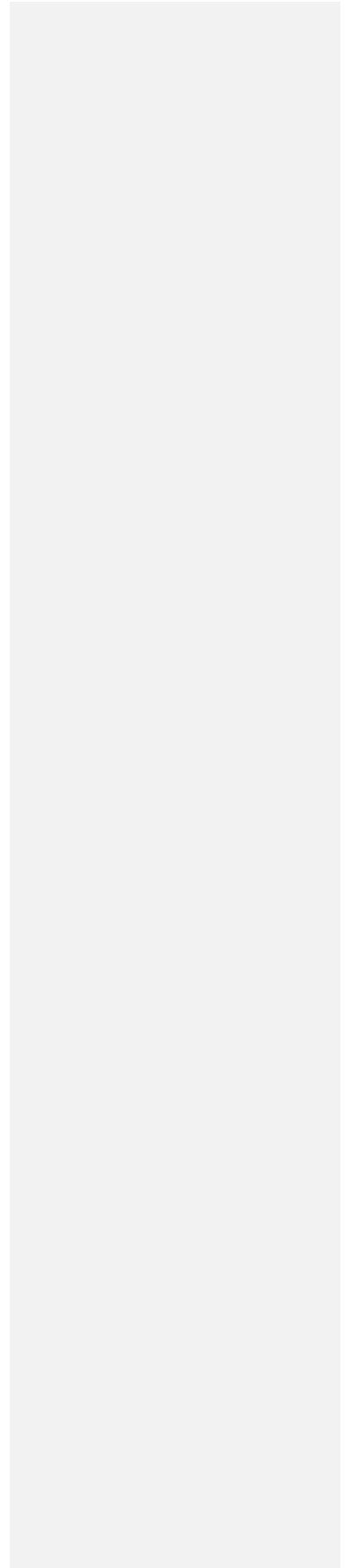


# INDIA

## Country Strategy 2011-16



## EXECUTIVE SUMMARY

### INTRODUCTION AND BACKGROUND

After 26 years in India, Water Aid India (WAI) is recognised as a key player in the WASH sector at both national and state-levels, with four regional offices and a national office, and programmes to address local populations of the excluded and marginalized through its local partners. In March 2010, WAI registered Jal Seva Charitable Foundation (JSCF), as an Indian not-for-profit company, a significant decision for the future evolution of WaterAid involvement in India.

### LOOKING BACK

The Strategic Objectives of the WAI Country Strategy (2006-2010) addressed key blockages that were more institutional, social and political than technical. It also made four major changes: (1) from local to national priorities; (2) better developed and governed to more diverse and more challenging regions; (3) programme to research-based advocacy; and (4) from projects to strategic engagements with key stakeholders. Although impacts were perceptible, not all initiatives reached fruition.

### A SITUATIONAL ANALYSIS

India is one of the fastest growing economies of the world, yet has poor social development indicators and a large population of poor. Its large water resources are threatened by future shortages. Complete Water and Sanitation coverage remains elusive and 'slippage' in coverage statistics is a major problem. An extractive and inequitable water use regime, historical neglect of sanitation and hygiene, low usage of constructed toilets, the lack of water rights, and neglected small town WASH add to emerging challenges of climate change, terrorism and migration. The sheer numbers are daunting. Systematic exclusion based on caste, ethnicity, religion, gender, age, economic status, disease and ability, prevents access to WASH services for those who need it the most: the Scheduled Castes, Scheduled Tribes, the poor, and the differently-abled. Manual scavenging continues. Duty bearers accept existing social exclusion and the low accountability of service providers and thus propagate status quo.

Key blockages exist in sector policies (not addressing WASH needs of all categories of excluded and marginalized and neglecting hygiene promotion, urban water supply, integrated water resource management, tenurial rights for the urban poor and small town WASH), sector coordination (fragmentation of policies, legislation, strategies and programmes across government ministries and departments), sector financing (less spent by States than available from GOI due to poor governance, and inadequate allocations for hygiene promotion, inclusive designs, community processes and capacity building), institutional arrangements and capacities (lack of adequate capacities at local levels, institutional space for Civil Society Organizations and communities in WASH decision-making and performance reviews, long-term planning), and in performance monitoring and accountability (insufficient qualitative and disaggregated information)

Key stakeholders are local communities and community-based organizations, civil society organizations, external support agencies, academic institutions, media, private sector and government. All these need to be influenced to tackle sector blockages more effectively.

- **Strengths:** A unique position as the only national-level WASH NGO in India, with more than 25 years of grass-roots experience with different aspects of WASH, its people-centric approach, strong partners and its focus on excluded and marginalised communities.
- **Opportunities:** GOI is keen to improve sector performance, backed by strong political will, while state governments are interested in better performance. Creating JSCF as an Indian entity is an opportunity for domestic fund-raising and a more locally-responsive catalytic approach.

- **Threats:** Widening inequities, poor progress on social development indicators, the lack of attitudinal change in the sector, capacity gaps and corruption, extractive and inequitable water extraction and use, and climate-change induced weather uncertainty.
- **Weaknesses:** Poor documentation, a lack of consolidation of field initiatives, weak technical capability among staff, poor strategizing and positioning, disconnect between regional and national teams, poor access to sector information, and heavy routine workloads.

## COUNTRY PROGRAMME

**Programme:** The main approach is to influence stakeholders to ensure access to and control over sustainable WASH services for all, especially the excluded and marginalized. Specifically WAI will (1) work in partnership with all key stakeholders; (2) focus on the excluded and marginalized; (3) demonstrate integrated, equitable and sustainable WASH service delivery for future up-scaling; (4) identify and work to improve service delivery, and (5) work towards rights to WASH. Given India's federal structure, strategies are needed for engagement both at national and state levels. Accordingly, at national level, WAI/JSCF will keep abreast of latest sector developments, identify gaps in existing policies and influence national policies and guidelines to address critical gaps which prevent the excluded and marginalised people's access to WASH, using evidence from the field. At State and local level WAI/JSCF strategies will be to (1) create permanent demonstrations of integrated urban and rural WASH interventions to showcase community empowerment and sustained service delivery; (2) lobby state and national governments for subsequent scaling up; (3) support efforts to make water and sanitation a legal right; and (4) address the challenge of manual scavenging. However, WAI/JSCF will concentrate on specific districts and cities and small town in each state for its main activities, using the findings from these demonstration sites to influence policies and programmes in that state, other states and at the national level.

### Country Strategic Objectives

1. Empower the excluded and marginalized in India to access safe and sustainable WASH services as their right
- 2.1. Support government and other service providers in developing capacities to improve WASH service delivery as a right for the excluded and marginalized in the country
- 2.2. Assist institutions of the legislature and judiciary to improve the policy and legal environment for citizens to realize WASH services as their right
- 3.1. Influence relevant government institutions and programmes as well as external support agencies to mainstream safe and effective WASH services for excluded and marginalized in projects and programmes in the country
- 3.2. Influence key civil society networks and movements to reflect aspirations of the poor for rights to WASH
4. Live WAI/JSCF values and further develop as an organisation that demonstrates leadership, and champions the WASH Rights of the excluded and marginalised.

## HUMAN RESOURCES

Although a 50-strong organisation, key challenges are staff attrition, high work burden and making a smooth transition to improved Human Resources systems. Sensitive and appropriate strategies, systems and structures are needed to attract, retain and maximize the potential of staff. New positions in the Programming and the Policy & Partnerships units and a new Marketing and Communication Unit are also needed.

## FINANCIAL RESOURCES

Estimates to operationalize the Country Strategy range from the 'Essential' estimate (£ 4 million (INR 280 million) in Year 1 and £ 7 million (INR 490 million) in Year 5), to the 'Ambitious' estimate (£ 4.3 million (INR 301 million) in Year 1 and £ 7.2 million (INR 504 million) in Year 5).

#### **RISK MANAGEMENT**

Internal risks are largely organizational (transition to JSCF, staff capacity, partner selection, documentation and information management, funding) while external risks concern stakeholders (government changes and privatization) and the environment (weather-related disasters, distress migration, terrorism, population growth and rising inequalities). Mitigation measures are also given.

#### **PLANNING, MONITORING & EVALUATION**

The purposes, methods, timing, responsibility and expected outputs of the key learning mechanisms are detailed. A new system to collect qualitative and quantitative information on Quantity, Quality, Sustainability and Equity will be developed and internalized within WAI/JSCF and its partners.

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## ACRONYMS AND ABBREVIATIONS

ADB	Asian Development Bank
AKF	Aga Khan Foundation
APRLP	Andhra Pradesh Rural Livelihoods Project
ARWSP	Accelerated Rural Water Supply Programme
BPL	Below Poverty Line
BSUP	Basic Services for the Urban Poor
CA	Citizens Action
CB	Capacity Building
CBO	Community Based Organizations
CEO	Chief Executive Officer
CIG	Common Interest Group
CMT	Country Management Team
CPHEEO	Central Public Health and Environmental Engineering Organization
CRSP	Central Rural Sanitation Programme
CS	Country Strategy
CSO	Country Strategic Objective
CSP	City Sanitation Plan
CSR	Corporate Social Responsibility
CSTF	City Sanitation Task Force
DDWS	Department of Drinking Water Supply
DFA	Director Finance and Administration
DFID	Department for International Development (Government of UK)
DPO	Director Programme Operations
ESA	External Support Agency
EU	European Union
FANSA	Fresh Water Action Network of South Asia
FAO	Food and Agriculture Organization
FO	Finance Officer
GDP	Gross Domestic Product
GIS	Geographical Information System
GOI	Government of India
GP	Gram Panchayat
GTZ	(Deutsche) Gesellschaft fuer Technische Zusammenarbeit
HR	Human Resources
HRD	Human Resource Development
ICDS	Integrated Child Development Services
IDRC	International Development Research Centre (Canada)
IEC	Information, Education and Communication
INGO	International Non Governmental Organization
INR	Indian Rupee
IWRM	Integrated Water Resource Management
JBIC	Japan Bank for International Cooperation
JICA	Japan International Cooperation Agency
JnNURM	Jawaharlal Nehru National Urban Renewal Mission
JSCF	Jal Seva Charitable Foundation
KAWAD	Karnataka Watershed Development (Project)
KUIDFC	Karnataka Urban Infrastructural Development Corporation
lpcd	Litres per capita per day
M&E	Monitoring and Evaluation
MDG	Millennium Development Goal
MHM	Menstrual Health Management
MHUPA	Ministry of Housing and Urban Poverty Alleviation
MLA	Member of the Legislative Assembly
MNREGS	Mahatma (Gandhi) National Rural Employment Guarantee Scheme

MOEF	Ministry of Environment and Forests
MORD	Ministry of Rural Development
MOSPI	Ministry of Statistics and Programme Implementation
MOUD	Ministry of Urban Development
MOWR	Ministry of Water Resources
MP	Member of Parliament
MPB	Multi-Year Plan and Budget
MTR	Mid Term Review
NACO	National Aids Control Organization
NAGUS	National Advisory Group on Urban Sanitation
NDWM	National Drinking Water Mission
NGO	Non-Governmental Organizations
NRDWP	National Rural Drinking Water Programme
NREGA	National Rural Employment Guarantee Act
NRHM	National Rural Health Mission
NRW	Non Revenue Water
NUHM	National Urban Health Mission
NUSP	National Urban Sanitation Policy
O&M	Operation and Maintenance
ODF	Open Defecation Free
OE	Organizational Effectiveness
PFDF	Pooled Finance Development Fund
PHED	Public Health Engineering Department
PLWHA	People Living With HIV/AIDS
PM&E	Planning, Monitoring and Evaluation
PO	Programme Officer
PRI	<i>Panchayati Raj</i> Institution
PwD	People with Disability
QOSE	Quality, Quantity, Sustainability and Equity
RBA	Rights Based Approach
RGNDWM	Rajiv Gandhi National Drinking Water Mission
RM	Regional Manager
RTE	Right to Education
RTI	Right to Information
SAARC	South Asian Association for Regional Cooperation
SACOSAN	South Asia Conference on Sanitation
SC	Schedule Caste
SCF	Save the Children Fund
SHG	Self Help Group
SMT	Senior Management Team
SSA	<i>Sarva Shiksha Abhiyan</i>
ST	Scheduled Tribe
STP	Sewage Treatment Plant
SWM	Solid Waste Management
SWSM	State Water and Sanitation Mission
TAG	Technical Advisory Group
TNUDF	Tamil Nadu Urban Infrastructure Fund
TSC	Total Sanitation Campaign
UFW	Unaccounted For Water
UIDSSMT	Urban Infrastructural Development Scheme for Small and Medium Towns
UK	United Kingdom
ULB	Urban Local Body
UN	United Nations
UNDP	United Nations Development Program
UNH	UN Habitat
UPA	United Progressive Alliance
USA	United States of America

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USAID	United States Agency for International Development
UT	Union Territory
VWSC	Village Water and Sanitation Committee
WAI	Water Aid India
WASH	Water, Sanitation and Hygiene
WASMO	Water Supply Management Organization
WatSan	Water and Sanitation
WB	World Bank
WES-Net India	Water and Environmental Sanitation Network of India
WHiRL	Water Households and Rural Livelihoods
WHO	World Health Organization
WSP	Water Security Plan
WSP-SA	Water and Sanitation Program – South Asia
WSSO	Water Supply Support Organization
WWD	World Water Day

# 1. INTRODUCTION AND BACKGROUND

## 1.1 WATERAID INDIA

Water Aid India (WAI), is an international organisation operating in India and will complete 25 years of its operations in India in 2010. A key national player, it has contributed significantly in the 10 out of 28 states of direct implementation, to improve the access of the poor and marginalised to WASH services. The programme has consolidated and built on its earlier work in the three southern states of Tamilnadu, Andhra Pradesh and Karnataka, to innovate in the six central and northern states of Madhya Pradesh, Chhattisgarh, Uttar Pradesh, Bihar, Jharkhand and Orissa. WAI also has a programme in Delhi to build local capacities to demand and access WASH services from service providers and to influence policy development in their favour. WAI operates through four regional offices based in Bhubaneswar, Lucknow, Bhopal and Bangalore, civil society organisations (CSOs) and key knowledge partners and research institutes. WAI has developed new initiatives to address local populations of the excluded and marginalized (e.g., PLWHA, PwD, manual scavengers, people vulnerable to disasters), and new pilots on issues such as Integrated Water Resource Management (IWRM), Citizen Action (CA) using a Rights-based Approach (RBA), and problems of water contamination by arsenic and fluoride. It now has a programme located in some of the most challenging and poorly-served areas of the country and with the poorest communities, including indigenous tribal groups and backward castes in villages. It also has a substantial urban programme with government, civil society and ESA's, to give visibility and voice to the un-served in small towns. WAI is now recognised as a key sector player at the national and state level and is poised to widen its scope of engagement with the community, the sector players and other development actors. In March 2010 Jal Seva Charitable Foundation (JSCF) was registered as a not-for-profit Company to facilitate this engagement as a national organisation and to influence the pace and impact of improving the access of the poor and marginalised to WASH.

## 1.2 PURPOSE OF THE COUNTRY STRATEGY

Transition, transformation and the four aims of the Water Aid Global Strategy are the guiding principles of the Country Strategy (CS). The setting up of the JSCF as a national organisation based on the learning, recognition and position of WAI requires some strategic shifts. The National government policies, guidelines for urban and rural WASH including the 11th Five Year Plan of the Government of India aim to achieve total sanitation and water coverage by 2012, while MDG targets are to be achieved by 2015. The review processes of the 11<sup>th</sup> Five Year Plan and MDGs offer an opportunity to develop a strategy for transition, transformation and providing the excluded and marginalized groups access to WASH services as a right.

