

# Urban WASH Strategy





Cover Photo: WaterAid/Puneet Srivastava  
Children collecting Water in Rakhi Mandi slum in Kanpur, India, 2014

## Urban WASH Strategy

Suggested Citation: Dash, M; Ganapathy, C; Srivastava, P & Verghese G. Urban WASH Strategy. New Delhi. WaterAid India. 2015.

© WaterAid India, 2015



## Foreword



It gives me immense pleasure to place before you WaterAid India's country strategy on urban WASH. The strategy document has been prepared following wide consultative process spanning last couple of years in WaterAid India covering management team, regional programmes and WaterAid India's partners working on urban WASH besides other key stakeholders at national level. The three key events that set a perfect background for WaterAid India to roll out this Urban WASH strategy document were as under:

1. WaterAid's urban framework was rolled out in year 2011. This framework set the broad principals and commitments of WaterAid programme on urban WASH and set guidelines for each country programme within WaterAid to evolve a national strategy for urban WASH based on local context, needs and situation.
2. WaterAid South Asia regional strategy for Urban WASH which was rolled out in year 2013 with clearly defined South Asia regional strategic objectives on urban WASH.
3. Water Aid's advocacy to reach EVERYONE EVERYWHERE by 2030 for setting post MDG agenda on WASH globally. This would require focused strategic interventions for urban poor and programmes going up to city wide scales.

Following up on above, a national consultative workshop was organised with support from Mr. Timeyin Uwejamomere and Mr. Arjen Naafs from WaterAid UK on 4th to 6th February, 2014 in New Delhi. This workshop was attended by many sector experts, academicians, private sector, government and local self-government representatives, staff of WaterAid India and partners working on urban WASH issue. The recommendations emerging from the workshop provided the basis for developing this urban WASH strategy document for WaterAid India. I am sure that in coming years, this urban WASH strategy document, shall help WaterAid India and its partners to define the change objectives and shift the urban WASH programme towards more programmatic approach so as to reach urban poor ensuring WASH rights for everyone.

I wish to convey my sincere thanks to all who have contributed to formulation and writing of the urban WASH strategy document for WaterAid India.

A handwritten signature in black ink that reads "Neeraj Jain".

(Neeraj Jain)  
Chief Executive

## Acknowledgment

The urban WASH strategy for WaterAid India is the result of extensive consultation process within WaterAid India and its partners and post publication of global urban framework by WaterAid UK in year 2011. The urban WASH strategy formulation also draws from experience from various external stakeholders (ranging from academic institutions, donors, consulting organisations, NGOs,

Municipalities, state governments and individual experts) who contributed with their experience, leanings and recommendations towards formulation of urban WASH strategy for WaterAid India. WaterAid India wishes to acknowledge the contribution towards formulation of this urban WASH strategy by following key people:

Name	Designation and Organisation
Mr. Timeyin Uwejamomere	Technical Support Manager- Urban, Programme Support Unit, WaterAid UK
Mr. Arjen Naafs	Regional Technical Advisor, South Asia Region, WaterAid UK
Mr. Nipun Vinayak, IAS	Ex Municipal Commissioner, Nanded, Andhra Pradesh and Secretary to Government of India
Dr. Usha P Raghupathi	Professor, National Institute of Urban Affairs, New Delhi
Mr. Dirk Walther	Senior Advisor, Sustainable Urban Development, German Development Cooperation (GIZ), New Delhi
Professor H M Mishra	Director, National Institute of Governance and Urban Management, Bhopal, India
Mr. Sandeep Srivastava	Municipal Commissioner, Burhanpur Municipal Corporation, Madhya Pradesh (MP)
Mr. Ajay Sinha	Chief Operating Officer, Feedback Foundation, Gurgaon
Ms. Shipra Saxena	WSS Specialist ( Team Leader) ,USAID funded Health of the Urban Poor Project, Population Foundation of India, Delhi
Ms. Padmaja Nair	Social Development Consultant, Lucknow
Mr. Ayush Chuahan	Founder and Director, Quicksand, Delhi
Mr. Sunderrajan Krishnan	Executive Director, INREM Foundation, Anand, Gujarat
Er. Sunil Kumar Manjhi	Executive Engineer, Nagar Nigam, Patna, Bihar
Mr. V. Ganapathy	Liaison officer , Exnora International, Chennai, Tamil Nadu (TN)
Mr. M.Veliappan	Programme Coordinator, Exnora International, Chennai
Fr. F.Hendry Lawrence	Regional Convener, WASH Net, Tamil Nadu
Mr. Sathyanesan	Co Convener, WASH Net, Tamil Nadu
Ms. Alia Khatun	Project Coordinator , SaciWATERS, Hyderabad, Andhra Pradesh (AP)
Ms. Chirantana	Capacity Building and Liaising officer, SaciWATERS, Hyderabad, AP
Mr. Abhishek Sharma	Project Coordinator Aarambh, Bhopal, MP
Mr. Jitendra Parmar	Urban Governance Specialist, Aarambh, Bhopal, MP

Ms. Usha Agrawal	Chief Functionary, BGMS, Indore, MP
Ms. Rita	Project Coordinator, BGMS, Indore, MP
Mr. Bimal Prasad Pandya	Sr. Programme Manager, RCDC, Bhubaneswar, Odisha
Mr. Ganesh Parida	Programme Manager, CYSD, Bhubaneswar, Odisha
Mr. Rakesh Pandey	Team Leader, Shramik Bharti, Kanpur, UP
Mr. Vinod Dubey	Project Coordinator, Shramik Bharti, Kanpur, UP
Mr. Sandeep Khare	Team Leader, Vigyan Foundation, Lucknow, UP
Mr. Ranjan Kumar	Team Leader, Nidaan, Patna, Bihar
Ms. Gouri Choudhury	CEO, Action India, Delhi
Mr. Devender Kumar	Project Coordinator, Action India, Delhi
Mr. Pravin Naidu	Advocacy and Networking officer, Action India, Delhi
Ms. Jyoti Sharma	Team Leader, FORCE, Delhi
Ms. Shruti	Programme Manager, FORCE , Delhi
Ms. Susbani	Project Coordinator, FORCE, Delhi
Mr. Shri Om	Project Director, MRYDO, Delhi
Mr. Ashim Kumar Sarkar	Project Coordinator, MRYDO, Delhi
Ms. Dilna Dayanandan	Project Coordinator, MRYDO, Delhi
Ms. Aditi	CURE, Delhi
Mr. Pranav	CURE, Delhi
Mr. Lourdes Baptista	Ex Chief Executive, WaterAid India, New Delhi
Mr. Arunachal Mudgerikar	Ex Director Programme Operations, WAI, New Delhi
Mr. Mathew Luckose	Ex Regional Manager, WaterAid India, Bhopal, MP
Mr. Amit Pandey	Ex Regional Manager, WaterAid India, Bangalore, Karnataka
Mr. Neeraj Jain	Chief Executive , WaterAid India, New Delhi
Mr. Nitya Jacob	Head of Policy, WaterAid India, New Delhi
Ms. Chandra Ganapathy	Programme Support Manager, Water Aid India, New Delhi
Ms. Mamata Dash	Senior Advisor, WaterAid India, New Delhi
Ms. Sweta Patnaik	Programme Officer , WaterAid India, New Delhi
Mr. George Verghese	Programme Officer, WaterAid India, Bangalore, Karnataka
Ms. Hemalatha Patil	Programme Officer, WaterAid India, Bangalore, Karnataka
Mr. Binu Arickal	Regional Manager, WaterAid India, Bhopal, MP
Mr. Jibok Chatterjee	Ex Programme Officer, Urban , WAI, Bhopal, MP
Ms. Bishakha Bhanja	Regional Programme Manager, WAI, Bhubaneswar, Odisha
Mr. Bikash Pati	Programme Officer, WAI, Bhubaneswar, Odisha
Mr. KJ Rajiv	Regional Programme Manager, WAI, Lucknow, UP
Ms. Anjali Tripathy	Programme Officer, WAI, Lucknow, UP
Mr. Santosh Dwivedi	Programme Officer, WAI, Lucknow, UP
Mr. Puneet Kumar Srivastava	Manager Technical, WaterAid India

We would like to mention our special thanks to the peer group of Mr. Timeyin Uwejamomere (WaterAid), Mr. Arjen Naafs (WaterAid), Mr. Neeraj Jain (WaterAid India), Mr. Nitya Jacob (WaterAid India), Prof. Usha P Raghupathi (National Institute of Urban Affairs) and Mr. Rakesh Kumar (Shramik Bharti).

We would also like to express our special thanks to the writing group for this Urban WASH strategy namely Ms. Mamata Dash, Ms. Chandra Ganapathy,

Mr. George Verghese and overall coordination by Mr. Puneet Srivastava from WaterAid India.

We would like to express our sincere thanks and gratitude to all and would like to say that without your full hearted contribution towards the analysis of the problems being faced by urban poor in access to WASH services, it would have been impossible to chart out our way forward as outlined in this urban WASH strategy for WaterAid India.

## CONTENTS

Abbreviations	10
Executive Summary	11
<b>Part A: Where We are?</b>	15
Introduction	15
Sector Analysis, Stakeholder Mapping and Situation Analysis	16
Urban governance	17
WASH Rights and Urban Poor	27
A brief history of Urban WASH Programme in WaterAid India	28
<b>Part B: Where we want to be?</b>	30
Vision, Goal and Purpose	30
Key Thematic Focus in Urban WASH	30
Strategic Change Objectives	30
Proposed Milestones on change path	30
<b>Part C: How do we get there?</b>	33
Collaboration	33
Approach	34
Resources	43
Implementation Framework/Plan	44
M&E Framework	47
Management Structures and Implementing mechanisms	47
Key Questions, Risks and Assumptions	48
Conclusion	49



## ABBREVIATIONS

ICECSR	International Covenant on Economic, Social and Cultural Rights
JNNURM	Jawaharlal Nehru National Urban Renewal Mission
BSUP	Basic Services for Urban Poor
UIG	Urban Infrastructure and Governance
UIDSSMT	Urban Infrastructure Development Scheme for Small and Medium Towns
IHSDP	Integrated Housing and Slum Development Programme
WASH	Water, Sanitation and Hygiene
ULB	Urban Local Body
O&M	Operation and Maintenance
RAY	Rajiv Awas Yojna
CFC	Central Finance Commission
SFC	State Finance Commission
NUSP	National Urban Sanitation Policy
CSP	City Sanitation Plan
CDP	City Development Plan
CMT	Community Managed Toilet
SSA	State Level Specialist Agency
PHED	Public Health and Engineering Department
MSA	Metropolitan-level Specialist Agency
SMU	Specialist Municipal Undertaking
WAI	WaterAid India
WAIN	WaterAid India North
WAIS	WaterAid India South
WAIE	WaterAid India East
WAIW	WaterAid India West
SACOSAN	South Asian Conference on Sanitation
RtWS	Right to Water and Sanitation

# EXECUTIVE SUMMARY

## WHERE WE ARE?

As per census 2011, 31.16% (377.10 millions) of the total population of India is living in urban areas. If we take into account larger villages, half of India's population is already living in urban areas or in areas with similar conditions. 18% of the above urban population (i.e. about 65.49 million people) lives in slums although the rate varies from 0-35% in different states of India. Non-wage, informal employment is a dominant characteristic of the urban poor households. In 2004-05 between 72 and 82 per cent of the usually employed male urban poor and between 78 and 80 per cent of the usually employed female urban poor were reported to be either self-employed or casually employed. It is this fact that imparts a high degree of instability to the income profile of the urban poor, and restricts their access to any form of institutional and market finance. The socio-economic implications of a large slum population -- which includes the cost of civic services, housing and health care, and increased crime and social tensions -- saw the Government of India frame the Rajiv Awas Yojna as a policy response. The scheme is intended to provide affordable housing (with water and sanitation facilities) to the urban poor and make urban areas slum free.

The Jawaharlal Nehru National Urban Renewal Mission (JNNURM) had been the national flagship programme driving capital investments in water supply and sanitation sector across India while pushing for governance reforms by urban local bodies and state governments during 2005 to 2014.

Launched in December 2005, the JNNURM comprised four schemes. It funded specific projects

for urban infrastructure and basic urban services in 67 cities of India through two schemes, i.e. the Scheme for Urban Infrastructure and Governance (UIG) and the Scheme for Basic Services to the Urban Poor (BSUP). The other two schemes, i.e. the Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT) and the Integrated Housing and Slum Development Programme (IHSDP) covered non-Mission cities and towns with the aim of integrated provision of basic entitlements and services to all including the urban poor. JNNURM is currently being reviewed and new restructured programme based on learnings from JNNURM and priorities of the new central government that assumed office in 2014 is in the process of policy formulation.

