing comments
   c. Contributing to the regional knowledge products (regional database)
      1. Participating in working group
      2. Contributing to influencing strategy
      3. Contributing to the concept note on the KP
      4. Support implementation

V. TEAM INPUTS

Objective 1

To influence the selected two Municipal Councils (Moratuwa and Gampaha) to employ the newly developed ESMIS by 2017.

Position		Person-Month Inputs
Team Leader	Professor P K S Mahanama	10*
Urban Expert	Dr. JagathMunasinghe	10*
Infrastructure Expert	Professor U A Puswewala	05*
Urban Economics Specialist	Planner SusanthaAmarawickrama	05*
GIS and Mapping	Planner ArunaBandara	03*
Community Planning	Planner ShaliniMariyathas	03*
Field work and Management	Planner Chathura de Silva	03*
Research Assistants		30
Total		**72**

Objective 2

To support the Moratuwa and Gampaha Municipal Councils to enhance their capacity in Strategic Planning and Implementation by 2017.

Position		Person-Month Inputs
Team Leader	Professor P K S Mahanama	10*
Urban Expert	Dr. JagathMunasinghe	10*
Infrastructure Expert	Professor U A Puswewala	05*
Urban Economics Specialist	Planner SusanthaAmarawickrama	05*
GIS and Mapping	Planner ArunaBandara	03*
Community Planning	Planner ShaliniMariyathas	03*
Field work and Management	Planner Chathura de Silva	03*
Research Assistants		30
Total		**72**

Objective 3

To develop recommendations for an improved Masters of Spatial Planning, Management and Design curriculum at the Department of Town & Country Planning and get the approval from the University Senate and Institute of Town Planners Sri Lanka by 2017.

Position		Person-Month Inputs
Team Leader	Professor P K S Mahanama	10*
Urban Expert	Dr. JagathMunasinghe	10*
Infrastructure Expert	Professor U A Puswewala	05*
Urban Economics Specialist	Planner SusanthaAmarawickrama	05*
GIS and Mapping	Planner ArunaBandara	03*
Community Planning	Planner ShaliniMariyathas	03*
Field work and Management	Planner Chathura de Silva	03*
Research Assistants		30
Total		**72**

Objective 4 (Operational)

To build capacity of the Sri Lanka National Center (Department of Town & Country Planning) in knowledge management, communications and learning.

Position		Person-Month Inputs
Team Leader	Professor P K S Mahanama	10*
Urban Expert	Dr. JagathMunasinghe	10*
Infrastructure Expert	Professor U A Puswewala	05*
Urban Economics Specialist	Planner SusanthaAmarawickrama	05*
GIS and Mapping	Planner ArunaBandara	03*
Community Planning	Planner ShaliniMariyathas	03*
Field work and Management	Planner Chathura de Silva	03*
Research Assistants		30
Total		**72**