The Water Aid Global Strategy suitably guides the WAI/JSCF CS to assist the GOI and state governments in achieving their objectives. However, the complexity of the country calls for context-sensitive technology and management. Aim 1 directs the CS to demonstrate how to build capacities of neglected groups to demand affordable, adequate and accessible WASH services and to ensure their access and control over such services. Aim 2 is directed towards ensuring that such models are mainstreamed within the WASH sector at state and national levels through changes in policies, programmes and systems. Aim 3 is directed towards using action research, policy advocacy and a rights approach to influence the departments and CSOs of the development sector like health, education and environment and forests. However, all this requires WAI to transition into JSCF as an

organisation with the necessary skill sets, capacities, structure and systems, and governance which are activities to achieve Aim 4.

The CS period is well aligned to the Global Strategy period in that the current CS period ends in 2010 and the new one following the new Global Strategy runs from 2011 – 16.

## 2. LOOKING BACK

### 2.1 THE PREVIOUS COUNTRY STRATEGY (2006-2010)

The WAI CS of 2006-10 was based on strong state-led initiatives and investment for delivery of water and sanitation but high costs of service delivery and a relatively poor record of operations and maintenance, which had led to a large percentage of dysfunctional assets (WAI, 2005, p. iv). While the official coverage for rural drinking water was 96% in 2001, issues of sustainability, adequacy and water quality plagued a vast majority of them, causing 'slippage' of coverage statistics to 67% in 2009. Availability and equity were major issues in urban water supply: certain parts of Delhi had more than 500 lpcd, while most others were starved. The average of 200 lpcd in Delhi was in sharp contrast to Madhya Pradesh, where 93% of towns had an average supply of 70 lpcd against the laid-down norm of 135 lpcd (WAI, 2005, p. 3). A World Bank 2005 report warned of an impending water crisis in India. Sanitation with coverage statistics of: 16% for rural India and 55% for urban India in 2004 (Unicef-WHO, 2004), was neither fully understood nor adequately addressed as a national priority. Morbidity and mortality due to waterborne diseases was high and unchanged over the past decades, causing India's Human Development Index rank of 127 in 2004 (UNDP, 2004). And depleting groundwater adversely affected drinking water supply and sanitation, exacerbating the impact of natural chemicals such as iron, arsenic and fluoride.

The CS identified four major barriers in effective and sustainable provision of safe drinking water and sanitation: (1) political indifference to sanitation and opportunism for drinking water, ineffective political decentralization, special problems in urban areas and barriers to participation; (2) social barriers in equity, inclusion and behavioural change, especially in sanitation and hygiene, which were regarded as high-cost and avoidable investments; (3) ecological concerns stemming from groundwater depletion and recurring floods and competition for water across different uses (e.g., agriculture, industry), inadequate and inequitable access for the urban poor; (4) top-down and hierarchical governance structures, with little institutional room for NGOs and CBOs (WAI, 2005, viii).

The WAI CS (2006-2010) thus outlined three strategic objectives (WAI, 2005, p. xiii):

- Improved access to sustainable, safe and adequate water supply and sanitation through projects
- Knowledge base developed for promotion and dissemination of best practices and advocacy at different levels for policy improvement towards sustainable health and hygiene benefits and
- Development and fostering of an enabling environment for effective programme implementation, in-country funding, organizational learning and growth.

### 2.2 KEY SHIFTS

As a programme WAI planned to increase its scale of operations strategically so as to focus on filling critical gaps in the sector and thus made four major changes to the existing strategy:

1. Geographical priority shifted from regional to national, with four new regional offices

2. The focus of operations moved from the comparatively developed and better governed states to the diverse and most challenging regions
3. Activities changed from programme to research-based advocacy at local, regional, national and international levels
4. Engagements expanded from project based partnerships with civil society for programme implementation to include strategic engagement with key stakeholders

The impact of the above shifts was perceptible over the period of the last CS. WAI became recognized as a major sector player at national, regional and state levels, contributing to major national-level policy reviews and formulation exercises, including the Rural Drinking Water Guidelines, Total Sanitation Campaign, National Urban Sanitation Policy, Mid-term Review of the 11th Five Year Plan and the Results Framework for Water and of Sanitation of the GOI. WAI also played a key role in organizing civil society representation at SACOSAN 2008.

The four regional offices of WAI in Bangalore, Bhopal, Bhubaneswar and Lucknow and the national office in Delhi initiated programmes with good visibility in some of the challenging regions of the country and developed good working relationships with CSOs and relevant state government departments. WAI's people-centric approach in improving the access of the excluded and marginalized to WASH services is now well recognised and it was invited to draft the State and Sanitation Policy of Bihar (accepted by the Cabinet and to be announced after the elections).

The state-level rural programmes of WAI are based largely on its earlier work in the southern states, including community-managed toilets, child-friendly toilets, strengthening community-based supply chains. But they also developed new initiatives to address local populations of the excluded and marginalized and new issues including arsenic mitigation in Baliya in Uttar Pradesh and fluoride mitigation in Dhar in Madhya Pradesh and Nuapada in Orissa). WAI recommendations on fluoride mitigation are being scaled up by state government authorities. In Madhya Pradesh WAI work on urban WASH issues successfully demonstrated open defecation free (ODF) slums in four cities and Poverty Pocket Situation Assessment, which had helped forge collaborations with local CSOs, municipal corporations, state governments, INGOs and multilateral donors such as the ADB. Yet, the policy-programme interaction was not complete. After the mid-term review (MTR) and reviews of programmes and partners, the programme cycle from 2008-2010 shifted emphasis from engaging with 50 partners across 10 states using a 'one-size fits all' approach (leaving experienced and strategic partners underutilized and unchallenged), to working with a wider range of partners, with a differentiated and mutually enriching approach. WAI also reinforced its commitment to the excluded and marginalized through projects, research and documentation and engagement with INGOs and networks, including a perspective building exercise within the organisation, with partners and networks on RBA.

Some initiatives, however, did not reach fruition. In order to relieve WAI staff from fiduciary and project monitoring and give them more space for reflection and lesson learning, WAI conducted an intensive Organizational Effectiveness (OE) exercise. However, its aims were not fully realized, and may have even contributed to losing focus on the strategic aims of the CS and reducing the organization's effectiveness on the whole.

### **2.3 LESSONS FOR THE NEW COUNTRY STRATEGY**

The key lessons from the previous period are:

- Community-based management is vital to sustainable service delivery but robust and effective institutional arrangements and convergence among sectors related to drinking water, with clear

division of roles and responsibilities between CBOs, PRIs and Line Departments, are vital to successful service delivery

- A scientific and systematic approach is essential for a comprehensive understanding of issues of drinking water security and water quality, which is a pre-requisite for addressing these issues.
- Drinking water security cannot be achieved without considering and addressing the larger context of water resource management – and threats such as climate change.
- Special engagement (especially technological innovations) and influencing efforts (with different sector players) are needed to address the WASH needs of the excluded and marginalized (including women, children, senior citizens, PwD, PLWHA and manual scavengers) as they are often left behind in the general and uniform approach to provide WASH coverage
- Effective knowledge management leading to evidence-based advocacy is critical to organizational growth and effectiveness in the field.
- Influencing requires continuous engagement with sector players – and not just event-based interaction

## 3. A SITUATIONAL ANALYSIS

### 3.1 THE NATIONAL CONTEXT

#### 3.1.1 Country profile

India's size and diversity puts it in a category of its own. The same land mass as Europe, a population of over a billion, the world's largest democracy, with widely varying peoples, cultures, languages and ecological zones. It is also a country of contrasts: one of the fastest growing economies of the world, and one of the few that successfully weathered the recent economic recession – and yet, accounting for the largest number of poor people in the world; a modern economy contributing some of the best talent to the global marketplace, but still driven by caste and other forms of discrimination; a rapidly urbanizing economy but still dependent on the large rural hinterland for economic buoyancy. Over the past few decades, however, the primarily agrarian economy has been undergoing structural change, with agriculture contributing a declining share of GDP and the service sector contributing almost half the country's GDP (Ghosh, 2010).

Close to 40 percent of its 1.15 billion population is poor (Planning Commission 2010), being mostly small and marginal farmers, belonging to socially backward communities, and poverty data suggests that they are getting concentrated in traditionally poor areas such as the states of Orissa, Madhya Pradesh and Bihar. Also, the rate of decline of poverty has been slower in the post-liberalization period (after 1991) than in the pre-liberalization period (Ghosh, 2010). The regional concentration of poverty and deprivation is reinforced in the new measurements carried out using the multi-dimensional poverty index (MPI).<sup>1</sup> By including deprivation of access to water and sanitation as two of the ten indicators in the index, the MPI not only increases the incidence of poverty (to 55% of the Indian population), but also shows regional concentration of poverty in India: the eight states of Bihar, Chhattisgarh, Jharkhand, Madhya Pradesh, Orissa, Rajasthan, Uttar Pradesh and West Bengal (6 of which are among the 10 WAI programme states currently), are home to 421 million poor

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<sup>1</sup> The Multidimensional poverty index (MPI), through the use of ten indicators, reflects deprivations in very rudimentary services and core human functioning, and goes beyond income poverty. Sanitation and drinking water, as per the MDG norms are two of these indicators and feature under the standard of living. See Alkire and Santos

people, more than the numbers in the 26 poorest African countries combined (410 million). Also, among these eight states, the highest incidence of MPI-based poverty is in Bihar (81% of population), followed by Jharkhand (77%). Given the sizes of Indian states, it is useful to remember that Bihar has more poor people (95 million) than the *combined* total in nine of the ten poorest African countries.

Further, among the MPI-based poor in India, there is a concentration among Scheduled Tribes (81% poor) and the Scheduled Castes (66%).

Apart from poverty, India also fares badly on other social indicators, especially health, which has a strong link to access to WASH services (see Box 1). Also, in 2007, India's life expectancy at birth of 63.4 years is lower than Turkmenistan and Laos, while its adult literacy rate of 66% is lower than Egypt and Congo, and its combined gross enrolment ratio of 61% is lower than Madagascar and Trinidad & Tobago (UNDP, 2009). Food insecurity continues to haunt close to 50 percent of India's rural areas and 44 percent of India's children are malnourished (MSSRF, 2009).

#### **Box 1: WASH and Health**

Every day, an estimated 1000 children die from diarrhoea; epidemics of diarrhoea are frequently reported from across the country, especially during the monsoon, as a result of poor sanitation. Among the mosquito borne diseases, while lymphatic filariasis has largely been contained, malaria is now an endemic disease, and epidemics of dengue are now reported from urban settlements, while epidemics of chikungunya and Japanese encephalitis are now more frequently reported from rural areas; to date, Delhi has reported more than 2000 cases of Dengue Hemorrhagic Fever in 2010. Chemical contamination of water has led to communities in nearly 1/3rd of the nation's 600 districts drinking water high in Fluoride levels, and increased Arsenic levels in drinking water affects an estimated 100 million people; 66 million Indians are estimated to be affected by skeletal Fluorosis. Leucorrhoea is a common gynaecological disorder, arising out of poor menstrual and genital hygiene.

A significant cause of child mortality in India, currently at 79 per 1000 children, is a result of limited access to safe WASH. Children may survive, but may continue to suffer from chronic diarrhoea, resulting into poor absorption of nutrients; 43% of Indian children aged less than 5 years are malnourished, and 48% are stunted. 7 / 10 children are anaemic in India.

While the incidence of diseases such as diarrhoea, mosquito borne diseases and diseases due to chemical contamination of water, can be attributed to limited access to safe WASH, it is not possible to attribute high child mortality and poor nutritional status solely to poor WASH services. That there are linkages between WASH and Nutrition is now being recognized, but more needs to be done to document the extent and the significance of the linkages.

The discipline of Public Health recognizes these linkages, the Health Sector as a whole does not; the Department of Public Health Engineering, who are responsible for improving access to safe WASH, are preoccupied with issues of infrastructure, while disease reduction is because of a combination of access to services and behaviour change. Behaviour change with regard to use of toilets, for example, or improved hand washing practices, is an issue which the Health Sector needs to promote as part of its program. There has been some recognition of this need by the National Rural Health Mission, and Accredited Social Health Activists (ASHA) at the village-level are being trained to promote behaviour change. The recent National Campaign on the Right to Food has also included the issue of access to safe WASH and this Right is now being debated by the Government of India.

National elections were held in 2009, giving the UPA government<sup>2</sup> a second term in office, the Eleventh Five Year Plan focusing on Inclusive Growth is in operation (2007-2012), while the Twelfth Finance Commission has given in its recommendations. The Right to Information (RTI) Act was

<sup>2</sup> The United Progressive Alliance (UPA) is a coalition government with a 'common minimum programme' that strongly emphasizes the needs of the poor.

passed in 2005, giving citizens the right to obtain information on various aspects of government performance. The GOI currently spends around Rs. 1,000 billion ( 14.28 billion GBP) annually on rural development programmes (GOI, 2010), while it has a slew of public welfare schemes including the Mahatma Gandhi National Rural Employment Programme (MNREGS) that guarantees 100 days of employment the minimum wage rate to all rural persons who demand work. In fact, successive Finance Ministers of the recent governments have often stated that government has adequate finances to fund its development. In 2005, India made an international commitment, along with most other countries, to work towards achieving the Millennium Development Goals (MDGs).

Concessional finance from all multilateral and bilateral ESAs, including the WB, ADB, EU, GTZ, JICA, JBIC and DFID, together contribute less than 10% of the Union Budget allocation for WASH, but Government recognises the strategic importance of this external funding and acknowledges it. Also the GOI terminated activities of several bi-lateral aid agencies in 2004, leaving only five agencies including DFID (UK), GTZ (Germany), JICA/JBIC (Japan), IDRC (Canada) SIDA (Swedes) and USAID (USA), apart from the multi-lateral agencies of the UN (e.g., Unicef, UNDP, UNIDO, WHO, FAO), the international agencies (WB, ADB, EU) and the international NGOs (e.g., Plan International, Water Aid, Oxfam, AKF, SCF) working in the development sector. ESA funding, never the less, remains critical for introducing innovative ideas into development plans, policies and programmes.

CSOs have played a significant role in supporting the poor and marginalised and ensuring that their concerns are reflected in government policies and programmes. However the reduction in bilateral aid post-2005, the economic recession and threats to internal security have resulted in a decline in funding to NGOs. Although Indian civil society continues to be vibrant and effective, especially at field level, using the democratic system to articulate their concerns, official space for engagement with the government continues to be largely dependent on the personalities and preferences of government officials.

### 3.1.2 Water Resources

India's estimated total utilizable water is put at 1.12 billion cubic kilometres (MOWR, 1999), but most scientific assessments concur that total water requirement will outstrip supply in the future. One estimate for 2050 puts the total water requirement of the country at 1.45 billion cubic kilometres per year, for an estimated population of around 1.64 billion, which will thus lead to a decline in gross per capita availability from the 2001 level of 1,820 cubic metres per year to merely 1,140 cubic metres per year (Gupta and Deshpande, 2004). Such findings can also be found in recent reviews of the water situation (WB-GOI, 1998; IWP, 2000; NWC, 1999), and the most recent observation that current data are 'a stark and unequivocal portrayal of a country about to enter an era of severe water scarcity' (WB, 2005, p. 31). And country projections mask the huge geographical and social disparities in water availability (James and Deverill, 2005).