Swachh Bharat Mission (Urban) has been launched in 2014 by the central government with a target for open defecation free India and elimination of manual scavenging completely by 2019, 150th birth anniversary year of Mahatma Gandhi. Similarly, Smart Cities programme launched by the central government in 2014 sets up a new set of benchmark for 100 selected smart cities in water supply, sanitation, solid waste management and drainage besides other infrastructure and service delivery benchmarks.

Governance is the weakest and most crucial link which needs to be repaired to bring about the urban WASH transformation so urgently needed in India. Most of the slum settlements lack water and sanitation systems and are often located in high-risk areas of cities. In many cases, entire townships have emerged in slum developments

operating within the framework of an informal economy. Not all slum dwellers are poor, however some non-poor live in slums because rent control laws have created extreme scarcity of housing for low income groups. All this has profound implications not only for environmental degradation but also for the productivity of those who live in slums with huge under provision of basic urban services.

Internationally, the Government of India has not only signed the International Covenant on Economic, Social and Cultural Rights (ICESCR) in the 1960s, which implicitly included the right to sanitation, but has in 2010 further confirmed its commitment by signing a specific UN resolution that articulated the Right to Sanitation even more explicitly.

## WHERE DO WE WANT TO BE?

Our vision, goal and purpose for urban poor is as under:

Vision: “Realisation of rights of poor and marginalised people in urban areas to access sustainable water and sanitation by 2030”

Goal and Purpose: WaterAid India’s goal and purpose in urban WASH is to secure poor people rights to access sustainable WASH services with collaborative action with communities, governments, civil society and private sector using the city/town wide approaches and innovative practices in management, governance and technologies.

To achieve the above goals and purpose, WaterAid India has identified following five critical gap areas for focus among urban WASH issues.

Right to Sanitation in urban areas including Faecal Sludge Management

Right to SAFE water supply for all particularly the urban poor

- Personal Hygiene including menstrual hygiene management
- Capacity strengthening of ULBs for improved solid waste management

- WASH in Schools – create successful models for O&M of WASH facilities  
For achieving the above goals and purpose, the following strategic change objectives have been set up:

1. By 2023 (SACOSAN V- Target year for ODF South Asia), in at least 50% of the towns and cities where WaterAid India is working, all poor and marginalised people and school children have access to sustainable sanitation and safe drinking water.
2. By 2030 (WaterAid Global Target Year for Everyone Everywhere), right to WASH in urban context is defined, articulated and advocated at public policy level in each of the states and at national level where WaterAid India is working.

The proposed key milestones on this journey of change has been identified across the dimensions of service provision/demonstration, capacity development / sector strengthening, policy advocacy/policy influencing /scaling up and citizen’s participation.

## HOW DO WE GET THERE?

Collaboration: The key to achieve the strategic change objectives as outlined above is how meaningfully we can engage in collaborations for rapid progress in each of the thematic focus areas of urban WASH for WaterAid India. The collaboration in

each of our key focus area in UWSS shall be critical for achievement of our change objectives in urban WASH portfolio. A table showing the possibility of collaboration by WAI and its partners in each of the key focus thematic area is given below.

Key focus areas and possibilities of collaboration	
Focus Thematic Area	Possibility of Collaborations
Urban sanitation including faecal sludge and Solid waste management	Urban Local Body, Department of Urban Development, Private Sector/CSR, Public Health Departments, Citizen Groups, Civil Society Organisations, Academic and research Institutions, Waste Water Laboratories, Waste pickers, City Makers, Planners
Water safety and water security	Urban Local Body, Department of urban Development, Public Health Departments, Citizen Groups/ Women Self-help Groups, Private Sector/CSR, Civil Society organisations, Academic Institutions, Water Quality Laboratories, City makers, Planners
Personal and Menstrual Hygiene Management	Department of Health, Department of women and child development, Urban Local Body, Private Sector, Civil Society Organisations, Citizen Groups/Women Self Help Groups
O&M of WASH facilities in schools	Ministry of HRD, Department of Education, School Management Committees, Public Health Departments, Department of Urban Development, Civil Society Organisations, Private Sector

Approach: The WaterAid Urban framework highlights that our urban programmes should achieve the following:

- Services are delivered in an inclusive manner to all
- Strategic choices are made according to local need or context
- Facilitation of relationships and collaboration between diverse actors is a priority

- Sanitation and hygiene are made high priorities
- Policy advocacy and implementation work are closely integrated

This urban strategy document tries to synthesise the approaches in each of the thematic focus area in urban WASH across the dimensions of national level, state level, city level and community level. The overall approach towards the achievement of strategic change objectives would be to adopt town wide /city wide approaches for totally sanitised towns and cities respectively. However, the

methodologies for the engagement on town wide approach and city wide approach shall differ in towns and cities given the different kind of situation and challenges in which they operate.

A more direct approach towards achievement of town wide approach shall be adopted whereas the engagement of WaterAid and its partners shall be primarily based on collaboration with urban local body in towns in terms of participatory planning (such as preparations of CSPs, pro poor proposals for WASH, improving governance and monitoring structures and models using RtWS, ODF towns etc.), implementation (such as piloting innovative and complex models for WASH service delivery, piloting ODF campaigns, RtWS) and O&M (improving the financing and governance models, continuous citizens feedback on quality of services etc.). Thus the focus in town wide approach shall be on capacity building of urban local bodies through engagement with them on pre identified elements of urban reforms agenda to ensure Right to Water and Sanitation for urban poor.

The city wide approach in bigger cities shall focus more on urban governance related issues with the concerned urban local bodies focusing on capacity development for reaching the unreached through better governance, evidence led policy advocacy and improved monitoring and programme management.

Resources: With the new staffing structure in place, the current staff capacity, technical capacity, financial resources and partner's capacity looks adequate to traverse the journey towards strategic change objectives for urban WASH programme of WaterAid India. Specific technical support and capacity building measures shall be mobilised as per the programmatic needs identified by programme managers.

**M&E Framework:** The M& E framework aims to improve efficiency in management, accountability and internal learning and thus improve programme effectiveness. The urban strategy implementation framework outlined in section 10 will be aligned to WAI's Multiyear Plan and Budget (MPB) process and the PME framework. The strategic implementation plan and activities will be embedded in the respective programme plans as detailed project plans. The project and programme plans will have annual milestone and performance indicators. Through six monthly and annual review mechanisms, progress against the milestones and indicators will be monitored and course correction and modifications to plans, timelines and activities will be implemented. Where the review indicates need for any permanent changes and implication on the urban strategy, the document will be updated after the annual review. The urban strategy and the urban programme will be part of the country's midterm review and evaluation plans.

**Conclusion:** In conclusion, WaterAid and its partners in India, based on their long experience of working on urban WASH issues in many cities and towns of India, have charted out this strategy through a structured and extensive consultation process and distilling their experiences of implementation of programmes for realisation of mission of WaterAid in India. This urban WASH strategy document charts out the strategic change objectives and the possible road map to achieve the same in WAI country programme by 2020. It also determines the programmatic boundaries and priorities for us to remain collaborative, focused and result oriented as we move forward in our mission to help urban poor to have access to sustainable WASH services using right based approaches.

## PART A: WHERE WE ARE?

### 1. Introduction

In India, all places with a municipality, corporation, municipal council, Nagar Panchayat, Cantonment Board or notified town area committee are known as Statutory Town.

All other places which satisfy the following criteria are known as Census Town:

- A minimum population of 5,000;
- At least 75 per cent of the male main workers engaged in non-agricultural pursuits; and
- A density of population of at least 400 per sq. km.

As per census 2011, 31.16% (377.10 millions) of the total population of India is living in urban areas. If we take into account larger villages, half of India's population is already living in urban areas or in areas with similar conditions. The last decade 2001-11 saw for the first time since independence, the absolute increase of population in urban area (91 million) more than in rural areas (90 million). This clearly indicates that India is urbanising. This transition, which will see India's urban population reach a figure close to 600 million by 2031, is not simply a shift of demographics. It places cities and towns at the centre of India's development trajectory. Already the number of metropolitan cities with population of <sup>1</sup> million and above has increased from 35 in 2001 to 50 in 2011 and is expected to increase further to 87 by 2031. Urban poverty in India is large and widespread. Slum settlements – often referred to informal settlements without any formal title - represent the most visible manifestation of poverty in urban India. In 2004-05, 80.8 million people out of an estimated urban population of 309.5 million person were below the poverty line in that there per month consumption was less than Rs. 538.6. In addition, about 40-45 million persons were on the border line of poverty.

Urban poverty in India is large and widespread. Slum settlements – often referred to informal settlements without any formal title - represent the most visible manifestation of poverty in urban India. In 2004-05, 80.8 million people out of an estimated urban population of 309.5 million person were below the poverty line in that there per month consumption was less than Rs. 538.6. In addition, about 40-45 million persons were on the border line of poverty. These numbers constitute a significant

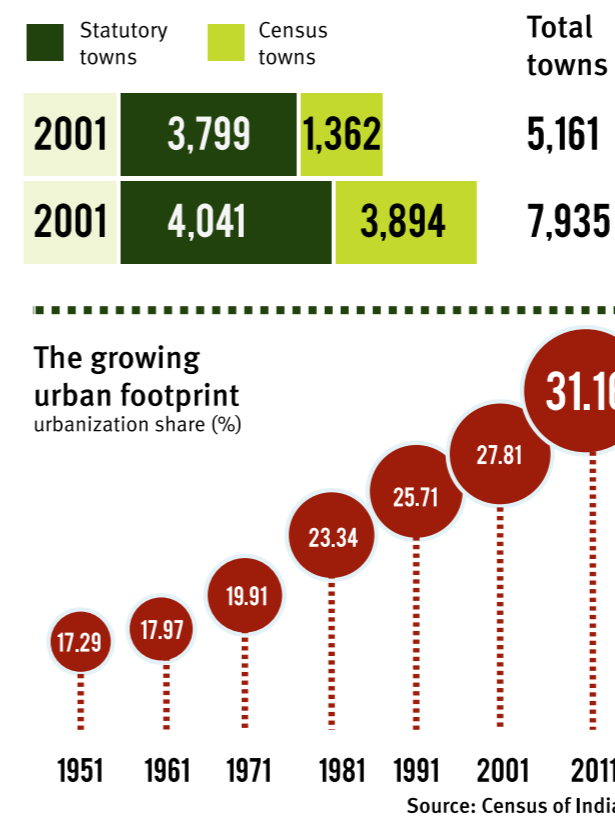


Figure 1: The growing Urban Footprints in India

<sup>1</sup> Report on Indian Urban infrastructure and services, HPEC, 2011



proportion of the world's total urban poor estimated at 291.4 million. Out of this, 40 per cent of the urban poor concentrated in the states of Bihar (including Jharkhand), Madhya Pradesh (including Chhattisgarh), Orissa, Rajasthan, and Uttar Pradesh (including Uttarakhand)<sup>2</sup>. According to census 2011, about 18% of the urban population (i.e. about 65.49 million people) lives in slums although the rate varies from 0-35% in different states of India.

Non-wage, informal employment is a dominant characteristic of the urban poor households. In 2004-05 between 72 and 82 per cent of the usually employed male urban poor and between 78 and 80 per cent of the usually employed female urban poor were reported to be either self-employed or casually employed. It is this fact that imparts a high degree of instability to the income profile of the urban poor, and restricts their access to any form of institutional and market finance. The socio-economic implications of a large slum population -- which includes the cost of civic services, housing and health care, and increased crime and social tensions -- saw the Government of India frame the Rajiv Awas Yojna as a policy response in last decade. The scheme is intended to provide affordable housing to the poor and make urban areas slum free.

The enactment of 74th Constitutional Amendment in 1992, has added a new dimension to fiscal federalism and the decentralisation process in the country, by assigning a constitutional status to Urban Local Bodies in India. The Amendment provided for, among other things, the gradual transfer of powers and authority of state legislatures to Urban Local Bodies (ULBs) so that they function as institutions of self-government; clear demarcation of ULB's responsibilities under the Twelfth schedule of the Constitution and the

formation of State Finance Commissions (SFCs), in line with the Central Finance Commission (CFC), to identify avenues for municipal finance and recommend criteria to devolve resources from states to ULBs. These provisions, although not fully implemented, provided functional and financial autonomy within the framework of a democratic government structure, and made ULBs directly accountable to their citizens and also ensuring participation of the people in decision making processes. But the exact demarcation of powers, functions and finances between the State Government and ULBs is left to be determined by the State Governments through their conformity legislations and subsequent Amendments therein.

## 2. Sector Analysis, Stakeholder Mapping and Situation Analysis

An advisory note for improving the urban water supply and sanitation services brought out by the Ministry of Urban Development, Government of India in year 2012 has set out following six critical and key areas for improving the sector performance.

- Clarifying the mandates of water supply and sanitation service providers
- Improving the governance of water supply and sanitation service providers
- Financing water supply and sanitation operations and infrastructure development
- Regulating the urban water supply and sanitation service
- Building capacity, developing procedures and professionalising actors of the water supply and sanitation sector
- Developing procedures for community participation

From the perspective of WaterAid India given its current role and mandate, the areas mentioned under b, e and f assume greater significance for collaborative action under city wide approaches for cities and towns and for strengthening the rights based approaches in its urban WASH work in India.

## 3. Urban Governance:

Governance is the weakest and most crucial link which needs to be repaired to bring about the urban WASH transformation so urgently needed in India. Most of the slum settlements lack water and sanitation systems and are often located in high-risk areas of cities. In many cases, entire townships have emerged in slum developments operating within the framework of an informal economy. To quote from the study on health and living condition in eight Indian cities by National Family Health Survey 2005-06 as below, it is amply clear that WASH for the urban poor challenge is not limited to slums in India.

*"It is undoubtedly simplistic to assume that most of the urban poor live in slums or that slum dwellers in urban areas are necessarily poor. In cities like Delhi and Mumbai, most slum dwellers are likely to have income levels that put them way above the poverty line (Business Standard, 2001). A survey of nine slums in Howrah in West Bengal revealed that almost two thirds of the people living in slums were above the poverty line (Sengupta, 1999). It has also been observed that poverty in urban areas is qualitatively very different from rural poverty and that it is multidimensional. Urban poverty presents some issues that are distinct from those addressed in the typical analysis of poverty, such as commoditization, environmental hazard, and social fragmentation (Baker and Schuler, 2004; Moser,*

*Gatehouse, and Garcia, 1996). A recent study based on the analysis of NSSO data also concluded that contrary to popular perception, not all slum dwellers are poor. Non-slum residents are not unequivocally better off than slum residents. The study also suggests that the poorest non-slum residents are worse off than the poorest slum dwellers. Even in big cities, the poorest people do not all live in slums (Chandrasekhar and Mukhopadhyay, 2008)."*<sup>3</sup>

Not all slum dwellers are poor, however. Some non-poor live in slums because rent control laws have created extreme scarcity of housing for low income groups. All this has profound implications not only for environmental degradation but also for the productivity of those who live in slums with huge under provision of basic urban services.

One of the most critical issues in Urban Water Supply and Sanitation (UWSS) is that water and sanitation programmes operate in isolation from programmes in health and education and reflect the fact that water and sanitation is not pursued with the aim of reducing disease, improving hygiene, improving educational levels or reducing poverty. The ever increasing ground water quality problems particularly as regards to arsenic and fluoride is rendering the low cost ground water based hand pump options in rural and urban areas as non-feasible resulting in often non affordable water supply for urban poor thus impacting public health negatively.

The Jawaharlal Nehru National Urban Renewal Mission (JNNURM) had been the national flagship programme driving capital investments in water supply and sanitation sector across India while pushing for governance reforms by urban local bodies and state governments.

<sup>2</sup>Steering committee on urbanization, Planning Commission, 2011

<sup>3</sup>Health and Living conditions in eight Indian cities by NFHS-3 2005-6

Launched in December 2005, the JNNURM comprised four schemes. It funded specific projects for urban infrastructure and basic urban services in 67 cities of India through two schemes, i.e. the Scheme for Urban Infrastructure and Governance (UIG) and the Scheme for Basic Services to the Urban Poor (BSUP). The other two schemes, i.e. the Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT) and the Integrated Housing and Slum Development Programme (IHSDP) cover non-Mission cities and towns with the aim of integrated provision of basic entitlements and services to all including the urban poor. UIG and UIDSSMT schemes are governed by Ministry of Urban Development, whereas IHSDP and BSUP schemes are administered by Ministry of Housing and Urban Poverty Alleviation of Government of India.

Under the JNNURM, the Government of India entered into partnership with state governments and ULBs. As a first step, the ULB had to prepare a perspective plan or a City Development Plan (CDP), which is followed by a Detailed Project Report (DPR) in line with the priorities laid out in the CDP. The state government and the ULB of a Mission city were required to sign a memorandum of agreement (MoA) with the Government of India, where both the state government and the ULB committed to a set of reforms and they all agree to share in the funding of the project.

The state government and the ULB were expected to make specified parallel financial contributions along with the Government of India. For large cities with population of more than 4 million, a 35 per cent grant was made by the Government of India, 15 per cent by the state government, and 50 per cent by the ULB. In the case of cities with population between 1 and 4 million, 50 per cent was provided by the Government of India, 20 per cent by the state

government, and 30 per cent by the ULB. For all other cities, the Government of India provided 80 per cent of the grant, while the state government and the ULB contribute 10 per cent each. Cities in north-eastern states and Jammu and Kashmir received 90 percent grant from the Government of India and 10 per cent from the state government. However, a big critic in implementation of the JNNURM projects has been, that the principals of equity, inclusion and human rights approach to safe drinking water and sanitation to all, has not been adhered to, as was expected under this mission mode of working for urban reforms in WASH sector. This has resulted in impediments like not achieving universal outreach of WASH services in the covered areas with inequitable access to WASH even within the covered areas. A total of 67 cities are eligible (up from 63 initially), provided that they have elected bodies in position. 13 specific reforms are mandatory for states and municipalities before funds can be accessed. At the state level, they include decentralization of urban planning, water supply and sanitation from the states to cities, as well as the enactment of laws for community participation and public disclosure. At the municipal level, they include the adoption of modern accounting systems, e-government, improvements in property tax collection, better cost recovery for water supply, sanitation and solid waste management, and targeting of investments to the poor.

“Swachh Bharat Mission for Urban Areas” Programme has been launched on October 2nd, 2014 by the Union Government of India. This is being implemented over 5 years starting from 2nd October, 2014 in all 4041 statutory towns. The total expected cost of the programme over 5 years is Rs. 62,009 crore, out of which the proposed Central assistance will be of Rs. 14,623 crore. The programme includes elimination of open

defecation, conversion of insanitary toilets to pour flush toilets, eradication of manual scavenging, Municipal Solid Waste Management, bringing about a behavioral change in people regarding healthy sanitation practices, generating awareness among citizens about sanitation and its linkages with public health, strengthening of urban local bodies to design, execute and operate systems to fulfil these objectives and creating an enabling environment for private sector participation in capital expenditure and operational expenditure. The Programme consists of components for providing: (i) Individual household toilets, (ii) Community and public toilets and (iii) Municipal Solid Waste Management in all 4041 statutory towns.

It would cover 1.04 crore households, provide 2.5 lakh seats of community toilets, 2.6 lakh seats of public toilets and solid waste management facility

for all towns. Community toilets will be proposed in residential areas, where it is difficult to construct individual household toilets, public toilets will be constructed in designated locations such as tourist places, markets, bus stations, near railway stations and places of public recreation wherever required. The scheme will be part of a joint Swachh Bharat Mission to be implemented for rural areas by the Ministry of Drinking Water and Sanitation and for urban areas by the Ministry of Urban Development. A National Advisory and Review Committee, headed by Secretary, Ministry of Urban Development and comprising of representatives of Finance and other concerned Ministries shall release funds, monitor and supervise the programme. A High Powered Committee headed by the Chief Secretary at the state level would steer the programme in its entirety. The coverage and funds needed under various components is:

S. No.	Component	Total funds allocated (Rs. In Crores)	Remarks
1.	Individual Household Toilets	4165	100% coverage in two years
2.	Community Toilets	655	- Do-
3.	Public Toilets	0	Through PPP
4.	Solid Waste Management	7366	90% in years 2 & 3
5.	Public Awareness	1828	
6.	Capacity Building & Admin. Expenses	609	
Total		14623	

Besides, Swachh Bharat Mission, the central government has also launched a smart cities programme for transforming 100 cities to smart cities. These Smart cities will have adequate

availability of piped water supply that also meets benchmarks of water quality, pressure, etc. across the city. Dual water supply systems that serve the needs of drinking water and other needs would help

in recycling water and conserving it. Adoption of new methods especially smart metering for reducing loss and energy consumption in water networks needs to be ensured. This is possible by installing sensors in the supply system that measure water consumption, water levels, and water flow rates on a real time basis. These models will help in not only identifying and localise leaks, it would also assist to optimise energy consumption in the network. In addition, smart water meters may be installed for measuring water consumption more efficiently and providing water customers with data to help them monitor their water usage and reduce costs.

As per draft concept note of smart cities programme, it is essential that smart cities should have a City Wide Sanitation Plan for all parts of the city. The Plan is expected to be based on the concept of Decentralised Sewerage and Solid Waste Management System. Also, each and every household should have a toilet so that no citizen needs to defecate in the open. Further, all commercial and other public buildings should have clean and hygienic toilets. There is a need for 100% recycling in the sanitation system. Moreover, only treated water should get into water body i.e. lake, pond, river etc. Similarly for solid waste management in smart cities, the following strategies therefore need to be adopted:

- Segregation of recyclable and non-recyclable waste as well as wet and dry waste at the source so that there can be 100% recycling of solid waste
- Appropriate technology should be adopted for treatment of waste at decentralised locations
- Put in place an effective collection and disposal system

- Encourage use of products based on recycling of solid waste especially – power, compost, building material (based on cycling of debris & construction materials)

Traditionally public policy on basic urban services in India has focused on water supply, which has enjoyed primacy in investments as well, while sanitation has lagged behind. Even today, almost one-fourth of the urban populations in India do not have access to safe and adequate sanitation facilities. Inadequate access to sanitation especially in high density urban slum settlements is one of the key impediments to improving the quality of life and productivity of urban centers. In the absence of quick and effective remedial measures, India also run the risk of rapidly increasing vulnerability to disease caused by such conditions. The main reason behind the dismal state of affairs in urban sanitation remains the failure of centralised sewerage systems based solutions and the absence of fecal sludge management (FSM) options in promotion of decentralised waste water management systems.

Although the central government allocation has been rising in urban WASH sector, the pace of its utilisation has been significantly low due to political prioritisation of implementation, poor capacity of state and urban local bodies both in terms of co-financing and technical knowhow to engage with reforms agenda. However, greater political prioritisation for urban WASH based on acknowledgement of linkage between WASH and public health in manifestos of major political parties and its implementation shall remain a challenge. Given below is a list of ministries and institutions responsible for Urban Water Supply and Sanitation (UWSS) sector at the central and state levels.

**Table 2: Central Government Institutions responsible for UWSS sector**

Ministry	Institution	Responsibility
Planning Commission (Niti Aayog)	Planning Commission (Niti Aayog)	Planning and allocation of central government funds through five year plans/Policy making
Central Ministry of Water Resources (MoWR)	Central Water Commission (CWC) Central Ground Water Board (CGWB)	Concerning quality and overexploitation Regulatory activities of ground water
Ministry of Environment and Forests (MoEF)	National Rivers Conservation Directorate (NRCD) Central Pollution Control Board (CPCB)	Responsible for conservations of forests & river bodies Pollution watch
Ministry of Urban Development (MoUD)	Central Public Health Environmental and Engineering Organisation (CPHEEO)	Standards setting and harmonisation between states
Ministry of Health and Family Welfare (MoHFW)	National Institute of Communicable Diseases (NICD)	Research and advocacy, particularly with civil society
Others	Housing and Urban Development Corporation (HUDCO) Life Insurance Corporation (LIC)	Funding for housing and other infrastructure sectors Development funding

Source: The World Bank

**Table 3: State-level institutional arrangements in the UWSS Sector**

Agency type	Jurisdiction	Responsibility	
		O&M	Capital Works
State-level Specialist Agency (SSA)	Entire state Large Cities Small Cities	City-level specialist	SSA
		Agency	SSA
		City-level specialist	SSA
		Agency	SSA
Public Health and Engineering Departments (PHED) Municipal Departments	Entire state Small Cities Large municipal corporations	Local Government	PHED
		Municipal Departments	Municipal Department
Metropolitan-level Specialist Agency (MSA)	Metropolitan centres	MSA	MSA
Specialist Municipal Undertaking (SMU)	Metropolitan centers	SMU	SMU

Source: Urban Water Supply and Sanitation - World Bank Group Strategy; May 2000

Defining Cities and Towns: The census of India defines the cities and towns on the basis of population as under.