Government responsibility for water is shared by four major Ministries, the Ministry of Water Resources (MOWR) that looks after irrigation and river waters, the Ministry of Environment and Forests (MOEF), responsible for forest development and management and water pollution, the Ministry of Rural Development (MORD) that oversees watershed development as well as rural drinking water supply and sanitation, and the Ministry of Urban Development (MOUD), that looks at urban water supply and sanitation. There is a similar division of responsibility at state-level, with Irrigation or Water Resources Departments responsible for major, medium and minor irrigation schemes and ground water development, Departments of Rural Development responsible for implementing watershed development programmes, Departments of Rural Water Supply or Public Health Engineering implementing rural water supply and sanitation programmes and Departments of Urban Development handling urban water supply and sanitation issues.

Although these Ministries and Departments formulate policies and programmes that affect water supply and sanitation, there is little coordination, unfortunately, at either policy or programme level. In most cases, it is left to ESA-funded interventions to improve functioning and demonstrate possible convergence in government functioning, as for instance in the World Bank-funded Water Resource Re-structuring Projects implemented in several states to improve water resource management and the EC-funded State Partnership Programme in Rajasthan, seeking to implement a new state water policy based on IWRM.

Inter-state river water sharing agreements also affect water resource management in the country as a whole and govern state investment patterns as demonstrated, for instance, in Maharashtra (Planning Commission, 2006).<sup>3</sup> Since the quantity and quality of water resources critically affect water supply, sanitation and hygiene, these factors assume significance in efforts to improve the delivery of WASH services (Unicef, 2005; James and Deverill, 2005).

### 3.1.3 The Water, Sanitation and Hygiene Sector

Rural water and sanitation are handled by the Department of Drinking Water Supply (DDWS) of the MORD,<sup>4</sup> while urban water and sanitation are the responsibility of the MOUD though the Ministry of Housing and Urban Poverty Alleviation (MHUPA) also has funds and programmes for urban water and sanitation. But as water is a state subject, state governments decide allocations and investments for water supply and sanitation. Never the less, via the 73<sup>rd</sup> and 74<sup>th</sup> Constitutional Amendments, responsibility for providing drinking water and sanitation has been decentralized to local governments--Panchayats in rural areas and Urban Local Bodies (ULBs) in urban areas, both answerable to state governments.

As in the case of the water sector as a whole, the drinking water and sanitation sector in India has entered into a critical phase. Despite spending a staggering 1,000 billion (14.28 billion GBP) since 1951 –equivalent to the total money spent on *all* development programmes in 2009-2010 – complete coverage remains elusive. International commitments under the MDG goals are just five years away, in 2015, while the government has set itself internal deadlines of 2012 for universal access to water and sanitation. In both cases, meeting commitments appears a rather daunting task. It is not that governments are not making efforts to achieve these goals. The challenges lie elsewhere.

Both rural and urban areas face similar problems: sustainability of sources, sustaining gains achieved over the years and making services accessible to the poor and marginalised. Added to these are the emerging challenges of a development paradigm that is water extractive and inequitable in nature and global warming induced climate change. Water is a contentious and intensely sought after resource but mechanisms for equitable and justiciable access are not yet in place: Indian citizens do not yet have a right to water and sanitation.

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<sup>3</sup> The pattern of irrigation investment in the state showed a systematic neglect to the Vidharba region, in an effort to increase irrigation capacity in western Maharashtra, so as to reap the maximum benefit from the Bachawat Committee Inter-State Water Sharing decision on the waters of the river Krishna.

<sup>4</sup> While rural water supply was initially the responsibility of the Public Works Department and the Public Health Engineering Departments, GOI introduced the Accelerated Rural Water Supply Programme (ARWSP) in 1972–73 to support States and UTs with financial and technical assistance to implement drinking water supply schemes in such villages, and thus accelerate the pace of coverage of ‘problem villages’. The programme was given a Mission approach when the Technology Mission on Drinking Water Management, called the National Drinking Water Mission (NDWM), was introduced as one of the five Missions in the social sector in 1986. NDWM was renamed as Rajiv Gandhi National Drinking Water Mission (RGNDWM) in 1991 and the Department of Drinking Water Supply (DDWS) was created in 1999.

Sanitation continues to be a low priority issue both for governments and for citizens. To achieve the MDGs in rural sanitation alone, India has to construct an enormous number of toilets while ensuring their use is a separate challenge. In urban areas, technically feasible and affordable sanitation remains a concern for large number of slum dwellers in cities with sewerage systems while the majority of small towns do not even have sewerage systems. Hygiene is a neglected issue as reflected in policy and budgetary allocation even when compared to sanitation even though hand washing and food hygiene has a critical role to play in disease prevention. Menstrual hygiene management continues to remain largely neglected and it is only recently that the Ministry of Health and Family Welfare initiated a programme to provide low cost sanitary napkins to families below the poverty line in 150 districts. But, overall, the sheer numbers for WASH service provision is daunting.

While a 'lack of political will' is the oft-repeated phrase used to explain the ills of the WASH sector for decades, this continues to be true, unfortunately. Despite the current government pledging its 'political will' to address WASH needs of the poor, as part of the inclusive agenda of the current government, an analysis of sanitation coverage in the home constituencies of key Cabinet Ministers shows a deplorable lack of progress. While local resource conflicts, the lack of empowerment of local government and the inadequate transfer of funds and functionaries for effective decentralization are all factors that explain poor performance, a key factor appears to be the lack of political support for effective decentralised governance.<sup>5</sup>

Decentralization assumes considerable significance considering that water and sanitation is a state subject and the role of the central government is largely restricted to policy formulation and revision and organizing funding through centrally-sponsored schemes (such as the Accelerated Rural Water Supply Programme and the Accelerated Urban Water Supply Programme). Programme planning, implementation and monitoring, however, are firmly the domain of the state and district governments. State governments, however, have been reluctant to decentralize effectively, i.e., to devolve financial, administrative and legal powers to sub-state governments at district, sub-district (taluka, block or mandal) and village levels. So far only the state of Kerala has successfully devolved all powers to district level.

### **Rural drinking water supply**

Drinking water is the least sizeable use of water compared to irrigation or industry and yet access continues to be a challenge, particularly to the excluded and marginalized, pointing to the larger problem of inappropriate and inequitable management. A critical problem is 'slippage', with habitation-level rural water supply coverage dropping from 94% in 2001 to 67% in 2009.<sup>6</sup> The Approach Paper to the Eleventh Five-Year Plan has treated coverage as a 'dynamic concept' and has attributed slippage to sources going dry or lowering of the groundwater table; sources becoming quality affected, sources outliving their lives, systems working below rated capacity due to poor operation and maintenance; increase in population resulting in lower per capita availability; emergence of new habitations and slippage due to seasonal shortage of water (low rainfall, etc).<sup>7</sup>

The Eleventh Five Year Plan has made fixing slippage as its core strategic objective and set monitorable targets that include complete coverage, tackling of arsenic, fluoride, salinity and nitrate water

<sup>5</sup> A recent meeting of state-level Panchayati Raj Ministers meeting held in Delhi in September 2010 discussed alternate governance systems, which appears to reflect an acceptance that the current governance system cannot be made more effective.

<sup>6</sup> Coverage is based on norms laid down by the DDWS, which include 40 litres per capita per day of safe drinking water (based on criteria), within 150 metres of every house in a habitation.

<sup>7</sup> More recently, the WASH Cost Project being implemented by the IRC International Water and Sanitation Centre (Netherlands) in India, Mozambique, Ghana and Burkina Faso organized a roundtable organized in 2009 in Hyderabad on slippage to identify its causes and make recommendations to address it (WASH Cost, 2009).

quality problems, source protection and coverage of uncovered Scheduled Castes (SC) habitations in 71,406 villages which have SC population of 40 percent or above and uncovered Scheduled Tribal (ST) habitations in 116,850 villages which have ST population of 40 percent or above.

The government, however, has initiated a number of steps to address these issues. Against a background of a serious loss of momentum in the RGNDWM, fragmentation of the core structure, and a palpable sense of drift in the whole organization which has taken place as new challenges face the nation in the water and sanitation sector—all of which reduced the Mission's function largely to fund allocation and disbursement—the DDWS commissioned a Technical Advisory Group (TAG) to make recommendations for the future directions of the RGNDWM and the TAG reported in January 2008. There has been substantial momentum since then: In April 2009, the DDWS announced a new National Rural Drinking Water Programme (NRDWP) replacing the ARWSP and emphasizing sustainability of service delivery, in April 2010, an Implementation Framework was announced, in June 2010 a Results Framework was created for the period 2010–2022 and in July 2010, an inter-ministerial National Drinking Water Supply and Sanitation Council was established, with WAI being a member.

In mid-April 2010, CP Joshi, the Union Minister for Rural Development declared: "India has achieved the Millennium Development Goal for drinking water by providing 84 per cent of its rural population with access to improved sources of water." But he also put in a rider: "Sustaining water security in rural areas is the biggest challenge. Our groundwater is depleting, being used much more for agriculture and industries and we need to diversify our sources for drinking water." Ensuring the supply of drinking water to rural India, thus, faces new and different challenges.

#### **Rural sanitation**

Rural sanitation was largely neglected in government policy and programmes till the mid 1980s, and it was only with the thrust of the International Water and Sanitation Decade (1981 – 1991), that India's first nation-wide programme for rural sanitation, the Central Rural Sanitation Programme (CRSP), was launched in 1986 by the MORD. However, being largely supply and subsidy driven the CRSP, which was aimed at improving the quality of life of rural people and to provide dignity to women proved largely unsuccessful. It was subsequently restructured in 1999, moving from a project mode of implementation into a people's campaign towards achieving total sanitation.

This reform-oriented Total Sanitation Programme (TSC) was launched in April 1999, advocating a shift from a high to a low subsidy regime, greater household involvement, demand responsiveness, and a wider range of toilet options to promote increased affordability. The TSC also emphasized Information, Education and Communication (IEC), Human Resource Development (HRD) and Capacity Building (CB) activities to increase awareness among the rural people and generate demand for sanitary facilities.

Despite more than 10 years of the TSC, however, there has been slow progress towards achieving the MDGs. In the face of less-than-optimistic projections about India's ability to meet the MDGs for rural sanitation (e.g., MOSPI, 2007),<sup>8</sup> the DDWS put together a Working Group on Rural Sanitation in June 2010 to develop a Strategic Plan for the Rural Sanitation Sector for the period 2010-2022.

The task is hugely challenging. Till 31 March 2010, India had constructed 6.61 million rural toilets and achieved around 54% of the MDG coverage target, but in order to cover the remaining 46% by 2012, it has to construct a toilet a second for the next two years (53 toilets a minute). Unfortunately, of the

<sup>8</sup> [http://www.unicef.org/india/media\\_6116.htm](http://www.unicef.org/india/media_6116.htm), accessed on 3 September 2010. The MOSP report estimates: "Given the 1990 level for households without any sanitation facility at 76 percent, India is required to reduce the proportion of households having no access to improved sanitation to 38 percent by 2015. It is expected that at this rate of decline, India may achieve to reduce the proportion of households without sanitation to about 46% by 2015 missing the target by about eight percentage points."

30 states and UTs currently implementing the TSC and reporting progress, 13 states are recording progress rate below the national average, according to the DDWS website. These laggard states also account for a large chunk of the population to be covered with toilets. Any change in the definition of the BPL population or identification of new households not having sanitation facilities will increase the burden and change the financial and coverage requirement accordingly.

Apart from the sheer numbers to be provided with toilets, the major stumbling blocks facing rural sanitation are the low priority accorded to sanitation by politicians, bureaucrats and even the target community and the vast challenge of changing and sustaining sanitation behaviour – to demand toilets (for the right reasons) and to use and maintain constructed toilets properly.

### Urban drinking water supply

India is growing rapidly in its cities. As per the 2001 census, around 285 million people (28% of the population of around 1 billion) live in 5,161 urban agglomerations. The 35 metropolitan cities account for about 110 million or 37% of the urban population. Assuming that the urban population continues to grow at around 3% per year, around 790 million people (or nearly 55% of the total population) will be urban residents by 2025. But while the worsening water crisis of Indian cities is more easily visible as mass media quickly reports problems with drinking water, problems of smaller towns, especially new towns created from expanding villages, often go unnoticed by the media.

Although the official piped water coverage figures at 93% (233 million people) are certainly impressive, there are large variations between states, between the classes of cities and between different sections of society. Water supply in most cities is not available to all residents, at required pressure and for adequate number of hours every day (section 2.1). Irrespective of the quantity of water available for distribution, limited pumping and treatment capacity makes irregular and inequitable supply a usual feature in most cities. Better off residents cope with this erratic supply by substitutes like backyard bore wells, booster pumps, storage tanks etc, while the poor are often forced to pay more in terms of money (to private water vendors who charge higher rates than the municipalities) and time (waiting in water queues or travelling to fetch water from distant sources).<sup>9</sup>

The root causes of the inequitable and inadequate distribution are a rapidly increasing urban population (compounded by migration from rural areas), depletion of nearby water sources, water pollution, inefficient use of water, inefficient management of water supply systems and multiple institutional arrangements. Poor operation and maintenance leading to system losses, metering inaccuracies, unbilled consumption, illegal tapping and unauthorised consumption are reflected in high levels of 'unaccounted for water' (UFW) or non-revenue water (NRW) losses. Although no firm estimates exist, these distribution losses are estimated to be around 50% in almost all cities. As a result, actual water supply in municipalities is much lower than the norms recommended by the CPHEEO (Mathur, et al., 2007).

Urban water supply is usually from a combination of surface sources, such as rivers, lakes and reservoirs and groundwater. The rapidly worsening imbalance between the demand for and supply of water has led to costly attempts to increase supply – rather than the more politically inconvenient option of reducing demand through higher pricing and better metering of water supply. These attempts include increasing the off-take from existing surface sources (for example, Bangalore city doubled its supply from the Kaveri river) and bringing water from distant sources through expensive canal-based schemes (e.g., Chennai city from Krishna river in Andhra Pradesh and Delhi from Tehri dam in Uttarakhand). Oddly enough, if public utilities were to charge users the full cost of supply (including wastewater treatment), this may work out cheaper than these alternative options, but

<sup>9</sup> It is widely-accepted today that the urban poor pay more for water. See, for instance, the studies (WSP, 1999, 2009, WB, 2006) on how much more the poor pay for water, and the findings of the AusAid supported water supply improvement project with the Bangalore Water Supply and Sewerage Board (Connors, 2007).

would be politically difficult to push through. Investment in capital-intensive technology is thus politically more convenient. And yet, coverage is not uniform and the excluded and marginalized are affected disproportionately.

### Urban sanitation

The shortage in municipal water supply both affects and is affected by poor sanitation. Inadequate water means that sewerage systems designed to work with a certain amount of water flow will not work properly. Untreated sewage due to non-functioning sewage treatment plants (STPs) means that raw sewage contaminates surface and ground water bodies, which may be water supply sources. The high levels of pollution of the Yamuna and the Ganga have been found to be largely due to raw sewage entering the river (Markandya and Murty, 2000). Similarly, a recent study by the Central Pollution Control Board concludes that in most Indian cities, groundwater is contaminated with high level of nitrate and coliform, indicative of poor sewage management (CPCB, 2008). This apart, given the lack of information on household-level groundwater extraction estimates, city planners are unable to plan sewage management effectively.