Type (Town/Cities)	Population
Class I	100,000 and above
Class II	50,000 to 99,999
Class III	20,000 to 49,999
Class IV	10,000 to 19,999
Class V	5,000 to 9,999
Class VI	<5000

Source: Census of India

Towns with population of 1, 00,000 and above are called cities. Besides above, we have metropolitan cities /area and mega cities defined as under.

**Metro Cities:** Urban Agglomerates/Towns which have a population of four million (40 Lakh) or above each are known as Metro Cities. 74th Constitutional Amendment Act, 1992 has inserted a definition of “Metropolitan area” as an area having a population of ten lakhs or more, comprised in one or more districts and consisting of two or more Municipalities or Panchayats or other contiguous areas, specified by the Governor by public notification to be a Metropolitan area.

**Mega Cities:** Urban Agglomerates (UAs) with more than 10 million (100 lakh or 1 crore) persons are known as Mega Cities. Among the Million plus

UAs/Cities, there are three very large UAs with more than 10 million persons in the country, known as Mega Cities. These are Greater Mumbai UA (18.4 million), Delhi UA (16.3 million) and Kolkata UA (14.1million).

However, with changing times, it has been felt that in practical sense, the census classification of cities and towns does not hold good for planning of development activities such as those related to WASH sector. The High Powered Expert Committee (HPEC) set up by Government of India in its recommendation had suggested revised classification of cities and towns in India in year 2011 for urban infrastructure development including WASH. We will consider the definition of cities and towns based on these recommendations for our work in urban WASH sector in India.

Census Class	Reclassified as per HPEC, 2011	Population Size	Category
<b>Cities</b>			
Class I	Class 1 A	>10 million	Mega cities
		>4 Million and < 10 million	Metro cities
	Class I B	1 million- 4 million	Million plus cities
	Class I C	0.5 million to less than 1 million	cities
<b>Towns</b>			
Class I	Class 1C	100,000 to 500,000	Towns
Class II	Class II	50,000- 100,000	Medium Towns
Class III	Class III	20,000-50,000	Small Towns
Class IV	Class IV+	<20,000	Small Towns
Class V			
Class VI			

This urban strategy defines CITIES as those urban areas having population equal to or more than 0.5 million and TOWNS having population less than 0.5 million These towns represent around about 61%

of the total urban population which is expected to grow as more and more villages with greater population<sup>4</sup> transform into urban areas.

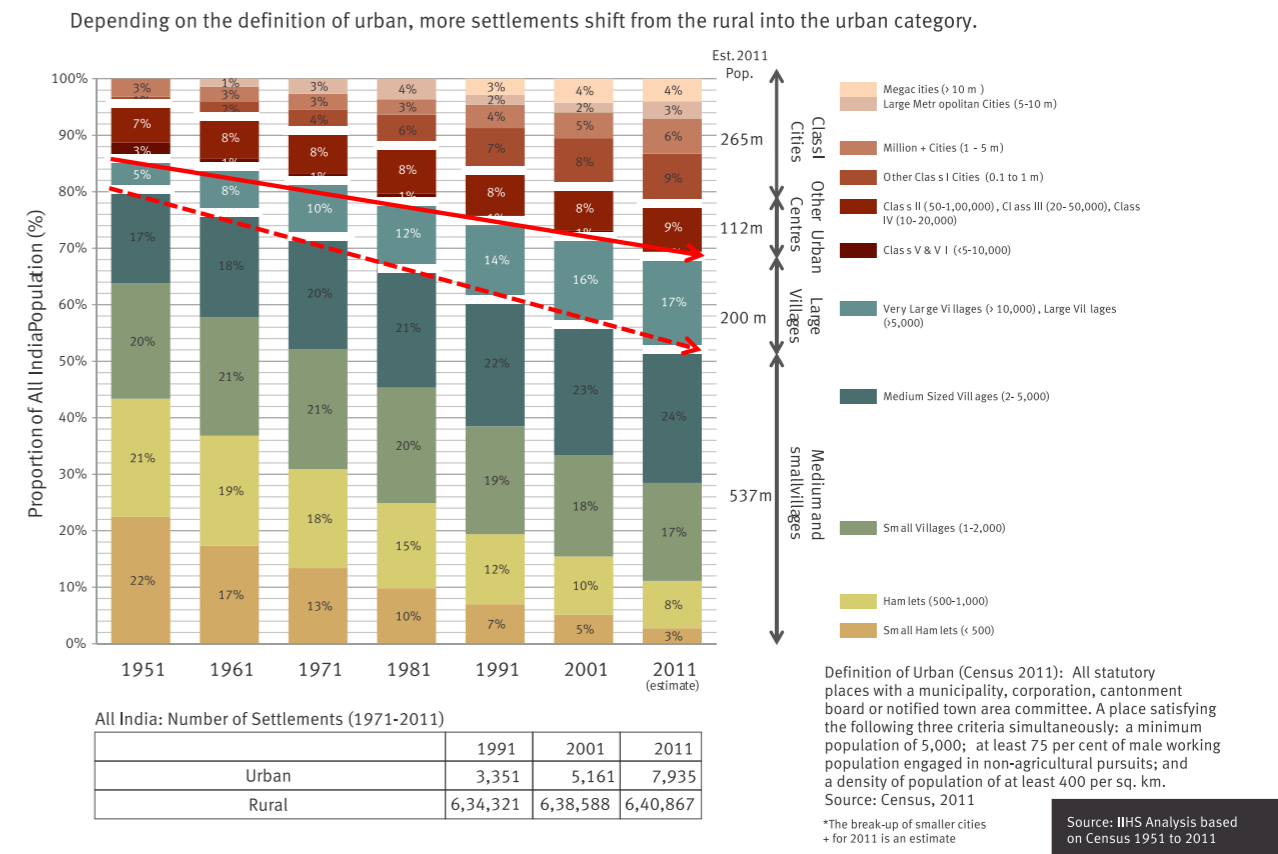


Figure 2: Large villages, towns and cities – Where the WASH and Poverty challenge lies in India?

<sup>4</sup> Census 2011

“Though villages still vastly outnumber towns in India (Census 2011 estimated 8,000 urban centres, including census towns, in a sea of 660,000 villages), the construct of these villages is changing. Since 1951, the proportion of rural India living in small villages and hamlets (of fewer than 2,000 people) has decreased from 63% to an estimated 28% today according to Census data analysis by the Indian Institute of Human Settlements (IIHS). But, at the same time, the percentage of Indians living in large villages (more than 5,000 people) jumped from 5% to 17%. Not all of these villages qualify as census towns, but most of them mimic urban living.

A 2011 report by IIHS noticed the striking importance of what it described as a “grey zone” of between 80-140 million people, between the smallest towns and large villages of more than 5,000 people “with an increasingly urban character”<sup>5</sup>.

In this grey zone lie the census towns and it is here, that the challenge of urban WASH for the poor will be tested in day to come.

A situation analysis of urban WASH across towns and cities is presented in the table below.

Table 6: Detailed situation analysis for Urban WASH in India in cities and towns

Dimensions	Metropolitan Cities and Municipal corporations (1 million above population)	Municipalities (0.5 million to 1 million population) Cities	Towns less than 0.5 million population
Characteristics	Increased migrant population. Large informal settlements. There are issues of tenancy, lack of WASH services, high open defecation, most poor lives in slums.	Slowly growing and getting attention and relatively stagnant migrant population in the informal sector.	Getting the identity of a town Few migrants but poverty pockets mainly composed of local residents without basic facilities. Though politically strong locally but not getting attention from state and centre.
Technical and administrative capacities of ULB	Good technical and administrative capacities	Limited technical and administrative capacities	Very low technical and administrative capacities
Resources	Have huge funds from government, donor and private investments. Revenue recovery is Good.	increasing investment (new phase of JNNURM), Possibility of getting more investments from Corporate; Revenue reasonably improving	Low resources, mostly dependent on the state government funding. Revenue recovery is very low

<sup>5</sup> Live Mint and the Wall Street Journal, 2012 (<http://www.livemint.com/Politics/HQzcUy1meBiq2aeaS9dAZO/New-census-towns-showcase-new-India.html>)

Table 7: Detailed situation analysis for Urban WASH in India in cities and towns

Dimensions	Metropolitan Cities and Municipal corporations (1 million above population)	Municipalities (0.5 million to 1 million population) Cities	Towns less than 0.5 million population
Government's commitment	Very high commitments, States are moving towards Metropolitan Planning concepts, Possibility that several small and medium towns in the vicinity will be covered in the Metropolitan plans (e.g. Sehore/ Vidisha, Raisen etc. in Bhopal Plan)	Increasing focus (particularly from a regional parity point of view), Looks promising with greater investments under JNNURM II	Very low commitments from the government. There is nothing concrete that the Government of India / state government has in store for the towns hereby excluding a large population and workforce from their basic rights City Sanitation Plan and City Development Plans are a hope for them. But these can be put to use provided there is adequate mandate and provisions available
Other actors	Corporate, other NGOs, Consulting firms, Donor agencies have strong presence	NGOs are present; Corporate shows interest in investing and some donor agencies keen to work with	Civil Society engagement is not coming up to assure equitable WASH services ensuring rights of the urban poor, Corporate is invisible and donor agencies are very limited
Advantages	Can influence state and country with the work in large towns Greater coverage of un-served communities Since there are several players, there would be limited visibility	Influencing urbanisation trends in the country Will be able to cover a large number of un-served community Greater visibility as there are lower number of players	Pioneering in small and medium towns Possibility of influencing at state and national level for towns Very good visibility as it would be a pioneering work
Possible approaches	Advocacy work Budget tracking /analysis to maximise the spent Ward wide approach to strengthen poverty pockets service delivery Improved water supply and sanitation through governance structures Better service delivery can be done by strengthening the governance structures (e.g. - mohalla samities, ward committees, area sabhas, etc.)	Service delivery can be improved through better management of development resources and strengthening capacities of the elected representatives Technical support towards developing pro-poor schemes, planning as well as handholding support to implement programs effectively	Town-wide Integrated Approach to WASH services ensuring the principles of equity, inclusion and rights Capacity building and handholding support to ULB, elected representatives Activating the local bodies and ensuring participation of people in taking decisions Technical support for the ULBs to leverage fund Demonstrate appropriate models. Experiment with innovative solutions/ research to provide cutting edge solutions for pro poor WASH services Service delivery can be improved by better management/ governance and greater community participation

Further, analysing the situation of urban poor across the dimensions of demographic shifts, political, social and economic environment and the urban governance structures, we would see that the challenge of urban poverty and exclusion (including that of WASH exclusion) is shifting towards the towns as they grow in numbers and more villages follow the path of urbanisation across rural –urban continuum in India.

WaterAid India is predominately engaged with cities in comparison to towns, currently. WAI is working in 7 million plus cities (Delhi, Lucknow, Kanpur, Patna, Bhopal, Indore, and Hyderabad) with projects working on the ground whereas its engagement with towns have been limited to capacity building efforts to 16 municipalities in Tirupur region of Tamil Nadu starting this year onwards and few small ties for specific supports such as preparation of CSP, funding proposal etc. in past..

Although it is important that we keep strengthening our presence and engagement with cities to continue with our leadership on urban WASH issue in India and the ability to leverage the resources and policies in favour of urban poor, few facts that remain in favour of argument of WaterAid India’s increased engagement with towns in the days to come are as under.

- The lower share of urban population in smaller towns, and the relatively slower growth of these towns compared to larger urban centres, has implications for how the urbanisation challenge needs to be managed. The towns with population of less than 500,000 in India also have very different levels of managerial and governance systems compared to larger Class I and metropolitan cities. Hence, interventions for preparing our cities will need to distinguish between the challenges and capacities of cities versus towns in the country.