Urban sanitation has also been long neglected and a National Urban Sanitation Policy (NUSP) was formulated only in 2008. The NUSP aims for totally sanitized, healthy and liveable cities and seeks to ensure and sustain good public health and environmental outcomes for all their citizens with a special focus on hygienic and affordable sanitation facilities for the urban poor and women. Awareness generation and behavioural change, open defecation free cities, integrated city-wide sanitation, sanitary and safe disposal of wastes and proper operation and maintenance of all sanitary installations are all part of the policy. A national advisory group on urban sanitation (NAGUS) has been set up by the implementing agency, MOUD, to assist with its implementation. Each state is to formulate its own State Urban Sanitation Strategy with a state-level apex body monitoring its implementation, while cities are to set up a City Sanitation Task Force (CSTF), with a local NGO as a mandatory member, and formulate and implement City Sanitation Plans (CSP). However, since sanitation is a state subject, the NUSP can only make recommendations and cannot hold cities responsible for non-compliance. A Donor Coordination Committee has also been set up by the MOUD to assist around 125 selected cities to develop CSPs.

Although no funds have been allocated by the MOUD for cities to develop and implement their CSPs, funding is available through other programmes, including the Pooled Finance Development Fund (PFDF) and the Jawaharlal Nehru Urban Renewal Mission (JnNURM). The JnNURM has a sub mission named Basic Services to the Urban Poor (BSUP), managed by the Ministry of Housing and Urban Poverty Alleviation (MHUPA), which focuses on the integrated development of slums including water supply, sewerage, drainage community toilets and solid waste management. The sharing of the programme by two Ministries leads to procedural delays, problems in implementation and issues of transparency as information on programme progress is not widely available in the public domain.

Recent experience with the JnNURM has shown, however, that only a small proportion of the funds are allocated for water supply and sanitation and of these, more funds are allocated for water supply. Even the small proportion of funds available for sanitation is usually ear-marked for sewerage systems and STPs. Decentralized options for the urban poor, who live in slums and other poverty pockets, are entirely missing. This suggests that the excluded and marginalized in the country's urban centres continue to have poor access to basic sanitation services. A major factor contributing to this is the issue of land tenure, given that a majority of the urban poor live in tenements not notified by the urban local bodies. The fear of eviction is a constant source of insecurity, while the lack of 'notified' status means that the government is not responsible for providing basic civic amenities of clean drinking water, solid waste collection, hygienic sanitation systems and adequate health facilities. This poses a significant impact on the burden faced by women in collecting water and maintaining household hygiene. Often, civic services in these areas

are controlled by local patrons and people living here are subject to their 'rule'. Some cities (e.g., Nasik, Jaipur) have initiated measures to re-locate urban slum-dwellers either to multi-storied tenement housing on the same site (although occupying less ground space) or in a separate township outside the main city (e.g., Nasik), where they provide all basic civic amenities albeit on the 'conventional' mode of sewerage systems and piped water supply.

The problems of urban sanitation, particularly for the excluded and marginalized, thus continue unabated and require creative solutions supported by adequate political will to change.

### **Hygiene**

Hygiene continues to be neglected and the key message has not registered with government bodies that clean water supply and functional toilets can still not produce reduction in mortality and morbidity from water-borne diseases. The Eleventh Five Year Plan objectives state that sanitation programmes should have specific components to address the special needs of women, adolescent girls, disabled and the aged persons. The TSC also includes hand washing as part of its change agenda for rural India, and yet, one major issue that the TSC fails to address is menstrual hygiene.

Further, the Ministry of Rural Development and the Ministry of Women and Child Development have recently launched a new programme to provide low cost sanitary napkins to poor (or BPL) women in 150 districts and plans to extend the programme further based on performance on the ground.

## **3.2 RIGHTS, EQUITY AND INCLUSION**

### **3.2.1 Social exclusion and poverty**

Social exclusion is the systematic exclusion of specific communities and groups from social, economic and political opportunities. In the Indian context, there continues to be systematic exclusion to all types of development services based on caste, ethnicity, religion, gender, age, economic status, geographical location, disease and ability.

Historically some communities have an unjust share of resources because they enjoy greater influence and power. Within a mixed community, infrastructure is closer to those with power. The baggage of history and patriarchy amongst the powerful community wants marginalized communities 'to remain where they are' and themselves to have a bigger share of the pie. The powerful play of caste, ethnicity, patriarchy and feudalism has created deep-rooted structural differences that deny certain citizens equal opportunities and the choice to exercise their rights. Poverty and low levels of social development in India is thus not only due to lower incomes but also due to a systematic exclusion from access to basic development services and opportunities that are available to others. It is not surprising, therefore, that most of India's poor are also from socially excluded groups. The current development paradigm is skewing this power relationship even further. Special provisions have been made for these communities, but implementation has largely remained inadequate and ineffective.

### **3.2.2 Social exclusion and WASH**

This discrimination extends to water and sanitation. Access to water is often used as a source of social control, to maintain and reinforce power and social structures. Age-old social hierarchies such as caste compound the problems faced by the poor in accessing WASH services. And since they are vital for human survival and for living with dignity, the lack of WASH services helps keep people poor, unhealthy and unable to improve their livelihoods. Inequity and lack of access leads to more

poverty, even chronic poverty. Water scarcity and lack of sanitation infrastructure exacerbate social inequity and unbalanced power equations. The crisis deepens in times of disasters.

The blight of manual scavenging (the practice of manually picking up of excreta from dry toilets) continues to plague the country with 300,000 plus manual scavengers yet to be liberated and rehabilitated. In addition to the affront on their dignity, their health suffers due to a singular lack of hygiene. The severe problem of urban sanitation workers has also needs urgent remedy as physically removing sewer blockages through manholes, without protective equipment, puts them at great personal risk of asphyxiation from poisonous gases.

Thus, even sixty years after political independence and despite social activism, documentation and dissemination of information through mass media, conferences and seminars, inclusive access to WASH services continues to elude the people who need this the most: the SCs, STs, the poor, the differently-abled, minorities and people living with HIV AIDS. While rural water and sanitation programmes do recognize the importance of access for women and the need for them to participate in decision making and management, the guidelines remain largely as they are: mere guidelines. It is also difficult to track performance on constitutional provisions and special legislations. An informed and empowered community on one hand and a well-defined and strictly-enforced accountability mechanisms and legal provisions on the other can ensure adequate access for the excluded and marginalized sections of Indian society to WASH services. WAI will therefore engage with the excluded and marginalized, including the SCs, STs, minorities, rural and urban poor and people excluded due to sex, chronic diseases, age, ability, people marginalised by occupation like manual scavengers and manhole workers, and those living in difficult and disaster prone areas.

### **3.2.3 Inability of duty bearers to fulfil their obligations**

There are two key reasons why duty bearers have not been able to change the status quo. First, many duty bearers at the field level accept such social discrimination as being an innate part of 'Indian society', and this acceptance reflects in their own reproduction of these patterns of discrimination and the low priority accorded to attempts to improve the situation. A second and related reason is the low accountability at all levels of service providers to rights holders. India does not provide its citizens a legal right to water and sanitation. The various UN Covenants that recognise drinking water and sanitation as human rights to which India is a signatory become almost redundant in absence of the government acting on the commitment and pressure to deliver. But even if there was a right, there is reason to fear that enforcing the right might prove difficult with the existing institutional set up available to ensure that all duty bearers (including service providers) fulfil their duties. A legal right will thus need to be succeeded by the development of rules, regulations and sanctions, allocations of budgets and human resources. It will also need a community which is empowered to claim its rights.

While the lack of rights to water and sanitation makes direct legal recourse a difficult proposition, institutional weaknesses and the lack of priority among duty bearers to fulfil their obligations of providing adequate WASH services to the excluded and marginalized are formidable challenges. Coupled with the current intensely resource extractive development paradigm, this marginalisation is not going to go away in a hurry and will need some building of pressure to ensure performance.

In a democracy, the greatest power to bring about change lies with the people. While this power is exercised to a large extent by the socially and economically better off in society, the affected constituency in the present case is the excluded and marginalized – including the poor, illiterate, indebted, diseased and differently-abled. This group has not been effective so far in demanding and obtaining for all its constituent members, adequate access to and control over development services that are available to other citizens (such as adequate WASH services). There are a number of well-documented reasons for this, including low awareness, low confidence, a lack of a 'political voice' and a consequent exclusion from decision-making even at grass-roots level. These socio-economic

factors are compounded by the challenging geographical conditions wherein they live - ranging from over-crowding and lack of space in urban slums to forested, hilly, sandy or rocky lands in rural and peri-urban areas - which require special technological and financial provisions to make available adequate, sustainable and affordable WASH services. Currently, however, there is little impetus to make these provisions for the excluded and marginalized in a speedy and effective manner.

There has been change, and there are several movements, coalitions and CSOs that are facilitating the excluded and marginalized groups to demand their rights. Several of these are on decision making bodies and have also brought about positive change. Yet such transformation is slow and thus has large interim social costs. Catalyzing such change agents to be more effective is the key to improving access to and control over WASH services for the excluded and marginalized in India. Over the strategy period, WAI will increase its understanding and contribute to the movement towards a right to water and sanitation through various means, including research and legal support (if needed) to communities and CSOs.

### 3.2.4 KEY BLOCKAGES

Key reasons for the poor access to WASH services, especially for the excluded and marginalized – or ‘blockages’ - are discussed here under the heads of sector policies, sector coordination, sector finances, institutional arrangements and capacities and performance monitoring and accountability.

#### Sector Policies

National policies, programmes and legislation in India are by and large well-drafted (particularly in recent times, e.g., SSA, NREGA, NRHM, RTI, RTE), as these are subject to greater national and international scrutiny and are also expressions of the commitment of ruling governments to development with a view to future electoral success. The major sector blockage in existing national-level policies, however, is that they do not address the WASH needs of all categories of excluded and marginalized: rural water policy addresses the scheduled castes and tribes and the poor, but not the special needs of people with disabilities (PwD), people living with HIV and AIDS (PLWHA), and children. Though WASH in India is prioritised there is uneven focus on hygiene: There is no clear policy or strategy guiding hygiene promotion (especially menstrual hygiene), and behaviour change communication. Water Resource management is not addressed in the context of sustainable and equitable WASH services, and fragmented policies and management of water resources affects the poor disproportionately. Lack of tenurial rights of the urban poor is a major problem affecting investment in WASH infrastructure in urban poverty pockets as this leaves out large section of poor people from planning framework. There is severe lack of clarity in policy and practice on standards and designs which ensure equity of WASH services in the urban context. The policy intent of inclusive cities is not translated to operational plans ensuring adequate space and infra structure for the poor, resulting in evictions and congested resettlements, lacking basic amenities. An impending future problem is the conversion of fast-growing large villages into small towns, lacking governance experience to effectively manage new institutions to provide WASH services to the excluded and marginalized. A key factor affecting the growth of community movements to safeguard the rights of the excluded and marginalized is the lack of (easy) access to these policy documents, and in regional languages.

At state-government level, there are more gaps in required policies, strategies, programmes and legislation, particularly to safeguard the interests of the excluded and marginalized, which are arguably more crucial than national-level since implementation of WASH is largely the responsibility of the states. Hygiene, including menstrual hygiene, is addressed particularly weakly. Most states do not have strategies or plans for integrated and sustainable WASH services - taking into account responses to challenges such as climate change; rather, they develop annual plans and budgets to

achieve physical coverage targets, and submit utilization certificates to the GOI for money spent from centrally-sponsored schemes.

### **Sector Coordination**

No coordination between govt ministries (e.g., MOWR, MORD, MOUD, MHRD, MHFW who are responsible for water resources or WASH services directly or indirectly) There is fragmentation of national-level mandates, policies, legislation, strategies and programmes across several Ministries when dealing with the WASH needs of different categories of the excluded and marginalized. For example, PwD needs are addressed by the People with Disabilities Act of 1995, manual scavenging is prohibited by the Manual Scavenging Act of 1993 and PLWHA is the responsibility of the National Aids Control Organization (NACO), but there is lack of coordination between these various organizations and their plans, policies, strategies, programmes and budgets, to address the WASH needs of all these excluded and marginalized communities in an integrated and sustainable manner. This is more so in the case of state governments and particularly in programme implementation at the district and local levels. The result is a lack of direction, capacity and budget at district and sub-district levels to address the WASH needs of the excluded and marginalized in an integrated and sustainable manner. Non state actors have very limited scope in sector programs or sector governance. SWSMs and DWSMs exist for coordination amongst development partners but the processes and mechanisms are not effective. Annual reviews involving all stakeholders are seldom done.

### **Sector Finance**

In recent years, there are apparently sufficient funds at national-level for the WASH sector but implementation spending by states has not been commensurate. Despite claims of ample finances at national level, there are inadequate funds at state, district and sub-district levels for the construction and maintenance of infrastructure for sustainable WASH – and for the excluded and marginalized. There are however inadequacies in existing policies and programmes that affect implementation, such as the inappropriate subsidies for rural sanitation, lack of role clarity in addressing major infrastructural problems with community-managed rural water supply programmes and construction of toilets for people with disabilities. The allocations on WASH do not include adequate resources for hygiene promotion programs or behaviour development. In addition and as seen earlier, several key issues affecting the excluded and marginalized are not covered by existing plans, policies and programmes. At state-level there are well-documented problems of poor financial governance. There are also few champions for WASH services to the excluded and marginalized, resulting in a low priority accorded to their WASH problems in government programme budgets. The net result of all this is a lack of availability at district and local levels of funds that are badly needed for the maintenance and expansion of WASH services - which tends to affect the excluded and marginalized disproportionately. There are inordinate delays in release of funds to PRIs and users and is not free from corruption. The allocations are not always released and most often not utilised by states. The unit cost for Sanitation is not realistic and allocations for involving NGOs and CSOs are considered disproportionate to actual cost. The policies commit on inclusive designs and technologies but are not supported with commensurate budget allocation. In particular, allocations are not adequate for hygiene promotion, community involvement and empowerment, inclusive designs, community processes and capacity building.

Low priorities in budgets and poor financial governance (including inefficient billing and collection of user charges, and low priorities in budgets), reduce the availability of funds for maintenance and expansion of WASH services, which affects the excluded and marginalized disproportionately. The

budget doesn't involve sufficient investment on community empowerment and hygiene promotion. There are broad criteria of allocations across states. The progressive states with capacities to meet the criteria and the backward states do not meet the requirements and do not get funds. GOI has budget lines and funds for O&M though sufficient technical capabilities and human resources are not available to undertake maintenance work.

### **Institutional Arrangements and Capacities**

The ambitious and far-sighted reform agenda of every successive government—whether the devolution of power or sector reform or reaching the MDGs – has resulted in a plethora of policies, plans, programmes and legislation. But their impacts on the ground have not been commensurate. This performance points to a lack of adequate institutional arrangements and capacities at all levels of government but particularly at local levels, to implement a reform agenda. More specifically, there is a multiplicity of institutions, overlapping roles and responsibilities, **limited capacity and motivation for strong governance (whether by government staff or elected representatives)**, limited and poor-quality training and capacity building programmes. For these and other reasons, local bodies are ill-equipped today to take over governance functions as per the Constitutional Amendments and to implement the envisioned reform agenda: Local governments do not have capacities to plan, implement and manage sustainable and inclusive WASH, and there is little recognition of this problem. There is also a lack of institutional space for CSOs and communities to participate in decision-making on WASH issues at almost all levels of government. Perhaps more worryingly, there are few institutional processes of regular performance reviews, long-term planning and strategizing for the development of the sector, as a result of which issues such as regulation, privatization and reaching the excluded and marginalized, are poorly addressed if at all.