- Notwithstanding the growing and disproportionate importance of the big’ cities, public policy needs to take note of the small urban centres particularly because of their weak economic base, high incidence of poverty, and lack of access to benefits which are available to rural areas. Besides their large number, often the small centers are very different from their bigger’ counterparts in their problems and hence in the solutions to WASH problems. For example, the internal own capacities of the smaller urban local bodies (ULBs) are likely to be much less than of the bigger Corporations. Similarly, the economies of scale argument in service provision that works for big ULBs may not be equally applicable for many smaller ULBs. Hence WASH policy interventions need to be differentiated to address these challenges.
- Urban poverty rates and numbers of poor are markedly higher in towns than India’s largest cities.
- Financing is available in cities (e.g. under JNNURM) but multiple stakeholders with very high stakes are present and hence decisions are influenced by many factors and are therefore more complex to engage with. In towns, either the financing is not available adequately (e.g. UIDSSMT, NSHP) or they don’t have the capacity to access it.
- Citizen in towns are much more engaged and also come together relatively easily as compared to cities (crisis of survival brings/ binds them more and thus it is easier to organise them).
- Government officials are at a comparatively better position to maximise their mandate and authority in towns and therefore take decisions while in bigger cities they are more into implementing decisions

- While power structures are present in both cities and towns but structure didn’t have full control on individual and individual still feel responsibility towards perceived “own” area in towns.

Despite these challenges, there is a huge opportunity to get these towns on right track in WASH services before the unregulated growth spirals into the more difficult and complex WASH challenges faced in large urban cities. Given the global and Indian perspective on cities and towns, it is important to define our strategic focus areas in context of both cities and towns for WAI’s work in urban WASH with the increasing trend of urbanisation with more and more rural areas moving in to the urban town category.

#### 4. WASH rights and urban poor

The Government of India has not only signed the International Covenant on Economic, Social and Cultural Rights (ICESCR) in the 1960s, which implicitly included the right to sanitation, but has in 2010 further confirmed its commitment by signing a specific UN resolution that articulated the Right to Sanitation even more explicitly. By signing and ratifying this international covenant and the UN resolution, the Indian government committed itself to the progressive realisation of this right, which rather than being an excuse to justify non-achievement of this right, demands that the country regularly offers evidence that it is clearly progressing as expeditiously and effectively as possible in realising this right especially for the most marginalised and vulnerable individuals and groups, by taking deliberate concrete and targeted steps using the maximum available resources. In addition, customary International Human Rights Law demands that a right to a remedy be also established, which means that the country must

establish competent institutions through which individuals must be able to claim such a right when they feel their right to Sanitation has been violated. Furthermore the principles of non-discrimination, equality, access to information and transparency, participation and accountability are other important aspects that are implicit in fulfilling such a human right commitment.

At the international level, the two most explicit instruments for provision of a right to water are a) the covenant on Right to Water (adopted on the 29th Session of the Committee on Economic, Social and Cultural rights, 2003) explains that legally Right to water should include entitlement of safe, sufficient, physically accessible, equal and affordable water for drinking and domestic purpose, that ensures a minimum standard of living to all and b) the 2005 draft guidelines for the realisation of the right put forth in the Report of the Special Rapporteur of the United Nations Commission on Human Rights (UNCHR), both of which focus on water for personal and domestic uses.

On right to sanitation, the special rapporteur of the United Nations Commission on Human Right to Water and Sanitation in her report has clearly mentioned that Water and Sanitation are basic human rights and established the urgent need to address these two fundamental issues from this perspective.

The government of India has not only signed the International Covenants (1966, 2003 & 2005) but has also confirmed its commitments in 2010 by signing a specific UN resolution (Resolution adopted by the General Assembly on 28 July 2010; Sixty-fourth session; Agenda item 48) that articulated the right to sanitation more explicitly.

In the Indian context, though the right to water is not explicitly mentioned in the constitution, there is

judicial support for it under Article 21, the right to life (a fundamental right), which has been reiterated in a number of court judgements. For instance, in December 2000, in the course of a case involving the Government of Andhra Pradesh's permission to an oil company to set up a potentially polluting industry in the catchment area of two rivers which are the main sources of drinking water for Hyderabad and Secunderabad, the Supreme Court ruled that access to clean water is a fundamental human right of all citizens under Article 21 of the Indian constitution, and that the state is duty bound to provide it (Ramachandraiah, 2001). However, the implications of judicial judgements for different dimensions of the right to water are not clear, and have to be derived from rules and norms of specific programmes of different departments working on water (at the central, state and sub-state level). What is really problematic, though, is that many aspects of water policies and legislation (especially in the ongoing reforms) are also explicitly incompatible with the right to water for basic needs. With the lack of a very clear legislation, it has been largely left to the interpretation of the judge and the bench to consider it as a matter of right or not.

The recent experiment by Delhi Government calling for free supplies up to 700 litres of water per family per day for the metered connection from public water supply scheme has been seen by some section of society as articulation of drinking water rights albeit through entitlement based approach.

## 5. Brief History of Urban WASH Programme- WaterAid India

The engagement of WaterAid India with Urban WASH programme started in the year 1991 with its engagement in urban slums of Bangalore town. The next two decades of its engagement with urban WASH issues was limited to slums of the bigger

towns such as Bangalore, Trichy, Bhubaneswar, Puri, Chennai, Bhopal, Gwalior, Jabalpur, Indore, Kanpur, Lucknow, Patna, Hyderabad, Aranthangi, Bhavani, Tiruvallur, Kulithalai, Mettupalyam, Udagamandalam, Velankanni, Walajapet, Tiruvanmalai and Delhi. The initial focus of WAI's work was to provide urban poor pockets (slums) with WASH facilities. The major policy hurdles in this phase was that government's focus was on the issue of illegal occupation and strategy for eviction rather than providing services in urban slums by the state. However, WAI could make tangible beginnings with its own resources and work with NGO partners and communities to establish its credibility in Bangalore and Trichy in early nineties. There were innovations like Citizens First Initiative in Hyderabad and Water and Sanitation for Urban Poor Projects in Hyderabad and City Sanitation Plans in Nine towns of Tamil Nadu (Aranthangi, Bhavani, Tiruvallur, Kulithalai, Mettupalyam, Udagamandalam, Velankanni, Walajapet, Tiruvanmalai), which generated a high degree of interest of the respective ULBs in catering to poor's WASH needs.

After WAI's work in slums of bigger cities in India got recognised, it was invited by the Municipal Corporations (ULB in cities) to address the challenge of WASH in slums, when it got a policy sanction by the Government.

From year 2005 onwards, as it became evident that India will miss the Sanitation target significantly under the MDGs targets, the subject of poor sanitation in cities and towns started getting more attention by the state and national governments. As a result, the National Urban Sanitation policy (NUSP) was drafted in 2008. The national policy recommended the framework of City Sanitation Plans (CSP). With that changed policy environment and due to the established credibility of WAI, it got invited by ULB and state government of Madhya Pradesh to provide assistance for developing

the CSPs. This resulted in WAI's involvement with City Sanitation Plans for three towns (Ashta, Khujraho, Raisen) and then pre-feasibility concepts of integrated WASH for the five towns (Ashta, Raisen, Khujraho, Mandu and Burhanpur) of Madhya Pradesh. In Tamil Nadu, WAI together with its partner developed CSPs for 8 Municipalities and One Town Panchayat. WAI was also involved in providing technical assistance for EU funded projects in Ashta, Raisen and Burhanpur in Madhya Pradesh.

In Delhi programme, the initial focus was on the provision of clean drinking water and access to sanitation through multi-pronged advocacy approaches such as community toilet complexes, provisioning of onsite drinking water sources and hygiene promotion programmes which matured over time and space intervening in the key areas of WASH governance. Under this approach, WaterAid India and its partners engaged with issues such as connecting the unserved areas with water tankers and mobile toilets from civic bodies, working on the issue of rehabilitation of manual scavengers, more fund allocations and institutional mechanisms for O & M of community toilet complexes, linking the peoples plan on WASH to ward/Mohalla Sabha Plans and advocacy for right to water and sanitation for universal city wide coverage and access.

Overall, WAI has a high credibility due to their past and ongoing work in slums of bigger cities and towns and therefore, is looked upon by the Government and NGOs as a potential player in these areas.

WAI's conscious efforts to undertake the WASH issues in smaller towns appeared on the agenda around 2010 and since then is largely concentrated in WaterAid's regional office in South and West.

Water Aid's urban WASH strategic framework was released in 2011 defining the key WaterAid considerations for the urban WASH programmes globally. It also provided comprehensive guidelines on review and analysis of urban WASH sector. Post this, WaterAid conducted Asia Regional Urban Water and Sanitation workshop in Bangladesh from 17th to 20th June 2013 where all the country programmes from South Asia region participated to evolve the regional urban strategy.

The South Asia regional urban strategy focuses on five key themes – Disaster Risk Reduction, Sustainability, Urban WASH, WASH sector governance and WASH and health. The strategy aims to find sustainable solutions for equitable access to WASH for urban poor. The strategy has two key sub objectives

- By 2016, we will have influenced and supported others to adopt and adapt existing approaches to be more inclusive and pro poor
- By 2016, we would have developed workable solutions for Faecal Sludge Management challenge in the urban context

The roll out plan for South Asia regional urban strategy includes activities like development of urban strategy for each country, building capacities, delivering service and policy advocacy through collaboration with other key actors.

## PART B: WHERE DO WE WANT TO BE?

### 6. Vision, Goal and Purpose

Vision: “Realisation of rights of poor and marginalised people in urban areas to access sustainable water and sanitation by 2030”

Goal and Purpose: WaterAid India’s goal and purpose in urban WASH is to secure poor people rights to access sustainable WASH services with collaborative action with communities, governments, civil society and private sector using the city/town wide approaches and innovative practices in management, governance and technologies.

This would mean that these five themes will remain in focus in our urban WASH work till 2030. However, it does not necessarily mean that we would engage with all these five themes in each of our urban project in each city and town. What it means, is that based on assessment of local area needs, we would prioritise one or more of these themes in our urban WASH engagement in each of the city or town. WAI will carry out its work with the principles of equity, inclusion, collaboration, rights and participation of the poor.

### 7. Key Thematic Focus in Urban WASH portfolio

WaterAid India appreciates the intricate links between water, sanitation and hygiene issues and continue to work on entire gamut of urban WASH as per the needs of the local situation. However, based on situation analysis of urban WASH in a national workshop in March 2014 by WaterAid India and its urban WASH partners, we have identified the following five key thematic focus area in our urban WASH portfolio.

1. Right to Sanitation in urban areas including Faecal Sludge Management
2. Right to SAFE water supply particularly for urban poor
3. Personal Hygiene including menstrual hygiene management
4. Capacity strengthening of ULBs for improved solid waste management
5. WASH in Schools – create successful models for O&M of WASH facilities

### 8. Strategic Change Objectives (SCOs)

- By 2023 (SACOSAN V- Target year for ODF South Asia), in at least 50% of the towns and cities where WaterAid India is working, all poor and marginalised people and school children have access to sustainable sanitation and safe drinking water
- By 2030 (WaterAid Global Target Year for Everyone Everywhere), right to WASH in urban context is defined, articulated and advocated at public policy level in each of the states and at national level where WaterAid India is working

### 9. Proposed key milestones on change path

The proposed key milestones for India Urban WASH programme across the dimensions of service provision/ demonstration, capacity development/ sector strengthening, policy advocacy /policy influencing / scaling up and citizen’s participation for each of the strategic change objectives is presented in the table as below.

Table 8: Proposed key milestones on change path

SC01: By 2023 (SACOSAN V- Target year for ODF South Asia), in at least 50% of the towns and cities where WaterAid India is working since at least 2018, all poor and marginalised people and school children have access to sustainable sanitation and safe drinking water.			
Service Provision/ Demonstration	Capacity Development/ Sector Strengthening	Policy advocacy, Policy Influencing and Scaling up	Citizens Participation
<b>Key Milestones</b>			
Created successful models for O&M of community managed toilets by 2016-17 for cities and towns	Capacity of ULBs built for collaborating with NGOs/ Private sector/ CBOs for O&M of community managed toilets and its monitoring by 2018-19	Sustainable models for community managed toilet blocks adopted at city wide scale by at least 50% of the ULBs by 2020	Information, Education and Communication for roles and responsibilities of citizens for city wide sanitation services by 2023 Participation in the mohalla sabhas, ward sabhas – in ULB decision making processes
Created technological/ managerial / governance innovations to address workable solutions for fecal sludge management by 2016-17	The innovations in approach to fecal sludge management has been documented and shared with ULBs and WASH sector stakeholders for addressing the challenges of fecal sludge management by 2017-18	The fecal sludge management options has been scaled up in at least 50% of cities where WAI is working for city wide sanitation by 2020	Citizens are aware of the options for fecal sludge management and are willing to play their role for services to work by 2020
Created successful models of ensuring water safety/ water purification on water points to ensure safe water supply by 2016-17	Built the capacity of NGOs/ Private sector/ CBOs/ community for O&M of community water points and water safety and its monitoring by 2017-18	Sustainable models for community managed water points ensuring water safety has been adopted at city wide scale by at least 50% of the ULBs and service providers by 2020 Policies reflecting the inter-connectedness between safe WASH with health and education	Communities supported are aware about linkages between health and water quality and are aware to play their role to ensure water safety in collaboration with service providers by 2020
Created innovative models and IEC tools for promotion and monitoring of personal hygiene and menstrual hygiene management by 2016-17	Built the capacity of NGOs/ Private sector/ CBOs/ community for promotion of personal hygiene and MHM and its monitoring by 2017-18	Sustainable models for promotion and monitoring of hygiene indicators adopted at city level in at least 50% of the towns where WaterAid India is working in collaboration with Health Department by 2020	Communities in city are aware about linkages between personal hygiene, MHM and are playing the role in monitoring of personal hygiene indicators at family level by 2020



Created successful sustainable and environment friendly governance models of solid waste management by collaborating with ULBs, civil society organisations and private sector by 2018-19	Built the capacity of NGOs/ Private sector/ CBOs/ community for solid waste management and its monitoring by 2020	Sustainable and environment friendly models for promotion and monitoring of solid waste management adopted at city level in at least 50% of the towns by 2020 through advocacy. Are we not going to promote decentralised SWM systems Eg SWM at Slum levels/Ward Level.	Communities in city are aware about their roles and responsibilities as regards to solid waste management services out reach at entire city level by 2020 Community collectives are created to act as pressure points
SCO2: By 2030, right to WASH in urban context is defined, articulated and advocated at public policy level in each of the states and at national level where WaterAid India is working.			
The evidence of how right to water can ensure successful universal coverage to lifeline level of water supply in urban areas has been studied, documented and shared with urban WASH stakeholders by 2015-16	Wateraid and its partners have led coalition with urban WASH stakeholders built up for advocacy of right to water at each state and national level and the right to water is defined and articulated in context of national and each state level by 2017-18	Wateraid and its partners through coalition at each state and national level on right to water has engaged with policy makers for incorporating right to Water in political manifestoes of major political parties at national and state level by 2018-19	Communities in cities are aware about the right to water and their responsibilities to realise the right to water through forming pressure groups on policy makers by 2020
The evidence of how right to sanitation can ensure dignified life to the poor in urban areas has been studied, documented and shared with urban WASH stakeholders by 2015-16 Government will be mobilised to meet the commitments made in SACOSANs to recognise sanitation as a right	Wateraid and its partners have led coalition with urban WASH stakeholders built up for advocacy for right to sanitation at each state and national level and the right to sanitation is defined and articulated in context of national and each state level by 2017-18 Groups working in urban areas on sanitation are mobilised to be part of the RtS campaign to amplify their voices and also offer strategies to end the sanitation crisis	Wateraid and its partners through coalition at each state and national level on right to sanitation has engaged with policy makers for incorporating right to sanitation in political manifestoes of major political parties at national and state level by 2018-19	Communities in cities are aware about the right to sanitation and their responsibilities to realise the right to sanitation through forming pressure groups on policy makers by 2020
Source: WaterAid India Analysis			

## PART C: HOW DO WE GET THERE?

### 10. Collaboration

The key to achieve the strategic change objectives as outlined above in this section is how meaningfully we can engage in collaborations for rapid progress in each of the thematic focus areas of urban WASH for Water Aid India.

Urban local bodies (Municipalities) remain the most important institutions in each of the town as they have the mandate to provide safe water supply and community sanitation facilities in most of the towns in India. As we move towards the city wide approaches to leverage significant resources in favour of urban poor, it is most important to nurture a close working relationship with them and collaborate wherever found feasible to achieve our mission.

The collaboration with department of urban development shall be done for appropriate policy frameworks wherever needed for ensuring access to WASH for poor and excluded. However, for different thematic focus area, Water Aid India needs to either forge or expand its collaboration with other stakeholders such as Department of Public health, Department of Health, Department of Education and other major urban policy related institutions such as National Institute of Urban Affairs in Delhi and Institute on Urban Management in Bhopal. For

progress on thematic focus area on School WASH, the collaboration with department of education shall be critical.

Collaboration with Private Sector needs to be entered into based on commonality of objectives and finding synergies in different interventions in poor pockets of the cities and towns. Recently, with Corporate Social Responsibility act, 2013 and guidelines clarifying that water and sanitation may also be the areas among other which can be targeted with CSR funds, many new actors are likely to emerge for similar objectives and work in urban poor pockets.

Collaboration with other NGOs should be based on promoting rights based approaches and pressure groups through knowledge and advocacy for ensuring access to WASH for urban poor. Collaboration with academic and research Institutions should focus on improving knowledge and action on addressing some of the biggest challenges in access to WASH for urban poor and excluded.

The various stakeholders with whom the possibility of collaborations in each of the identified focus thematic areas exists has been identified in the diagram as below.

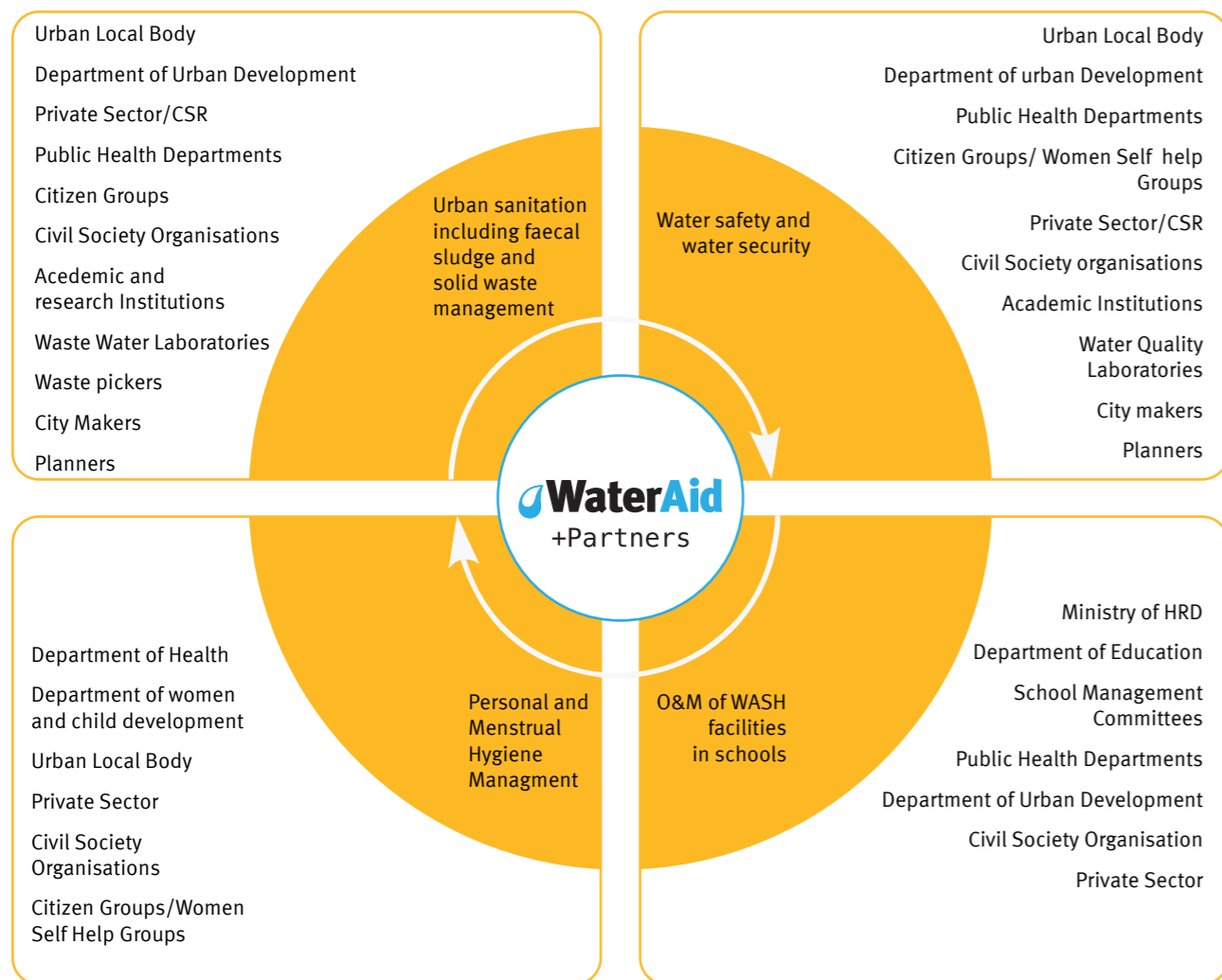


Figure 3: Thematic focus wise proposed collaborations

## 11. Approach

As per WaterAid South Asia strategy document 2012-16, the WaterAid Urban framework highlights that our urban programmes should achieve:

- Services are delivered in an inclusive manner to all
- Strategic choices are made according to local need or context.
- Facilitation of relationships and collaboration between diverse actors is a priority
- Sanitation and hygiene are made high priorities
- Policy advocacy and implementation work are closely integrated

It should be noted that much of what is being done already by country programmes in the region addresses one or more of the points above. It is useful, however, to take a step back and reassess our urban work to ensure that the relatively small amount of programme work that we can undertake is focused, relevant and impactful. This approach is also necessary if we are to build strategically on our existing successes and use them to influence the practice of others.

Keeping in mind above and given the complexity and scale of challenge to guide the current urban WASH programme the approach for actualising the strategic change objectives has been arrived at. This urban strategy document tries to synthesise the approaches in each of the thematic focus area in urban WASH across the dimensions of national level, state level, city level and community level. The overall approach towards the achievement of strategic change objectives would be to adopt town wide /city wide approaches for totally sanitised towns and cities respectively. However, the methodologies for the engagement on town wide approach and city wide approach shall differ in towns and cities given their different kind of situation and challenges in which they operate.

A more direct approach towards achievement of town wide approach is proposed to be adopted whereas the engagement of WaterAid and its partners shall be primarily based on collaboration with urban local body in towns in terms of participatory planning (such as preparations of CSPs, pro poor proposals for WASH, improving governance and monitoring structures and models

using RtWS, ODF towns etc.), implementation (such as piloting innovative and complex models for WASH service delivery, piloting ODF campaigns, RtWS) and O&M (improving the financing and governance models, continuous citizens feedback on quality of services etc.) . Thus the focus in town wide approach shall be on capacity building of urban local bodies through engagement with them on pre identified elements of urban reforms agenda to ensure Right to Water and Sanitation for urban poor.

The city wide approach in bigger cities shall focus more on urban governance related issues with the concerned urban local bodies focusing on capacity development for reaching the unreached through better governance, evidence led policy advocacy and improved monitoring and programme management.

These approaches across each of the thematic issue has been presented across the dimensions of community, city, state and national level in the table as below.