Several unfilled vacancies and severe lack of motivation of existing human resources at local government level. There is a serious capacity gap at the state and district level to implement community led approaches and programs. The regulatory mechanisms where exist are dysfunctional

The existing training programmes for Government officials and service providers are of very Poor quality to impart skills (technical & managerial) and motivation. A Virtual absence of legitimate space for civil society participation in decision-making at local government levels

The 73rd and 74th Constitutional amendments have devolved the water supply responsibility to Local Government Institutions. The local Governments lack the technical skills or the capacity to develop plans and implement them. The devolution of power “funds, functionaries and functions” to local Governments is ineffective or yet to be a reality in many states.

### **Performance Monitoring and Accountability**

Despite the existence of detailed on-line information on habitation-level water supply coverage, water quality problems and toilet construction, performance monitoring is still largely quantitative, i.e., physical and financial. There is, as a consequence, insufficient qualitative and disaggregated information about the availability of adequate WASH services to different categories of the excluded and marginalized. Accountability, similarly, is defined largely in terms of quantitative measures and primarily limited to the submission of Utilization Certificates, a few mandatory reports and following specified procedures and does not include actual WASH service delivery. There is no monitoring, for instance, of behaviour change and health outcomes. It is therefore difficult to assess from existing performance monitoring data and reports whether equity and pro-poor measures in existing policy are being addressed satisfactorily—let alone whether the other categories of the excluded and marginalized have adequate access to sustainable WASH services. Further, despite several promising initiatives such as Citizen's Report Cards, Karmayog and Janaagraha, community and CSO voices have little legitimate space in current performance monitoring and accountability frameworks of state or

national governments. There is no systematic collection of national or state-level data on hygiene, personal hygiene (e.g., hand washing), kitchen (food and water) hygiene and menstrual hygiene. Lack of clear and unambiguous information on sector performance: a lot of information exists, but is contradictory and fragmented, especially for the poor. There is no space for participatory monitoring of government and service providers by CSOs, especially CBOs.

### 3.3 KEY STAKEHOLDERS

Several organizations are working to address these blockages and are therefore key stakeholders in improving access to and control of WASH services. These may be broadly classified into seven: (1) Local communities and their organizations; (2) CSOs and their networks; (3) bilateral and multilateral ESAs; (4) academic and research organizations; (5) the media (6) the private sector and (7) government agencies. There is also another largely-unrecognized set of stakeholders, ordinary but interested individuals, who play a quiet role in addressing Indian WASH sector blockages.

#### Local communities

The core constituency is the community and their organizations. Within the heterogeneous mix of rural and urban communities across the country is the special focus group of the excluded and marginalised. This special group includes women, children, scheduled castes (including *maha dalits* and manual scavengers), scheduled tribes, (including primitive tribal groups), minorities (especially Muslims), the rural and urban poor, people excluded due to sex, age, disease, special needs (e.g., PLWHA) and disabilities (i.e., PwD) and those living in disaster-prone areas.

Under the 73<sup>rd</sup> and 74<sup>th</sup> Constitutional Amendments, communities have statutory bodies that decide and act on their behalf. In rural areas, the Gram Panchayat (GPs) is the lowest tier of local self-government that acts on behalf of the Gram Sabha, while in urban areas, Ward Councils and Committees act on behalf of the Ward Sabha. By the same Amendments, these bodies are responsible for providing WASH services to their constituencies. While these have funding allocations, they do not control decisions on investment in WASH services and often do not have ear-marked funds for the O&M of constructed infrastructure. They are thus, passive dependents of national and state-government policies, programmes and services, their only major obligation being to make contributions in cash, labour and kind for schemes where such contribution is mandatory. They do not receive much training in operation or preventive maintenance of constructed infrastructure, do not usually have funds to repair broken down infrastructure, and are hence dependent on government functionaries for WASH service delivery. In some but not all states, village water and sanitation committees (VWSCs) have been made sub-committees of the GP and hence statutory and empowered to receive and utilize government funds.

Non-statutory bodies include CBOs such as self-help groups (SHGs) and their federations, VWSCs that are not sub-committees of GPs and those formed by special ESA-funded projects (e.g., Common Interest Groups or CIGs). These, however, function best in the context of a specific project or programme and hence concerted efforts are needed to increase the awareness and capacities of these CBOs before they can effectively address WASH sector blockages.

#### Civil Society Organizations

India has a large number of NGOs of different sizes and reputations although they are not well-distributed and are sparse in areas that house excluded and marginalized communities. Effective NGOs have been and continue working on different aspects of sector blockages. These usually work to demonstrate alternative and improved methods of project and programme implementation on

the ground, either as part of a donor-funded project or a government programme, on issues ranging from implementation and monitoring to documentation and fund flow. Many of these NGOs are part of networks that then use field-level findings to lobby government agencies at different levels for changes in policies, programmes and systems. The focus of such lobbying efforts is usually the Executive, although there have been successful attempts to influence the Legislature and Judiciary as well. A case in point is the Right to Information Act as a result of concerted action by CSOs.

Significant national-level networks of CSOs in India are the Water and Environmental Sanitation Network of India (WES-Net India), WASH Forum, the Fresh Water Action Network of South Asia (FANSA) and South Asia Consortium for Interdisciplinary Water Resources Studies (SaciWATERS). There are also state-level WASH networks in many states, including PRAVAH in Gujarat and the Andhra Pradesh Women's Network. There are also several other CSO networks on a range of issues including Education, Health and Climate Change, while NGOs have associations such as Voluntary Association Network of India (VANI).

While these are commendable efforts, they require focused support to make them much more effective in tackling the blockages in the WASH sector.

### **External Support Agencies**

Bilateral and multilateral donors have been a key source of improvements in the WASH sector in India, as in other sectors. Their basic approach has been to experiment at a relatively small-scale and on a project mode and feed lessons from these pilot programmes into the much larger government programmes and bring about changes in policies, programmes and systems. For instance, the planning, implementation and lesson learning from initial projects in the 1990s, from the World Bank-supported Swajal project in Uttarakhand and the DANIDA-supported Tamil Nadu Rural Water Supply Project in Tamil Nadu, paved the way for the national-level Sector Reforms Programme and the subsequent Swajaldhara Programme. More recently, the Dutch-funded Gogha Water Supply Scheme provided the initial stimulus for the successful Water Supply Management Organization (WASMO) in Gujarat, and the World Bank supported Jalswarjya project in Maharashtra, where provided policy ideas for the subsequent GOI initiative to set up Water Supply Support Organizations (WSSOs) across the country.

The WB, UNICEF, WSP-SA and WAI continue to support projects and smaller initiatives on different aspects of rural WASH, while the ADB, WB, WSP-SA and GTZ are key players in improving urban WASH services. There are several interesting initiatives on-going currently, including the focused donor-support organized by the MOUD to formulate CSPs in selected cities and the Dutch-government funded initiative to support micro-finance agencies in India to work on sanitation loans (the FINISH Project implemented by WASTE, Gouda), the WSP-SA-led initiative for MOUD to create a regulatory framework for urban water supply and sanitation and the Unicef initiative to specify and monitor state-specific MDGs. While most of these initiatives have a pro-poor focus, some (e.g., the CSPs) do not. Even when they do, these initiatives do not always cover all categories of the excluded and marginalized (see Section 3.3). There is, therefore, a need to ensure that all these multi-pronged efforts also address the special WASH needs of the excluded and marginalized, and thus address specific sector blockages.

### **Academic and Research Institutions**

There are very few academic and research institutions specializing on WASH issues. Most of them do some work on WASH as part of a more general focus on rural and urban development. These are mainly national government-funded institutions including the National Institute of Rural Development (NIRD) and MANAGE in Hyderabad, the Institute of Economic Growth (IEG), Delhi, the Indira Gandhi Institute of Development Research (IGIDR), Mumbai, the Madras Institute of

Development Studies (MIDS), Chennai, National Environmental Engineering Research Institute (NEERI), Centre for science and Environment (CSE) Centre for the Study of Social Sciences (CSSS), Kolkata, the Centre for Development Studies (CDS), Trivandrum and the Institutes of Development Studies (IDS) in Jaipur and Kolkata. In addition there are research centres in the Indian Institutes of Technology (IITs) and Indian Institutes of Management (IIMs). But, as a result of the lack of specific focus, there are few coordinated efforts by academic researchers, grass-roots practitioners and policy makers to carry out good-quality academic research of grass-roots issues to identify and address sector blockages.

### **The Media**

There has been a lot of media-led activism in recent years in India, but rural development and WASH issues have not been the focus of much of this journalism. The journalist P. Sainath's explosive account of operations and corruption in the rural development sector thus stands out as landmark publication (Sainath, 2000) and he is reported to be working on a new book on dalits.<sup>10</sup> Motivated journalists, however, tend to write on WASH issues only when these are newsworthy, i.e., when there are problems to report or scandals to expose. And yet, as some recent experiences show, media can play a critical role in awareness generation and information dissemination when involved intimately with programme implementation. An important distinction drawn by media organizations working on the Sure Start Programme was between inviting journalists to 'cover' an event and involving them from the beginning so that they develop a deeper understanding and empathy with the issues to be covered. Media coverage in the second approach is deeper and more focused on highlighting issues of concern and lobbying public opinion on identified action points. This is an approach that needs to be followed more often, and especially for improved access to WASH services for the excluded and marginalized, if media is to realize its potential in addressing sector blockages.

### **The Private Sector**

The linkage between the private sector and WASH cannot be ignored. The linkages vary from one end of the spectrum wherein this sector stakes claim over the water sources, depletes it and pollutes it, often at the cost of the poor, and on the other supports access to WASH to those in need. The former needs to be resisted given the inequitable nature of water distribution in this case.

Companies such as Hindustan Lever that sell products related to sanitation (e.g., toilets and soaps) have always had an interest in promoting sanitation and hygiene, although affordability is often an issue with such products. They typically use short advertising films and TV ad slots for urban audiences and local language media for rural audiences. But there are several different ways in which the private sector can promote access to WASH services: (1) by encouraging innovations, technologies to contribute to WASH sector, (2) supporting WASH initiatives as donors or as CSR and (3) by promoting standards and norms in their functioning which do not affect the water bodies, ground water and environment in general; (4) targeting their advertising campaigns appropriately (messages, mediums and methods) to hitherto uncovered sections (e.g., PLWHA or PwD) in order to increase sales; and (5) hiring out their services to governments, ESAs and NGOs for professional behavioural change campaigns.

However, there is a need to increase awareness further within the private sector about the possibilities and potential of investing in the WASH sector before the private sector efforts are effective in addressing sector blockages. There is also a need to inform this sector to extend CSR to a

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<sup>10</sup> [http://en.wikipedia.org/wiki/Palagummi\\_Sainath](http://en.wikipedia.org/wiki/Palagummi_Sainath), accessed on 28 August 2010.

new dimension - that of corporate sustainability responsibility, wherein they become zero water budget users in their own commercial operations.

## Government

Government institutions of the Executive, Legislature and Judiciary at national and state-levels are mandated to improve the access to WASH services of all citizens, and particularly the excluded and marginalized. Government however is not a monolith and there are deep divides between Executive, Judiciary and Legislature, across various Ministries and Departments as well as national, state, district and local levels. These administrative and thematic divisions not only hamper the development and implementation of a coordinated approach to WASH issues, but are worsened by differing levels of awareness of WASH issues across bureaucrats, officials, elected representatives and technocrats. Thus, although there are several on-going initiatives to improve the policies, programmes and systems of all individual departments and Ministries, these tend to be carried out in isolation and without the benefit of synergies that would improve the effectiveness of these initiatives (Table 1).

Table 1: Central Government Ministries and Flagship Programmes affecting WASH

GOI Ministry	Flagship Programme(s)	WASH Component addressed
Rural Development	National Rural Drinking Water Development Programme (NRWDP)	Rural water supply
	Total Sanitation Campaign (TSC)	Rural sanitation & hygiene
Urban Development	Jawaharlal Nehru National Urban Renewal Mission (JnNURM)	Urban water supply and sanitation
Housing and Urban Poverty Alleviation	Basic Services for the Urban Poor (BSUP)	Housing, water supply and sanitation for the urban poor
Human Resource Development	Sarva Shiksha Abhiyan (SSA)	Water Supply, Sanitation and Hygiene in rural schools
Health	National Rural Health Mission (NRHM)	Toilets in rural hospitals and health centres
	National Urban Health Mission (NUHM)	Toilets in urban hospitals and health centres

There are also new national-level Committees and Groups set up by the Government to work on WASH issues, including the Prime Minister's Council on Climate Change, and the MDG Group. However, in order to address WASH sector blockages, the work of these groups and those of several other Ministries will have to be influenced, including Agriculture, Health and Family Welfare, Social Justice and Empowerment, Tribal Affairs, Water Resources and Women and Child Welfare.

State and district-level government bodies to influence include the Departments of Rural Water Supply, Rural Development, Public Health Engineering, Education, Health, Urban Development, Local Administration and Municipal Administration while there are other institutions such as the State Water and Sanitation Missions, the District Water and Sanitation Missions and Committees, Municipal Corporations and city Water and Sewerage Boards. Such influencing will have to make two crucial differences to existing attempts: first, to consciously work with elected representatives at all levels, and second, to work more closely with district and sub-district levels to institutionalize improvements demonstrated at field-level.

## The General Public

The tax-paying and charity-donating public is not usually recognized in analyses of stakeholders in the WASH sector, but they undoubtedly play a role. Apart from making cash contributions when requested, they also express ‘public opinion’, which is an important factor in government decision-making which, ostensibly, works in the ‘public interest’. Over the last two decades in India, there has been a growing middle income and higher middle income group having access to better employment opportunities and exposure to issues affecting the country. The economic growth has contributed to a growing youth population that has increasing purchasing power and has shown a greater involvement in the overall progress of the country. The media, visual and written, in its turn has contributed to this growing consciousness of citizenship by making ordinary citizens aware of the situations of poverty and deprivation that affect our country. Youth are displaying greater involvement in social issues and activities. The increase in purchasing power as well as involvement is a potential area for fundraising as well as direct involvement in issues of water and sanitation. Trying to influence public opinion, or at least keeping them informed of an organization’s activities, should therefore be a crucial part of any development organization’s communication strategies.

### 3.4 SWOT ANALYSIS

The SWOT analysis carried out as part of the preparation for the CS is summarized in Table 2 below and explained in the subsequent text, while the detailed findings are in Appendix 4.