Table 9: Approach to realise the strategic change objectives for WAI in Urban WASH Programme					
Thematic focus area	Dimension	Key Approaches			
		National level	State level	City level	Community level
Right to Water and Sanitation for urban poor	Access to WASH for everyone everywhere by 2030	-Define the ambit of WASH rights in context of urban poor at national level - Advocacy for inclusion of same in political manifesto of major political parties Advocacy with the parliamentarians to raise it in the parliament - Align/ collaborate with like-minded organisations and forums for advocacy	- Engage with State stakeholders for realisation of WASH rights in context with urban poor - Mobilise opinions among the civil society and the legislators to address the issue - Mobilise intervention in the assembly by the legislators at state level	- Engage in programme that ensures city wide coverage and access to WASH by urban poor through strategic interventions - Create / join platforms of citizen's collective addressing the issue of RtWS	- Campaign for raised demand and action on right to water and sanitation
Shift Focus to Towns	Introducing city wide approaches to Urban WASH	- Advocacy for more fund allocation towards towns and leveraging CSR funds in favour of towns - Increased knowledge and understanding of urban WASH issues in towns	- Consolidate the ongoing programme in current big cities -Engage with more number of towns in urban WASH portfolio - Advocacy for pro poor allocations and programme implementation in towns	- Build on collaborative models with Urban local Bodies, citizen groups, civil society and private sector for city wide access to WASH for urban poor.	- Organise communities in towns for universal access to WASH services through collaborative efforts and policy support

Table 9: Approach to realise the strategic change objectives for WAI in Urban WASH Programme					
Thematic focus area	Dimension	Key Approaches			
		National level	State level	City level	Community level
Sanitation with Fecal Sludge Management as integral part as overall priority area	Service Provision/ Demonstration Capacity Development/ Sector Strengthening	- ensure fund flow for innovative approaches in FSM piloting and demonstration - Use Corporate Social Responsibility (CSR) provisions under new CSR act -Research collaborations with international agencies working in Urban Sanitation - Sharing case studies /Success stories from states with concerned national and international stakeholders	-Monitoring and documentation of success stories in FSM - Technical quality control for demonstrations - exposure trips for state level Urban WASH stakeholders to success stories on FSM - Training on change management for Pro Poor Urban WASH programming at state level for State level urban WASH stakeholders	- Site identification in collaboration with ULBs - Model design for piloting has been finalised in consultation with communities and ULBs - Training on inclusive WASH for Urban WASH stakeholders - Capacity development for participatory planning and provisions under 74th Constitutional Amendment - Empowering Ward Sabhas/ Mohalla Sabhas for decentralised decision making processes - Training for implementation of successful model for Faecal sludge management of city level key stakeholders	- The model design for demonstration has been agreed with community for participation, co-financing where possible and sustainability through informed choices to tackle WASH problems - Making communities aware about right to water and sanitation and demand for services from service providers - IEC with community for successful demonstration of FSM models

Table 9: Approach to realise the strategic change objectives for WAI in Urban WASH Programme						
Thematic focus area	Dimension	Key Approaches				
		National level	State level	City level	Community level	
	Policy advocacy, Policy Influencing and Scaling up	- Advocacy based on success stories for broad basing the national policy for urban WASH - Provide capacity building support to ULBs and others for scaling up the successful models of FSM	- Advocacy based on informed choice for broad basing the state policy for urban WASH in sync with national policy under JNNURM, BSUP and UIDSSMT etc. and the state specific needs	- Sharing the successful pilots for FSM with other parts of the city by ULBs and Partners - Showcasing the success stories at state, national and international level	championing the case of FSM and related health and economic development. - Creating pressure groups for up scaling the successful models for faecal sludge management at city level.	
	Citizens Participation	Citizens participation in FSM has been clearly defined and incorporated in the national policies governing WASH for urban areas	Citizens participation in FSM has been clearly defined and incorporated in the state policies governing WASH for urban areas	Citizens participation, options for co-financing by community and management of community WASH assets	Citizen's participation and community initiative is visible in collaboration with respective ULBs in promoting good models for FSM in poor pockets of urban slums.	
Water quality as biggest threat in water security for urban poor	Service Provision/ Demonstration	- ensure fund flow for innovative approaches in water security, water safety and demonstration - Development of sustainable models for water safety through research on ongoing technologies and its application	- ensure fund flow for innovative approaches in water security, water safety and demonstration - assisting city level planners with promotion of innovative approaches towards providing sustainable safe water supply to people living in low income settlements.	- Collaborating with ULBs/ SHGs and others for setting up sustainable models/ water enterprise to provide safe drinking water to urban poor.	- Awareness Campaigns to inform and educate the urban poor for promotion of innovative approaches for ensuring water safety	

Table 9: Approach to realise the strategic change objectives for WAI in Urban WASH Programme						
Thematic focus area	Dimension	Key Approaches				
		National level	State level	City level	Community level	
	Capacity Development/ Sector Strengthening	- Connect and contribute to national and international water quality networks (Such as Fluoride, Arsenic etc.) for improved understanding of water safety issues and research - regular updates on technologies for mitigation of water quality	- Develop and contribute to state level forums on urban WASH and water safety for enhanced knowledge and understanding	- Build capacity of city level urban WASH stakeholders for development of models for sustainable and safe water supply to the urban poor - Develop self-supporting community based social enterprise model for Safe water supply to urban poor	- Awareness campaigns to educate the community on models for sustainable and safe water supply and community empowerment	
	Policy advocacy, Policy Influencing and Scaling up	- Leveraging resources in favour of up scaling the social enterprise based models to ensure water safety for urban poor - Influencing policy for decentralised water treatment options in urban areas - supporting national government with robust water quality monitoring framework for urban areas	-Using State level forums, informing the public policy on health impacts of poor water quality for urban poor - Advocating for decentralised water treatment options to ensure water safety for urban poor	-Show case the success stories and relevant policy changes to ensure universal coverage and access to safe water supply to urban poor	- Community organised to form a pressure group on civic bodies for relevant policy changes , up scaling of models at city wide level and demonstrating the way forward to other cities and towns on pro poor Urban WASH initiatives	

Table 9: Approach to realise the strategic change objectives for WAI in Urban WASH Programme					
Thematic focus area	Dimension	Key Approaches			
		National level	State level	City level	Community level
Focus on personal hygiene and Menstrual Health Management (MHM)	Service Provision/ Demonstration	- Leverage resources for developing good personal hygiene projects and MHM models in urban communities and schools - advocacy with national stakeholders on health impacts due to improved personal hygiene practices and MHM	- study of critical areas for pilot / demonstration of successful approaches for personal hygiene and Menstrual Health management - Technical assistance for designing and leading the pilot/ demonstration of successful approaches for personal hygiene and menstrual health management	- Piloting campaigns / projects/ models for promotion of personal hygiene and menstrual health management in collaboration with urban local bodies, government departments and leading citizens in towns - impact monitoring	- awareness campaigns for target communities on personal hygiene and menstrual health management
	Capacity Development/ Sector Strengthening	- Promote synergy of hygiene programmes with ongoing Health Programmes - Ensure fundraising for personal hygiene and MHM programmes in states including that from private sector (CSR funds)	- increase collaboration between WASH, health and private sector for promotion of personal hygiene and Menstrual Health Management programme	- increase collaboration between government, WASH, health and private sector for promotion of personal hygiene and Menstrual Health Management programme	- awareness campaigns for target communities on personal hygiene and menstrual health management
	Policy advocacy, Policy Influencing and Scaling up	Promote local and low cost solutions for personal and menstrual health management which are sustainable	- Increased investments towards personal hygiene and menstrual health management programme - promotion of city wide approaches	- Piloting and up scaling the innovative programmes towards promotion of personal hygiene and menstrual health management	- demonstration and push for increased allocations in government programmes towards improvement in personal hygiene and menstrual health management for the urban poor

Table 9: Approach to realise the strategic change objectives for WAI in Urban WASH Programme					
Thematic focus area	Dimension	Key Approaches			
		National level	State level	City level	Community level
	Citizens Participation	Citizens participation with women as focal point should be an essential component of health and hygiene programmes at national level	-Citizens participation with women as focal point should be an essential element of state policy for promotion of personal hygiene and menstrual health management programme	Citizens and women's participation should be an essential component of campaigns/ pilots for promotion of personal hygiene management	Citizen groups / women self-help groups should be the lead in promotion of improved personal and Menstrual health management practices at each level
Advocacy for improved solid waste management	Service Provision/ Demonstration	- Identify gap areas where pilots / demonstration for successful models are needed to have improved solid waste management	- Identify gap areas where pilots / demonstration for successful models are needed to have improved solid waste management along with locations where demonstrations of innovative approaches may be targeted	-Pilot test the identified innovation in collaboration with other agencies - clean city green city campaigns	- Awareness about solid waste collection and disposal systems
	Capacity Development/ Sector Strengthening	-National/ International Exposure visit to successful models of solid waste management to help identify what is not working in our cities	National and within state exposure to health and WASH professionals for successful approaches to solid waste management programmes	-within state exposure visits to health and WASH professionals for successful approaches to solid waste management programmes	- Awareness campaigns for successful approaches used in solid waste management programmes
	Policy advocacy, Policy Influencing and Scaling up	Ensure the provisioning on comprehensive approaches using waste as resource in Municipal solid waste (Management and Handling rules, 2013)	Ensure that state policy has provision for engagement of civic agencies with other stakeholders and private sector within the overall framework of MSW Act and rules	Improving the MSW collection treatment and disposal by ULBs through technical advice and capacity development	Awareness campaigns regarding policies governing the municipal solid waste collection , treatment and disposal and health impacts

Table 9: Approach to realise the strategic change objectives for WAI in Urban WASH Programme

Thematic focus area	Dimension	Key Approaches			
		National level	State level	City level	Community level
	Citizens Participation	Ensure the provision of citizens participation in ensuring environment free of solid waste in urban areas in urban environmental policies	Citizens participation in ensuring environment free of solid waste is outlined in state environmental policies	The charter for citizens participation in ensuring civic amenities clearly articulate the role of citizens in keeping the city's environment clean and healthy	- Citizens are aware about their role in keeping the city green and clean as per citizen's charter by respective ULBs.
WASH in Schools – create successful models for O&M of WASH facilities	Service Provision/ Demonstration	Study of successful models for sustainable operation and maintenance of WASH assets and services in urban schools	Study of successful models for sustainable operation and maintenance of WASH assets and services in urban schools Policy advocacy for inclusion of successful O&M models for urban schools	Designing and piloting successful models for city wide services for operation and maintenance of WASH facilities in urban schools through collaborative efforts	Awareness programme for school management, education department and WASH Service Providers
	Capacity Development/ Sector Strengthening	Exposure of national stakeholders to successful models for O&M of WASH facilities in schools	Exposure of state stakeholders to successful models for O&M of WASH facilities in schools	Exposure of city level stakeholders for WASH in schools to successful model for O&M of WASH facilities in schools and its application through city wide approaches	Awareness programme on successful models for O&M of WASH facilities in schools.
	Policy advocacy, Policy Influencing and Scaling up	Policy advocacy for inclusion of successful O&M models for urban schools in policies and programmes governing schools in urban areas	Policy advocacy for inclusion of successful O&M models for urban schools in policies and programmes governing schools in urban areas	Scaling up the successful model to city wide scale Advocacy for adoption of models by other cities and towns in the states.	To act as pressure group for up scaling of the successful models for O&M of WASH in schools

Table 9: Approach to realise the strategic change objectives for WAI in Urban WASH Programme

Thematic focus area	Dimension	Key Approaches			
		National level	State level	City level	Community level
	Citizens Participation	Citizens participation for providing feedback on O&M of WASH facilities in schools incorporated in national policy	Citizens participation for providing feedback on O&M of WASH facilities in schools incorporated in state policy	Institutionalised monitoring and feedback on O&M of WASH facilities in schools	Awareness campaign for role of citizens in monitoring of WASH services in schools

## 12. Resources

The resources needed to engage with the process of strategic change management for urban WASH are outlined as below:

**Staff capacity:** With the new organisational structure in place in WaterAid India recently, the current staff capacity within WaterAid India is adequate to undertake the challenge of urban WASH strategic change objectives in next 5 years. In some regions, the responsibility of urban WASH has been dispersed among Programme Officers responsible for each state whereas in other regions and Delhi, we have dedicated programme officers for urban WASH. At the level of Policy and Advocacy unit, Manager Technical is thematic anchor for urban WASH portfolio in WaterAid India team.

Inputs will be provided by colleagues dealing with specific domains such as integrating elements of equity, inclusion and rights in the urban programs – both interventions at the field and policy levels.  
**Financial capacity:** The financial resources available for engaging with strategic change objectives seems to be currently sufficient and has the potential for larger fund raising as the urban WASH strategic change objectives are well aligned with donor

priorities and the need for maximising impact of our work on ground. Finance is also required to field test some of the technologies before scale up of the same into towns and cities.

**Technical Capacity:** The technical capacity in the WaterAid India team is adequate currently with two civil engineers in different regions (Puneet and Purna) and rest of the Programme Officers well informed about technical aspects of urban WASH technologies. However, it is felt that an annual technical capacity development programme for regional teams and partner staff should be structured and organised with assistance of the technical staff to update on technology issues and urban WASH priorities.

**Partners Capacity:** It is felt that as per the strategic change objectives, some of the thematic focus areas may be new for the partners to engage with such as faecal sludge management. Therefore, the partner's staff capacity needs to enhance through structured training programmes for them, exposure to success stories on these issues and also through hand holding support for them through short term consultancies in specific technical areas.

### 13. Implementation Framework /Plan

The implementation framework focuses on how each of the region and national office is currently engaged in broad roles and programmes in urban WASH and how it transitions its engagement in each year till 2020 so as to achieve its strategic change objectives. As regards to detailed implementation plan on each of the key focused thematic issue , it is envisaged that the key milestones on change path as presented in Table 8 above and key approaches as presented

in Table 9 above. This ensures enough operational flexibility for WaterAid India regional teams and partners to chart out a detailed implementation plan for journey on change path and provide them with necessary guidelines and programmatic boundaries to engage with. The proposed implementation framework for achieving the strategic change objectives is presented in the Table 8 as below.