Table 2: Strengths, Weaknesses, Opportunities and Threats (SWOT) to the new WAI Country Strategy

<b>INTERNAL</b>	<p style="text-align: center;"><b>STRENGTHS</b></p> <ul style="list-style-type: none"> <li>● Unique position in the sector, National Level specialist NGO dedicated to WASH</li> <li>● Tested experience in Hygiene Promotion Approaches</li> <li>● Experience of Citizen’s Action enabling people to claim rights</li> <li>● Urban experiences in pro poor planning using PPSA tools, technologies and designs</li> <li>● 25 years of grass-roots experiences in people centric approaches</li> <li>● Presence and recognition in 10 states</li> <li>● Contributions include: viable technical solutions for marginalised; disaster resilient technologies, community management, PPSA, drinking water security, school WASH, integrating MHM in WASH and action research on IWRM.</li> <li>● The network of partners that WAI has developed over</li> <li>● Establishment of Jal Seva as a champion of social justice in the WASH sector</li> </ul>	<p style="text-align: center;"><b>WEAKNESSES</b></p> <ul style="list-style-type: none"> <li>● Lack of convergence</li> <li>● Poor record in documenting some of its grass-roots level work.</li> <li>● Lesson not adequately applied improve the work, nor used adequately to influence policy changes.</li> <li>● Lack of consolidation of field-level initiatives, lack of adequate process and impact documentation, initiatives not followed through to their logical end</li> <li>● Lack of technical capability internally.</li> <li>● Poor strategizing and positioning of the institution in order to get maximum mileage</li> <li>● perceived disconnect between regional and national teams,</li> <li>● Poor access to information on the work of other sector players, within and outside the country.</li> <li>● The risk of interventions supported by WAI not being sustainable, or not demonstrating standards promoted by WAI</li> </ul>

<b>EXTERNAL</b>	<b>OPORTUNITIES</b>	<b>THREATS</b>
	<ul style="list-style-type: none"> <li>• Slew of recent legislation RTI, RTE, MNREGS, the Food Security Bill).</li> <li>• Political will - WASH sector focus on sustainability, equity, decentralisation and sectoral convergence and coordination (e.g., the Implementation Framework and Results Based Framework the NRDWP, revisions of the TSC to include eco-sanitation).</li> <li>• The National Advisory Council (NAC)</li> <li>• JnNURM, NSUP, CSP, NIUA, BSUP, RAY, UIDSSMT</li> <li>• RTE, EFA, MNREGS, NRHM</li> <li>• National Council for Water and Sanitation, Climate change action group</li> <li>• Synergy among the Sector networks and coalitions like FANSA, India WASH Forum</li> </ul>	<ul style="list-style-type: none"> <li>• Widening inequities and poor progress on IMR, malnutrition, and poverty.</li> <li>• Inadequate attitudinal change in the sector preventing reforms to become a reality</li> <li>• Capacity gaps, diversion of funds with ramification on decentralisation.</li> <li>• Sustainability, inequitable water extraction, climate-change induced weather uncertainty -, floods, droughts,</li> <li>• Political instability Social and political unrest in some regions, Increasing threat to internal security, conflicts and disasters</li> <li>• Changing Government priorities, Economic recession may reduce support to.</li> <li>• Privatization of water resources in urban areas, and the poor may be affected</li> </ul>

### Strengths

WAI is the first independent development organisation dedicated to integrated water, sanitation and hygiene in the country. WAI has a unique position in the Indian WASH sector as a national-level specialist support NGO. It has a strong reputation among key national stakeholders, which is evident from increased levels of interest from state and national governments and other sector players such as WSP, UNICEF and UNH not only to have WAI contribute to policy developments and reviews but also to adopt and upscale WAI models.

Another significant strength is nearly 25 years of grass-roots level project implementation and experimentation experience, first in south India, and more recently, in the 6 poorer states. Its work on Integrated WASH programme has demonstrated people-centric approaches targeted at creating viable technical solutions for different sections of marginalised communities (like PLWHA and PwD). The citizen's action – a pilot initiative has demonstrated community action, where people successfully claimed their rights to WASH and held service providers and Governments accountable. The experience has given WAI the confidence to mainstream right based approach, as a means to achieve sustainable and equitable access to WASH.

WAI has developed and tested hygiene promotion approaches and participatory communication tools which have been effective in behaviour change outcomes both among children and adults. These communications resources and tools have been received well by State and district governments for adoption in the government WASH programmes. WAI's successful contributions include disaster resilient technologies, drinking water security in drought prone areas, innovations in school WASH, integrating Menstrual Health Management in WASH and action research on IWRM. The focus of WAI sanitation programmes has been on reaching the entire community and all wastes solid, liquid and human excreta. These contributions have been acknowledged by sector players through adoption in sector guidelines and requests for assistance in policy and programme reviews.

WAI has demonstrated community management and ownership of facilities in the urban poor settlements. Through the participatory tool of Poverty Pocket Assessment, WAI has influenced city Government to include the poor in the planning framework, a model which other sector players are emulating. Our work in supporting municipalities to develop city sanitation plans, has given us significant experience to demonstrate and influence city governments to adopt inclusive designs and technologies and participatory planning.

Further, since the WAI approach has not been to duplicate the role of the government but to ensure that government programmes and funding serve the intended purpose. It has worked at empowering and enabling the marginalized and excluded and their institutions, to demand and access WASH services from government and other service providers and to manage them. The network of partners that WAI has developed over time is another significant strength as WAI has developed replicable behaviour change communication models with partners and communities. Establishment of Jal Seva opens up a whole new arena for us to go forward much more confidently and boldly to bring social justice in the WASH sector and in Country's development.

### **Weaknesses**

A major weakness of WAI is its poor record in documenting some of its grass-roots level work. Particularly the lessons learnt from the work have not been adequately absorbed to improve the work to enhance the effectiveness, nor the documents used adequately to influence policy changes. A lot of the good work done in south India in the 1980s and 1990s, has not become part of institutional memory and a basis for further work. A second major weakness is related, the lack of consolidation of field-level initiatives. This is partly due to the lack of adequate process and impact documentation, but also because of a large number of initiatives begun in different regions but not followed through to their logical end – i.e., to demonstrate new implementation methods for scaling up through policy advocacy. A third weakness is the lack of technical capability among its current staff members. This extends from water resource planning to innovative technical designs for WASH infrastructure, especially for the excluded and marginalized. A fourth weakness is poor strategizing and positioning of the institution in order to get maximum mileage from its unique position as the country's only national level international NGO working exclusively on WASH issues. Another weakness is the perceived disconnect between regional and national teams, where regional teams are seen as working on 'implementation' issues, while the national team works on 'policy' and 'programme' issues, without effective convergence and efficient 'team effort' on a common agenda. A final weakness identified is the poor access to information on the work of other sector players, within and outside the country. There is insufficient time, given programme management responsibilities, for staff to upgrade their domain expertise using internet-based knowledge management backed up by in-depth reading, analysis and discussion among staff members. The risk of interventions supported by WAI not being sustainable, or not demonstrating standards promoted by WAI like technical quality, community participation will affect the credibility of the organisation and position in the sector.

### **Opportunities**

The country is taking bold new steps towards greater accountability and transparency and pro-poor development, as evidenced by a slew of recent legislation (e.g., the Right to Information Act of 2005, the Right to Education Act of 2009 and the National Rural Employment Guarantee Act of 2006), the introduction of new legislation (e.g., the Food Security Bill). Over the past few years, the WASH sector at national and state levels is moving ahead with new initiatives that address and promote sustainability, equity, decentralisation and sectoral convergence and coordination (e.g., the new NRDWP, revisions of the TSC to include eco-sanitation). There appears to be strong political will at the central government level and heightened interest at state government levels to initiate change for greater effectiveness (e.g., the new NRDWP, the Implementation Framework and Results Based Framework 2010-2022) This is therefore an opportune time for WAI to influence sector players to ensure that policies and programmes translated into improved governance, accountability and transparency for the excluded and marginalized. Some specific opportunities are the following:

- The National Advisory Council (NAC) set up as an interface with Civil Society to provide policy and legislative inputs to Government with special focus on social policy and the rights of the

disadvantaged groups and to review the flagship programmes of the Government. Very structured engagement with members of NAC to inform reality and influence reforms

- Various Governments missions and programmes established for inclusive growth like Jawaharlal Nehru National Urban renewal Mission, (JnNURM), National Urban sanitation Policy (NSUP), City Sanitation Plans (CSP), National Institute of Urban Affairs (NIUA), Basic Services for the Urban Poor (BSUP), Rajiv Awas Yojna (RAY), Urban Infrastructure Development Scheme for Small and Medium Towns (UIDSSMT) provide opportunities to influence the policies for the urban poor
- Right to Education (RtE), Education for All (EFA), Mahatma Gandhi National Rural Employment Guarantee Act and Schemes, National Rural Health Mission (NRHM) offers WAI the scope to mainstream and integrate WASH in the pro poor education and health sectors
- The National Council for Water and Sanitation and the Climate Change Action Group are potential government-level platforms to influence WRM initiatives for drinking water security
- Increasing synergy among the Sector networks and coalitions like FANSA, India WASH Forum and WESNet which can be strengthened towards influencing others stakeholders
- The setting up of JSCF as an Indian entity, which should provide opportunities for domestic fund-raising and a more locally-responsive approach to deal with specific issues such as manual scavenging, tribal pockets and socio-economic biases against ecological sanitation.

#### Threats

India has demonstrated spectacular economic performance being one of the fastest growing economies in the world. Over the past three decades the country has consolidated its growth but continues to be daunted by widening inequities and poor progress on other development indicators such as infant mortality, malnutrition, and poverty. The country is yet to significantly bring about attitudinal change in the sector which is essential for the reforms to become a reality. In addition to the capacity gaps, corruption is a huge challenge which has its ramification on decentralisation and reforms in the WASH sector. These achievements, however, have brought new challenges, such as sustaining the quality of WASH service delivery, increasingly water extractive and inequitable water extraction and use, and dealing with climate-change induced weather uncertainty, including floods, droughts, unprecedented monsoons or failures, all of which pose serious threats to the sustainability of WASH services in the country. The poor face the worst consequences because of higher vulnerability to the effects and minimal coping capacity. Being the world's second largest and most populous country hosting the largest share of people without access to water and sanitation, these situations deepens the crisis of WASH. Political instability due to change of governments, Increasing threat to internal security, conflicts and disasters are likely impede the intended progress and dampen the realisation of goals. Social and political unrest in some regions may lead to government hostility towards activism, which could affect rights-based initiatives. Changing government priorities, economic recession and high competition may compel donors to reduce support to WASH issues. Privatization of water resources is a strong possibility in urban and even rural areas, and the poor may be affected adversely.

## 4. COUNTRY PROGRAMME

### 4.1 PROGRAMME POTENTIALS

The country is taking bold new steps towards greater accountability and transparency and pro-poor development, as evidenced by a slew of recent legislation (e.g., the Right to Information Act of 2006, the Right to Education Act of 2009 and the National Rural Employment Guarantee Act of 2006), the introduction of new legislation (e.g., the Food Security Bill). Over the past few years, the WASH sector at national and state levels is moving ahead with new initiatives that address and promote sustainability, equity, decentralisation and sectoral convergence and coordination (e.g., the new NRDWP, revisions of the TSC to include eco-sanitation). There appears to be strong political will at the central government level and heightened interest at state government levels to initiate change for greater effectiveness (e.g., the new NRDWP, the Implementation Framework and Results Based Framework 2010-2022) This is therefore an opportune time for WAI to influence sector players to ensure that policies and programmes are translated into improved governance, accountability and transparency for the excluded and marginalized. Some specific areas of engagement are the following:

- **Sector Policies:** WAI can work with state and national governments (Legislature, Judiciary and Executive), ESAs and CSOs to address the WASH needs of all categories of the excluded and marginalized in an integrated and sustainable manner. Initiatives can include working towards a legal right to water, demonstrating at appropriate scales, all necessary technical, institutional and social measures to ensure adequate attention for the special needs of the excluded and marginalized in all relevant policies, plans, strategies and programmes (and their budgets), addressing critical gaps in strategies, programmes and legislation (including hygiene, urban water supply, WASH small towns, groundwater and IWRM), and ensuring that copies of all relevant documents are freely available in local languages. SACOSAN and SAARC are platforms for influencing inter-country and regional cooperation for joint approaches. The private sector can raise the bar of efficiency and improve sector competitiveness, but government policy and regulation must protect the interests of the excluded and marginalized.
- **Sector Coordination:** As a champion of the WASH rights of the excluded and marginalized, WAI can support all government and non-government initiatives to improve sector coordination. This can include sensitizing and lobbying with responsible politicians, bureaucrats and technocrats, joining government committees working on drafting or amending sector policies, and supporting existing civil society networks (e.g., WES-Net India, WASH Forum, FANSA) and regional platforms (e.g., SAARC and SACOSAN) for knowledge sharing, sponsoring and supporting workshops, conferences and seminars and publishing regular articles in the popular media, websites and academic journals, all with a view of raising the profile of the problem. The most effective, however, would be to actually demonstrate such sector coordination in selected districts, cities and small towns to provide working examples that can serve as a platform for future up-scaling by other stakeholders.
- **Sector Finance:** Raising the profile of WASH problems faced by the excluded and marginalized with all major stakeholders, particularly politicians at national and state level, is a key opportunity for WAI. Another is to lobby with national and state-governments, along with CSO partners and networks, to ensure that programmes and their budgets are better coordinated for district and local level implementation (particularly maintenance). Again, a much stronger basis for lobbying and advocacy for more effective utilization of existing programme implementation budgets is to demonstrate, by working with local-level politicians, bureaucrats and other stakeholders, improved availability of funds (through better coordination and innovative financing) to ensure adequate WASH services for the excluded and marginalized.

- **Institutional Arrangements and Capacities:** As a champion of the WASH rights of the excluded and marginalized, WAI can support all efforts by different stakeholders to improve institutional arrangements and capacities. These can include initiating 'change management' processes to improve motivation levels of government and other staff, developing effective training modules on the special problems of the excluded and marginalized for state and national WASH training institutions (including the new Key Resource Centres and PRI training centres) and suggesting new and alternate institutional frameworks (including for WASH regulation and for local-level coordination across state government programmes and national 'flagship' programmes such as NRHM, SSA, JnNURM and MNREGS). Practical demonstration of such improved institutional arrangements and capacity building programmes (e.g., by Influencing donor-funded programmes, local government initiatives and government training programmes), as always, would be a considerable support to all lobbying and advocacy for changes.
- **Performance Monitoring and Accountability:** WAI can influence concerned stakeholders to ensure all levels of government institutionalized performance assessment frameworks that also produce disaggregated and qualitative data and hence clearly measure and track changes in the access of excluded and marginalized communities to WASH services. Initiatives could include state-wise MDG assessments, consolidation and unification of data across government departments, qualitative assessments to track behaviour change and effective use of such performance assessments for decision-making. It can also work with local governments to pilot and institutionalize such improved performance assessment systems involving communities and their representatives and with a clear focus on the excluded and marginalized.
- **Local resource mobilization:** As an Indian entity, WAI/JSCF can undertake a range of activities to raise funds from Indian citizens and people of Indian origin (PIOs) who may be settled abroad. While this will undoubtedly contribute towards financial sustainability, particularly of JSCF, there are other resources that can be used to improve operations on the ground: local, research and development, skills and capabilities. WAI/JSCF will enhance its ties with specialist academic and research institutes in the country, such as the Indian Institutes of Technology (IITs), the Indian Institutes of Management (IIMs), the Indira Gandhi Institute of Development Research (IGIDR) and The Energy Research Institute (TERI), which have shown particular interest in the WASH sector. In addition to inviting faculty to participate in events organized by WAI/JSCF to share their research or where WAI/JSCF shares its experiences, WAI/JSCF can engage strategically with these institutes and draw upon their research and technology into its programming as well as offer research opportunities in operational areas. Finally, WAI/JSCF will also actively seek to promote local innovations in WASH and propagators of appropriate local technologies, including NGOs specializing in developing technologies for the disabled and other special groups of the excluded and marginalized.

This then is the context of the programming for the new Country Strategy.

#### 4.2 PROGRAMME APPROACHES

- The programme of the new CS (2011-2016) will aim to complete existing initiatives, and focus on a minimum of one rural district and one small town in each state to implement an integrated WASH programme with a special focus on the excluded and marginalized. In these selected focus districts and small towns, the main approach to the WAI Programme for the CS (2011-2016) is to influence all stakeholders to ensure access to and control over sustainable WASH services for all citizens, with a special focus on the excluded and marginalized. WAI will focus its limited resources on key leverage points in the system<sup>11</sup> for maximum impact on the goal to make WASH

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<sup>11</sup> Meadows (1999)

poverty history. Within this overarching approach are five more detailed operational approaches.

- **Work in partnership with CSOs, Networks, Government institutions, Academic and Research Institution:** Build on the distinctive strengths and comparative advantage that each partner has in order to effectively deliver programmes that are responsive to local socio-economic and political contexts and to influence policies and practice, recognising the key competencies and values of different partners<sup>12</sup>. Promote and forge new partnerships not excluding private sector that are essential to deliver on the strategic objectives
- **Focus on the excluded and marginalized:** Define inclusive strategies and approaches that recognise the different needs and rights of this constituency, give visibility to their needs and provide them with a platform to voice their demands
- **Demonstrate integrated and sustainable service delivery for future up-scaling:** WAI Programmes will aim to integrate all aspects of WASH and be sustainable from a social, behavioural, institutional, technical, financial and environmental perspective. This will not only ensure that interventions bring lasting improvements but also create permanent demonstration sites for exposure visits for state-wide replication and scaling up by governments, CSOs and ESAs.
- **Identify and work with leverage points to improve service delivery:** Ensure accountable, demand-responsive, transparent policies, programmes and systems by governments and service providers for sustainable and equitable WASH service delivery, by using the appropriate leverage points at all levels of the governance system, including the Executive, Judiciary and Legislature.
- **Work towards rights to WASH:** Work with CSO organizations, WAI partners and other stakeholders towards creating legal and justiciable rights to WASH for all, and ensure its enforcement for the excluded and marginalised people.

### 4.3 PROGRAMMING STRATEGIES

#### Overview

WAI will develop and operationalise engagement strategies to influence central and state governments and civil society networks in order to empower every category of excluded and marginalized communities to realize safe and sustainable WASH services as a right. This has two programming implications, (1) every region<sup>13</sup> will work towards developing an integrated WASH package for every category of the excluded and marginalized and in the states they work in; and (2) every member of WAI staff will have a sufficiently clear understanding of the technical, social and institutional elements of each package so as to influence bureaucrats, politicians, CSOs, NGOs (including programme partners), ESAs, academic and research institutions and media and scale up this integrated package, from these focus states, districts and towns to the national level.

#### National-level programming

The WAI programme strategy at the national level will focus on (i) keeping abreast of latest developments in the WASH sector nationally and internationally; and (ii) pointing out, after critical

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<sup>12</sup> Details of the different kinds of partners and the approach to be followed with each are in Appendix 5.

<sup>13</sup> Region: WAI manages the programme in the states through Regional offices, Uttar Pradesh and Bihar in Region North with office in Lucknow, Jharkhand and Orissa in Region East with office in Bhubaneswar, Madhya Pradesh and Chhattisgarh in Region West with office in Bhopal, Andhra Pradesh, Tamil and Karnataka in Region South with Office in Bangalore and Delhi being managed by the Country Office

appraisal, gaps and shortcomings in existing policies and (iii) influencing policy makers at national and state-levels to rectify these using analysis and evidence from field-tested packages. The national-level WAI programme, therefore, will:

- Develop a well planned research, documentation and dissemination agenda and action plan, to answer specific questions on WASH
- Create a knowledge hub to document and share information on in-house projects and lessons from the experiences of other national and international stakeholder
- Take specific positions on a number of critical issues, e.g., subsidies and privatization of WASH services and on supporting or collaborating with related Water Movements

Provide Regional programmes with adequate documentation and necessary building blocks --vision, drivers and space<sup>14</sup> -- to influence state governments to scale up. Scaling up is not easy given the local diverse conditions and the strategy will include means of identifying these challenges and addressing them. There will however be constant interaction and coordination between WAI national and regional programmes to learn from regional experiences, share information from other sector developments and to support regional programmes wherever required.

#### State-level programming

The WAI programme focus at state level, in the states of current operations, will be to develop and implement, in every region of operation, clearly defined programmes to influence governments and civil society networks to work towards empowering every category of excluded and marginalized communities to realize safe and sustainable WASH services as a right. For each category of excluded and marginalized, therefore regional programming will have five components: (1) Critical Appraisal, (2) Planning, (3) Implementation, (4) Documentation and Dissemination; (5) Influencing and (6) Assisting Scaling Up (7) Establishing linkages between local, state and national.

- **Critical appraisal:** A thorough review of approaches and experiences of WAI and other stakeholders in the past, their success and failures and reasons thereof, will be used to develop a thorough understanding of the various dimensions of the issue, technical, social, institutional and financial. Based on this, a comprehensive document on the appropriate strategy for different regions and target communities will be created.
- **Planning:** Comprehensive and detailed implementation plans most appropriate for the particular area of engagement, whether it is an urban slum or tribal area or semi arid area, will be developed, with clear-cut objectives, expected outputs, activities, time lines, milestones, responsibilities and budgets. This will be done jointly with partner organizations, for greater clarity and ownership.
- **Implementation:** Senior regional programme staff will evaluate and analyze implementation success and make necessary mid-course corrections to ensure the plan achieves its objectives, while junior staff will look after routine programme management processes. Two key outputs will be a thorough and comprehensive understanding of the various dimensions of the package being tested and demonstrated and a permanent and practical demonstration of the package and its benefits.
- **Documentation and dissemination:** Based on a clear and detailed documentation and dissemination strategy for sharing lessons, so as to influencing policy and programme outputs from qualitative and quantitative feedback and special studies will be written up for a local, national and international audience. There will be in multiple outputs, for different audiences and strategies to use these for influencing.

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<sup>14</sup> Hartmann and Linn (2007)

- **Influencing:** In order to ensure that, in each region, every excluded and marginalized community realizes safe WASH services as their right, governments, CSOs and their networks, the media, academic and research institutions and the private sector will have to be influenced. All WAI staff will therefore be aware of the key WASH issues for the excluded and marginalized as well as programming possibilities in their states.
- **Assisting Scaling Up:** Regional programmes will allocate time and resources to preparatory work to ensure that field-level programme successes are translated into effective government programmes. Scaling up is not easy given the local diverse conditions and the strategy will include means of identifying these challenges and addressing them. WAI staff will therefore be familiar with the key issues involved in state-level scaling up (e.g., policy direction, allocation of funds, specification of institutional roles and responsibilities, supply chain management, fund-flow, monitoring and reporting), so as to ensure adequate access to WASH services for the excluded and marginalized.
- **Establishing linkages between local, state and national:** A unique advantage that WAI has is the geographical spread and the presence at national level. Experiences, ground realities and best practise will be shared to influence at the state and national level. Also, national and international developments, approaches and practises will be shared at the state level to influence practise. Thus a two way learning process will be established to enhance access.

Even if at the end of the new Country Strategy not every member of every type of excluded and marginalized constituency is empowered to realize safe WASH as their right, WAI should become known within the sector and country-wide as the champion of the WASH rights of the excluded and marginalized – with the staff, the designs, the domain knowledge and expertise, the practical experience, the demonstration sites, the research, documentation and engagement- to support and justify this reputation. The excluded and marginalized, whom WAI will be working with include SCs, STs, minorities, rural and urban poor, PwD, PLWHA, communities excluded due to age, sex, water pollution, people excluded by occupation like manual scavengers and manhole workers and those living in difficult and disaster-prone areas.

### **Influencing strategies**

Influencing will form a key approach to achieve the Country Strategic Objectives (CSOs) and hence WAI will develop influencing strategies based on the following:

- Lessons generated from regional programmes on integrated urban and rural WASH
- National and international best practice and lessons learnt in urban and rural WASH
- Key weaknesses and gaps in existing policies, programmes and systems from the point of view of the excluded and marginalized and
- A detailed analysis of what revisions are required and how these may be achieved (Das, 2001)

These strategies will be differentiated and specific to each stakeholder group, such as CSOs, academic and research institutions, the media, the private sector, national government organizations and state government bodies, with finer distinctions as required (e.g., for core departments and flagship programmes).

Apart from influencing stakeholders to improve policies, programmes and systems for WASH service delivery, there are two key focus areas of the influencing strategy: (1) the current discourse on the right to water and sanitation, as WAI supports all movements towards ensuring these rights and particularly for the excluded and marginalized; and (2) the elimination of manual scavenging and the rehabilitation of manual scavengers. The relative emphasis between national and state-level programming will depend on issues: cross-cutting issues such as the right to water and sanitation

and manual scavenging will require national-level intervention, while policy and programme issues affecting field-level implementation will have to be dealt with at state-government level.

#### 4.4 PROGRAMME COMPONENTS

Each Regional Programme will effectively demonstrate the need for integrated WASH interventions. The entry point in an area may be water, sanitation or hygiene, depending on the need, but the implementation package will subsequently cover all other aspects of WASH so that communities are empowered to attain a basic minimum understanding of WASH issues and practice. As mentioned earlier, all programmes will aim to create permanent demonstration sites to showcase community empowerment and integrated and sustained service delivery for subsequent state-wide scaling up.

##### Integrated Rural WASH

The integrated rural WASH programme is aimed at demonstrating to district and state governments the manner in which integrated rural WASH is to be conceptualized, planned, implemented and monitored. It will be carried out in a minimum of one district in each state where WAI operates, which will serve as a demonstration site for the state.

Rural communities will be empowered to develop and implement village-level Water Security Plans (WSP)<sup>15</sup> which will ensure them sustainable access to and control over safe water<sup>16</sup> for drinking, sanitation and improved hygiene, through a system that they manage and operate by themselves. WSPs will have technical, social, institutional and financial components.

While sanitation and behaviour change communication will be integral part of the water security plans, the programme will have emphasis on Sanitation marketing approach. We will through empowered communities and strengthen institutions,, ensure the supply chains established under Total Sanitation Programme of the Government delivers on the intended role responding to the demand generated by an effective participatory education and awareness programme. Behaviour change communications will anchor on the local institutions like CBOs, PRIs Schools and PRI that would encourage people to not just have their own latrines, but also use them. People and local institution led Awareness and motivation will be the key drivers. Sanitation Marketing will look at appropriate technologies, that address the needs of people with different abilities, living in difficult terrains, and those that come from a different cultural background like minorities, tribals etc. ..

- **Technical:** WSPs will take into account source sustainability by locating drinking water supply within the watershed, promoting conjunctive use of surface and groundwater and planning for climate-change related and other risks to water availability. It will also address system sustainability to ensure adequate water (at least 40 lpcd) of safe water (e.g., protected from microbial contamination, fluorosis and arsenicosis) throughout the year and management responses to minimize system downtime. GIS-based software such as the WaterSoft system in Andhra Pradesh will be studied and implemented wherever feasible.

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<sup>15</sup> The definition of Water Security is as per the WaterAid Note on Program Effectiveness, April 2009. Water Security Plans are now a basic requirement in the National Rural Drinking Water Program of 2009. The Guidelines can be downloaded from [www.ddws.nic.in](http://www.ddws.nic.in). Urban Water Security has been discussed in a number of Government of India and Bilateral Donor Reports; however, there is presently no Program to address this.

<sup>16</sup> Safe Water is as defined by the Water Quality Policy of WaterAid India, March 2010. The core definitions of safety have been adopted from Bureau of Indian Standards, Government of India.

- The WSPs will also plan adequate water supply for sanitation and hygiene. In addition, separate efforts will be made to ensure access to appropriately-designed, well-constructed and adequate sanitation facilities (household toilets and community toilets for schools, health centres and public places), especially for the excluded and marginalized. This will not only require special designs for the disabled but also supply chain management as well as arrangements and training for operation and maintenance to ensure effective use of constructed toilets. Ecological sanitation options will be also explored in line with the latest revision of the TSC Guidelines.
- **Social:** Effective behavioural change communication to realize changed hygiene and sanitation behaviour as a result of better awareness will be central, and local CBOs will play a key part in this process. Apart from hand washing at critical times, key focus areas will be menstrual hygiene management, kitchen hygiene and environmental sanitation. Special efforts will be made to target appropriate messages and use relevant triggers to realize behaviour change in different household members.
- **Institutional:** Local government institutions and CBOs will be empowered and capacitated to develop and implement WSPs, total sanitation plans and behavioural change strategies. Although decision-making will be focused at the Gram Sabha level, for greater transparency and accountability, special efforts will be made to ensure that the marginalized and excluded are integral to decision-making so that their interests are considered and acted upon. In order to develop and implement the WSPs, all relevant stakeholders will be involved including GPs, SHGs and other CBOs, the district and sub-district administration and local politicians. Planning and management processes will also be initiated at district and sub-district level to enhance service provider capacity and accountability and to identify gaps and offer solutions.<sup>17</sup>
- **Financial:** Efforts will be made to access and pool government funding available from different programmes, particularly those meant for the poor (e.g., MNREGS). Linkages will be made with micro-finance institutions for bridge financing to cover the initial costs of toilet construction, prior to the payment of government subsidies.<sup>18</sup> Costs of service provision, budgets and fund flows will be monitored and analysed at all levels, so that the excluded and marginalized realize their entitlements to adequate and sustainable WASH services.<sup>19</sup>

### Integrated Urban WASH

WAI will focus efforts to bring about an integrated urban WASH programme in selected cities or small town in each state. The urban poor in slum and other poverty pockets in these focus cities or small towns will be empowered to demand, obtain and operate sustainable WASH services. One opportunity to do this will be the City Sanitation Plans, which WAI will use to address factors blocking the poor from accessing sustainable WASH services. This will have the same components in rural areas but require different methods. .

- **Technical:** Alternative sources of drinking water supply for the urban poor, including shared taps, yard taps and paid services will be explored to ensure adequate potable water services, building

<sup>17</sup> These will build on district-level water resource planning exercises as in the DFID supported WHiRL Project in Andhra Pradesh ([www.nri.uk/whirl](http://www.nri.uk/whirl)) and findings from the APRLP and KAWAD Project Water Resource Audits (Batchelor, et al., 2000; Rao et al., 2003).

<sup>18</sup> Sanitation loans are offered by BISWA, a large micro-finance institution (MFI) in Orissa, and one of the five MFIs that are part of a project called Financial Inclusion Improves Sanitation and Health (FINISH) being implemented in India by the NGO WASTE (Netherlands). The other MFIs are Bharathi (Tamil Nadu), Indian Institute for Rural Development (Rajasthan) and Evangelical Social Action Forum (Kerala and Maharashtra).

<sup>19</sup> The findings of the WASH Cost project supported by the Bill and Melinda Gates Foundation and implemented by IRC International Water and Sanitation Centre, Netherlands, in Andhra Pradesh will be used to design this component, along with other inputs.

on the findings of the AusAid-supported Bangalore Water Supply and Environmental Management Project. The removal of pit taps, improvement of water points and drainage and involvement of informal sector water providers will also be part of the programme. Concerning sanitation, alternative designs for space-constrained urban housing including community-managed and other public toilets (e.g., in schools, public places and health centres) and ecological sanitation options will be studied and implemented wherever feasible, while environmental sanitation, menstrual hygiene management as well as waste water and solid waste disposal will be added to develop a comprehensive approach to sanitation.