**Table 10: Proposed implementation framework for achieving the strategic change objectives**

Region	Current Activities	Proposed activities					
		2014-15	2015-16	2016-17	2017-18	2018-19	2019-20
National	<ul style="list-style-type: none"> <li>- Right to Water and Sanitation</li> <li>- Urban Advocacy / Policy work</li> <li>- Research, Knowledge management</li> <li>- Fund raising</li> <li>- M&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>-Define the rights to water and sanitation in context of urban areas</li> <li>- Define the key advocacy issues in urban WASH</li> <li>-Engage in research /studies and knowledge management with regional teams</li> <li>- Maintain donor relations and obligations</li> <li>- build strategic links with the likeminded groups and campaigns</li> <li>- M&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>-Communication strategy for RTWS and regional advocacy agenda developed</li> <li>-Engage in research /studies and knowledge management with regional teams</li> <li>- Raise funds for new identified projects in context of new identified areas and towns</li> <li>- Maintain donor relations and obligations</li> <li>- M&amp;E</li> </ul>	<ul style="list-style-type: none"> <li>-Implementation of communication strategy and regional advocacy agenda by P&amp;A team with state teams</li> <li>- Engage in research/studies and knowledge management with regional teams</li> <li>- Raise funds for new identified projects in context of new identified areas and towns</li> <li>- Maintain donor relations and obligations</li> <li>- M&amp;E</li> </ul>	Same as in previous year	Same as in previous year	Same as in previous year

Region	Current Activities	Proposed activities					
		2014-15	2015-16	2016-17	2017-18	2018-19	2019-20
Delhi	<ul style="list-style-type: none"> <li>- Currently has five programme in different parts of Delhi</li> <li>The focus activities are</li> <li>- Rehabilitation of CMTs through municipal agencies, restoring dignity of manual scavengers, city wide planning and action, Schools WASH etc.</li> </ul>	<ul style="list-style-type: none"> <li>- Review of Delhi programme from point of view of integration of 5 programmes so as to result in city wide/Zone wise approach- Strategy Paper</li> <li>- A common coordination mechanisms between partners and key agencies such as DJB, DUSIB, MCD, DDA etc. for policy influencing and advocacy</li> </ul>	<ul style="list-style-type: none"> <li>- Using Complementary Skill set among partners and as per agreed strategy, make interventions for city wide impacts of our downstream works with urban and local governments</li> <li>- Identification of new challenging areas for city wide approaches recognising right to WASH in collaboration with urban local bodies</li> <li>- Financing for the programme in new identified areas and as per urban strategy documents</li> <li>- Joint M&amp;E mechanisms in place</li> </ul>	<ul style="list-style-type: none"> <li>- Using Complementary Skill set among partners and as per agreed strategy , make interventions for city wide impacts of our downstream works with urban and local governments</li> <li>- Identification of new challenging areas for city wide approaches recognising right to WASH in collaboration with urban local bodies</li> <li>- Financing for the programme in new identified areas and as per urban strategy documents</li> <li>- Joint M&amp;E mechanisms in place</li> </ul>	Same as in previous year	Same as in previous year	Same as in previous year
WAI North Office	<ul style="list-style-type: none"> <li>Currently has urban programme in 3 cities (Lucknow, Kanpur and Patna)</li> <li>No engagement in towns</li> </ul>	<ul style="list-style-type: none"> <li>-Review the programme in 3 cities from potential of achieving city wide results and impacts</li> <li>-Get in touch with ULBs of at least 3 towns having significant poor and excluded in existing programme districts to understand the urban WASH issues</li> </ul>	<ul style="list-style-type: none"> <li>-Continued engagement on priority themes with existing cities and programmes</li> <li>-Exit strategy from cities where city wide results and impacts are not visible/ not achievable.</li> <li>-Development of collaboration with ULBs and other academic institutions, civil society on WASH issues in identified towns</li> <li>-Studies on status of WASH</li> <li>-Scoping and concept development for city wide programme on urban WASH</li> <li>-New Partner identification for identified towns on urban WASH engagement</li> </ul>	<ul style="list-style-type: none"> <li>-Continued engagement on priority themes with existing cities and programmes.</li> <li>-Beginning of collaboration with ULBs in town with new partner and identified programme</li> <li>- Financing the plan with possible donor support</li> <li>-Start engagement with small towns as per identified strategic change objectives and emerging focus areas within Urban WASH programme</li> </ul>	Continued engagement on priority themes with existing cities and towns as mentioned in Table 4 above	Continued engagement on priority themes with existing cities and towns as mentioned in Table 4 above	Continued engagement on priority themes with existing cities and towns to achieve milestones as mentioned in Table 4 above

Region	Current Activities	Proposed activities					
		2014-15	2015-16	2016-17	2017-18	2018-19	2019-20
WAI West Office	Currently has urban programme in 2 cities (Bhopal and Indore) Supported ULBs in two towns (Burhanpur and Raisen) significantly	-Review the programme in 2 cities for achieving city wide impacts -Discuss with ULBs of at least 3 towns in region with significant poor and excluded population to understand the urban WASH issues	-As above	-As above	-As above	-As above	-As above
WAI East Office	Currently has running programme for school WASH in Puri city  No engagement in towns	-Review the programme in Puri for achieving city wide impacts -Discuss with ULBs of at least 2 other town/cities in region with significant poor and excluded population to understand the urban WASH issues	-As above	-As above	-As above	-As above	-As above
WAI South Office	Currently working in city of Hyderabad and 16 ULBs of towns in Tirupur region in TN	-Review the programme in Hyderabad and 16 towns for achieving /town wide impacts -Discuss with ULBs of 6 other towns where worked earlier (CSPs etc.) in region to understand the urban WASH issues	-As above	-As above	-As above	-As above	-As above

Note: Year wise detailed action plan on urban WASH programme should be drawn on the basis of key milestones for achieving the change objectives as narrated in table 4 above using the approaches defined in table 5 of this document by national office and each of the regional offices of WaterAid India.

## 14. M&E Framework

The M&E framework aims to improve efficiency of management, accountability and internal learning and thus improve programme effectiveness. The urban strategy implementation framework outlined in section 10 will be aligned to WAI's Multiyear Plan and Budget (MPB) process and the PME framework. The strategic implementation plan and activities will be embedded in the respective programme plans as detailed project plans. The project and programme plans will have annual milestone and performance indicators. Through six monthly and annual review mechanisms, progress against the milestones and indicators will be monitored and course correction and modifications to plans, timelines and activities will be implemented. Where the review indicates need for any permanent changes and implication on the urban strategy, the document will be updated after the annual review. The urban strategy and the urban programme will be part of the country's

midterm review and evaluation plans. Operationalisation of M&E framework will include partner monitoring, monthly activity, and quarterly narrative reports from all projects, six-monthly reports and annual reports from donors. All of these are mechanisms to reflect and review progress and cull out key learnings, which will inform on future programming. In addition there will be Donor Reports, Thematic Research & Impact Studies and the User Number Validation Survey. The main purposes, methods, timing, responsibility and expected outputs of each of these will be detailed in WAI's M&E framework. WAI's M&E framework is developing a fit-for-purpose programme MIS to collect qualitative and quantitative information on Quantity, Quality, Sustainability and Equity (QQSE). The M&E framework, systems and processes will be rolled out systematically and staff and partners will be trained to use it effectively.

## 15. Management Structure – Implementing mechanisms

The Country Senior Management provides strategic leadership, direction, and ensures systems and structures are in place to ensure delivery of urban strategy. The Technical Manager - Urban and DRR, supported by a core group drawn from across teams, will be tracking the plans and progress on the urban strategy. The programme planning, implementation and management will follow the existing programme

management systems and structures in WAI. The regional programme leads and managers in policy team will be responsible for operationalising the urban strategy commitment within the programme and project plans, and respective programme coordinators will be responsible for the management of urban projects. The Programme Support Unit (PSU) team will monitor the progress



## 16. Key Questions, Risks and Assumptions

Some of the key questions that emerged during discussions within WaterAid India and its urban WASH partners while charting out the above strategy and strategic change objectives for urban WASH issues were as under

- How do we engage and connect with larger urban WASH reform processes? e.g. service level benchmarking
- What is advocacy agenda on urban aspects at state level and national level?
- What is our positioning with private players? What is the governments stand on privatisation? Free Water? Public policy on urban WASH etc.
- How do we look at the role of state in providing access to WASH to urban poor?

Some of the key risks and assumptions are noted as below, as we move forward to implement the urban WASH strategy in our urban WASH programmes.

1. We have seen some significant policy shift discussions in urban WASH in recent political discourse ( e.g. Free water supplies in Delhi by AAP, sanitation ranking and model towns as in manifestos of BJP etc.).Any major public policy change on urban WASH , due to change in political leadership at national or state level will continue to pose risk or provide favour to our charted course of action in implementation of this strategy.
2. Weak monitoring mechanisms coupled with poor capacity development of staff and partners may pose a threat to successful implementation of this strategy



WaterAid/Jon Spaul



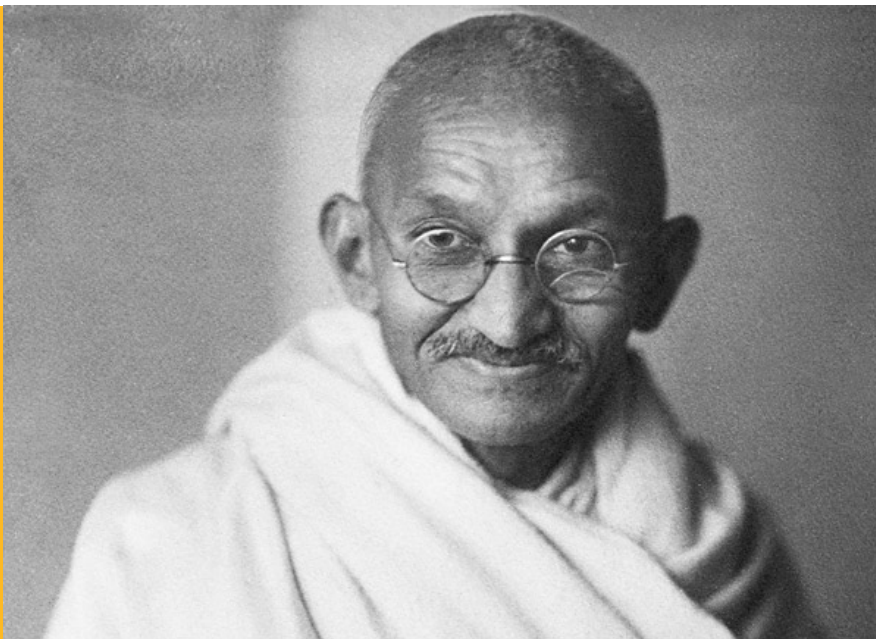
WaterAid/Jon Spaul

## 17. Conclusion

In conclusion, WaterAid and its partners in India, based on their long experience of working on urban WASH issues in many cities and towns of India, have charted out this strategy through a structured and extensive consultation process and distilling their experiences of implementation of programmes for realisation of mission of WaterAid in India. However, the ultimate test of any strategy document is that how useful it has been to give a direction to our thoughts and action on ground to maximise the impact

of our work on ensuring dignified life to EVERYONE EVERYWHERE. This urban WASH strategy document charts out the strategic change objectives and the possible road map to achieve the same in WAI country programme by 2020. It also determines the programmatic boundaries and priorities for us to remain collaborative, focused and result oriented as we move forward in our mission to help urban poor to have access to sustainable WASH services using right based approaches. as part of organisation's M&E framework.





*“Everyone must be his own scavenger. To me, the test of a people’s knowledge of sanitation is the condition of their latrines. Conservation of national sanitation is Swaraj work and it may not be postponed for a single day on any consideration whatsoever. Our struggle does not end so long as there is a single human being considered untouchable on account of his birth.”*

*M K Gandhi*

WaterAid transforms lives by improving access to safe water, hygiene and sanitation in the world’s poorest communities. We work with local partners and influence decision-makers to maximise our impact.

**WaterAid in India Country Office:**

403-408, CNI Bhavan 16, Pandit Pant Marg, New Delhi 110001; Tel: +91-11-46084400;

Email: [waindia@wateraid.org](mailto:waindia@wateraid.org)

[www.wateraid.org/india](https://www.wateraid.org/india) | [f WaterAidIndia](https://www.facebook.com/WaterAidIndia) | [t WaterAidIndia](https://www.tumblr.com/WaterAidIndia)

 **WaterAid**