- **Social:** Appropriate behaviour change strategies will be created for the urban poor, identifying and using relevant triggers, methods and messages for the construction and use of toilets, menstrual hygiene, kitchen hygiene and environmental hygiene. Wastewater and solid waste management may be added subsequently. SHGs, Youth Groups and other local CBOs will be central to these efforts.
- **Institutional:** Local government institutions and CBOs will be empowered and capacitated to develop and implement the integrated WASH package. Decision-making will be focused at the Ward level, for greater transparency and accountability, with special efforts to include the marginalized and excluded in decision-making so that their interests are safeguarded. Other stakeholders to be involved in the effort will include local municipality workers, Ward and Municipal Councillors, the Environmental Engineers of the local municipality Utilities, regulatory bodies, the private sector and Mayors and Municipal Commissioners.
- **Financial:** All available funding will be accessed and utilized, including local area funds of MLAs and MPs, BSUP funds (in JnNURM Cities), loans and grants for ULB from state and central government sources (e.g., TNUDF in Tamil Nadu and KUIDFC in Karnataka and the PFDF of the GOI) in addition to user charges.

### The Right to Water and Sanitation

WAI will take on a supportive and collaborative role in the movement towards making water and sanitation as human rights. This will through a multi-pronged approach involve (1) the empowerment of communities and CSOs to demand their rights using several means, including the Right to Information, launching a campaign on WASH and media engagement, and (2) working with national-level stakeholders including CSO networks, knowledge institutions and the Judiciary, Legislature and Executive arms of government. WAI will study other Rights Based Movements in India (e.g., Rights to Food and Education), build capacity of staff, partners and networks, increase staff capacity, support specific campaigns, explore the integration of rights to water and sanitation in other progressive legislations and whether to have separate legislature on Right to WAS and carry out research, documentation and dissemination.

### Programme summary

The WAI Country Programme may be summarized as operating at the national, state and sub-state levels (Table 2)

**Table 2: Overview of proposed WAI Country Programme**

Government Structure	What WaterAid will do
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Government Structure	What WaterAid will do
<p><b>Central Government</b></p> <p>Under the Constitution Water &amp; Sanitation are state subjects. The central Government has powers to set national guidelines, policies and standards which the states should abide by to claim their share from the centre - which is normally 80%-100% of the programme cost, this ensures major state WASH programmes follow the central policies and guidelines</p>	<p>The Policy and Partnership team will lead on the National level policy influence using evidence from the field and support Regional Programmes in influence at the state level</p> <p>Will Influence and ensure, that</p> <ol style="list-style-type: none"> <li>1. National WASH policies articulate inclusiveness for all sections of excluded and marginalised.</li> <li>2. On the strength of the evidence from the field advocate for affirmative allocation of budgets that are appropriate for special designs and standards</li> <li>3. Influence National flagship programmes</li> <li>4. Promote convergence and mainstreaming with key departments (Health, Education, Water Resources, Environment and Forestry, Women and Child Development)</li> <li>5. Engage with bodies, forum of legislature and judiciary</li> </ol>
<p><b>State Level</b></p> <p>State Governments Develop their plans and resource them. Substantial part of their plans is financed by Central Government. To claim their share from the central Government, States are mandated to follow central government policies and guidelines</p>	<p>The Regional Teams will lead on influencing state level policies and plans,</p> <ol style="list-style-type: none"> <li>1. Work with legislature to build the political will</li> <li>2. Support state ministry and department in developing policies, plans and strategies, wherever they are absent or inadequate</li> <li>3. Support in enhancing capacities of the line in planning, implementation and monitoring.</li> <li>4. Budget advocacy at state or district level to understand and address budget and cash flow barriers</li> </ol>
<p><b>District &amp; sub District Local Government Level (Panchayati Raj Institutions)</b></p> <p>Local Governments are subject to state statues and Governance and are responsible for micro planning and implementation</p>	<p>Through Partners and projects</p> <ol style="list-style-type: none"> <li>1. Demonstrate scalable models, which</li> <li>2. Enable the local government institutions to plan and implement programmes that are participatory and inclusive</li> <li>3. Enable the local governments to mobilize locally human and finance resources</li> </ol>

Over a period of 5 Years, the WAI Country Program will directly benefit 5.0 million excluded and marginalized Indians; and reach out to an additional 7.5 million Indians, also excluded and marginalized, through a well designed approach to influence governments to deliver WASH services where they are needed the most.

### Addressing Sector Blockages

The new WAI CS programme thus aims to address the sector blockages outlined in an earlier section, along with other agencies (Table 3). As discussed above, demonstrations on the ground are to be carried out in select districts and small towns, but findings will be used to influence policy at state and national levels.

Table 3: Addressing sector blockages through the new WAI CS Programme

Sector Blockages	Rank	WAI opportunities to influence	Strategic links to other agencies
<b>1. SECTOR POLICIES &amp; STRATEGIES</b>			
<p>1.1 At national Government no clear policy measures to ensure sustained access to WASH services for <u>all</u> categories of the excluded and marginalized.</p> <p>1.2 At state-government level, there are more gaps in required policies, strategies, programmes and legislation, particularly to safeguard the interests of the excluded and marginalized, which are arguably more crucial than national-level since implementation of WASH is largely the responsibility of the states.</p> <p>1.3 Though WASH in India is prioritised there is uneven focus on Hygiene. Hygiene, including menstrual hygiene, is addressed particularly weakly. There is no clear policy or strategy guiding Hygiene promotion (especially menstrual hygiene), and behaviour change communication.</p>		<ul style="list-style-type: none"> <li>• Work with National Government and departments to ensure that policies reflect affirmative allocations to all sections of the excluded and marginalised.</li> <li>• The subject of WASH being a state subject is a huge opportunity for WAI. States can be successfully influenced to develop pro-poor policies and inclusive plans designs, technologies and budgets. WAI's models developed can be used effectively to inform policies programs and plans.</li> <li>• Based on the experiences of WAI in Bihar, World Bank in Maharashtra and Kerala, WASMO in Gujarat, and others, WAI can expose other politicians and bureaucrats to progressive policies and plans for them to emulate</li> <li>• Consolidate current work and demonstrate at appropriate scales all necessary technical, institutional and social measures to ensure right to WASH services to all categories of E&amp;M</li> <li>• Facilitate the State (legislature, judiciary and executive) as well as civil society groups to understand the gaps in poor people realising their rights and work towards a legal right to water</li> <li>• Present evidence of impact of hygiene on human health and call for improved and increased allocation on hygiene in sector</li> </ul>	<ul style="list-style-type: none"> <li>• World Bank, UNICEF and WSP-SA are major players, are working on some aspects and for some sections of the excluded and marginalised</li> <li>• NRHM, RTE and Education For All of Education department</li> <li>• Research and academic institutions</li> <li>• LSHTM, UNICEF</li> </ul>

Sector Blockages	Rank	WAI opportunities to influence	Strategic links to other agencies
		programs	
1.4 Policy, plan, strategy and programme documents are not easily accessible for all categories of excluded and marginalized		<ul style="list-style-type: none"> <li>Ensure copies of all relevant policies, plans, strategies and programmes are freely available to the affected communities and in the local language</li> </ul>	ISS working on capacity building of local governments
1.5 No clear focus on WASH issues for excluded and marginalized in smaller towns 1.6 The lack of tenurial rights of the urban poor is a major problem affecting investment in WASH infrastructure in urban poverty pockets, leads to Eviction, and lack basic facilities 1.7 An impending future problem is the conversion of fast-growing large villages into small towns, without the governance experience to effectively manage and provide WASH services to the excluded and marginalized.		<ul style="list-style-type: none"> <li>Work with state &amp; national government as well as other civil society groups to create and amend policies, plans, strategies and programmes (with budgets) to ensure sustained access to WASH services for all categories of the excluded and marginalized in small towns</li> <li>Engage with Flagship programmes, such as the National Urban Renewal Mission (JnNURM) Basic Services for the Urban Poor (BSUP) and the Rajiv Awas Yojna to ensure equitable services.</li> <li>Carry out Poverty Pocket Assessments to ensure the poor are included in development framework.</li> <li>Use WAI's work and focus to influence plans of other city Governments to be inclusive in technologies and designs and participatory in planning so that the excluded and marginalized can claim their rights</li> </ul>	NIUA, WSP
1.8 No framework for regulation of groundwater or WRM as a context for WASH service delivery, especially in the face of threats to water from climate change, competing demands for water from other sectors and water quality problems		<ul style="list-style-type: none"> <li>Build on our action research work on WRM and influence state &amp; national government as well as other civil society groups to ensure equitable drinking water security.</li> <li>Effectively use WAI's membership in The national Council for Water and sanitation newly promoted inter sectoral body, to influence policies, plans, strategies and programmes (with budgets) to ensure WRM is addressed by all sectors</li> <li>Collaborate with climate change action groups and ministry of environment and forests to protect fresh water sources</li> </ul>	<p>Apart from the World Bank, EC, ADB and DFID, several state governments are working on this.</p> <p>A Climate Change Action Plan is under preparation but drinking water is not part of thematic group on Water Resources</p>
<b>2. SECTOR COORDINATION</b>			
2.1 Inadequate coordination between govt ministries (e.g., MOWR, MORD, MOUD, MHRD, MHFW, WCD, Tribal		<ul style="list-style-type: none"> <li>Support initiatives to coordinate the working of government agencies and elected representatives at national level to</li> </ul>	ESAs like Unicef UNDP are leading the efforts, by supporting WES-Net and Solution Exchange

Sector Blockages	Rank	WAI opportunities to influence	Strategic links to other agencies
<p>affairs, Social justice and empowerment who are responsible for water resources or WASH services directly or indirectly) for effective delivery of WASH services to the excluded and marginalized</p> <p>2.2 There is fragmentation of national-level mandates, policies, legislation, strategies and programmes across several Ministries when dealing with the WASH needs of different categories of the excluded and marginalized. This is more so in the case of state governments and particularly in programme implementation at the district and local levels. Resulting in lack of direction, capacity and budget at district and sub-district levels to deliver equitable and sustainable WASH services.</p> <p>2.3 Non state actors have limited space in sector programs or sector governance.</p>		<p>identify practical areas of effective convergence (even with ESAs) to ensure sustainable and equitable access to WASH services</p> <ul style="list-style-type: none"> <li>• Help to set up and facilitate national-level networks (e.g., WES-Net, WASH Forum, FANSA) to coordinate efforts to ensure sustainable access to WASH services for the excluded and marginalized; and build momentum towards a legal right to water</li> <li>• Bargain space with government for creating space for non state actors.</li> <li>• Sensitize and influence responsible politicians, bureaucrats and technocrats, joining government committees working on drafting or amending sector policies</li> <li>• Strengthen WAI and others initiatives as working examples of sector coordination and influence up-scaling by other stakeholders</li> </ul>	<p>and others</p>
<p>2.4 State-level fragmentation of jurisdiction and mandate over different aspects of water and sanitation (e.g., irrigation, water supply, groundwater, canals) affects the implementation of existing programmes and results in poor service delivery to the excluded and marginalized</p> <p>2.5 Though guidelines and arrangements for coordination amongst stakeholders exist, in practice it is not operational. There is multiplicity of departments and overlap in functions and responsibilities.</p> <p>2.6 SWSMs and DWSMs exist for coordination amongst development partners but the processes and mechanisms are not</p>		<ul style="list-style-type: none"> <li>• Strengthen initiatives to coordinate the working of state government agencies and elected representatives at state-level by identifying practical areas of effective convergence at state, district and sub-district levels (e.g., SWSM, DWSM)</li> <li>• Support existing civil society networks and regional platforms (e.g., SAARC and SACOSAN) for knowledge sharing, sponsoring and supporting workshops, conferences and seminars</li> <li>• Build capacities of SWSMs, DWSMs and facilitate coordination and harmonization across members of SWSM and DWSM.</li> <li>• Support development of joint plans and collaborative actions.</li> <li>• Support coordinated and structured initiative to Inform Districts and PRIs to access funds from different sector programs</li> </ul>	<p>WES-Net, WASH Forum and FANSA are existing national-level CSO platforms, intent on extending their activities to state-level, but no action yet</p> <p>New Water Policy for 2013 under preparation; new Water Mission approved by PM's Council on Climate Change</p> <p>Unicef-supported Solution Exchange organizes regular sharing meetings, but this are limited and not systematic SWSMs; DWSMs; CCDU</p>

Sector Blockages	Rank	WAI opportunities to influence	Strategic links to other agencies
<p>effective.</p> <p>2.7 Annual reviews involving all stakeholders are seldom done.</p> <p>2.8 Despite the string linkage between WASH and health and health ministry and WASH department do not have a coordinated action plan</p>		<p>earmarked for WASH and ensure coordinated effort.</p> <ul style="list-style-type: none"> <li>Engage with the central Ministry and state Departments of Health and Family Welfare to influence appropriate mainstreaming of health outreach and services contributing hygiene promotion and preventive education</li> </ul>	
<b>3. SECTOR FINANCE</b>			
<p>3.1 Despite claims of ample finances at national level, there are inadequate funds at state, district and sub-district levels for the construction and O&amp;M of WASH services</p> <p>3.2 The allocations on WASH do not include adequate resources for hygiene promotion programs or behaviour change and its sustainability.</p> <p>3.3 The unit cost for Sanitation is not realistic and allocations for involving NGOs and CSOs are considered disproportionate to actual cost.</p> <p>3.4 The allocations are not always released or inordinate delays in fund release, poor utilisation, and sector finance is not free from diversion.</p> <p>3.5 While the policies commit on inclusive designs and technologies is not supported with commensurate budget allocation</p>		<ul style="list-style-type: none"> <li>Develop and demonstrate alternative institutional models that assure adequate fund flow for construction and O&amp;M of infrastructure for sustainable WASH, particularly for the excluded and marginalized</li> <li>Work with state governments to improve fund flow to local bodies for sustainable O&amp;M of constructed WASH infrastructure, particularly for the excluded and marginalized</li> <li>Work with flagship government programmes to ensure coordinated use of resources at local and district levels (e.g., SSA, NRHM) for creating sustainable WASH services, particularly for the excluded and marginalized</li> <li>Support local governments to develop inclusive plans and timely implementation which in turn will help cash flow</li> <li>Influence national and state-governments, along with CSO partners and networks, to ensure that programmes and their budgets are better coordinated for district and local level implementation and maintenance</li> <li>Demonstrate innovative financing, and influence improved availability of funds by working with local-level politicians, bureaucrats and other stakeholders,</li> </ul>	<p>WatSan Pooled Finance Development Fund announced by GOI, and some state governments (eg., Tamil Nadu) but not implemented yet</p> <p>There is also work by NGOs like PRIA, Samarthan and ISS and campaigns and networks such as Karmayog and Wada Na Todo.</p> <p>State Finance Commissions and State Planning Commissions are also working on these issues</p> <p>KRCs; CCDU; WSSO</p> <p>UNICEF</p>
<p>3.6 Low priorities in budgets and poor financial governance (including inefficient billing and collection of user charges, and low priorities in budgets), reduce the availability of funds for maintenance and expansion</p>		<ul style="list-style-type: none"> <li>Sensitize local politicians, bureaucrats, technocrats and staff in key urban areas to ensure adequate financial allocation (including for community mobilization) to ensure sustainable WASH services to the excluded and marginalized.</li> </ul>	<p>JnNURM, BSUP and UIDSSMT provide adequate funds for urban development</p> <p>MOUD is working with a Donor Coordination Committee at national-level to support selected</p>

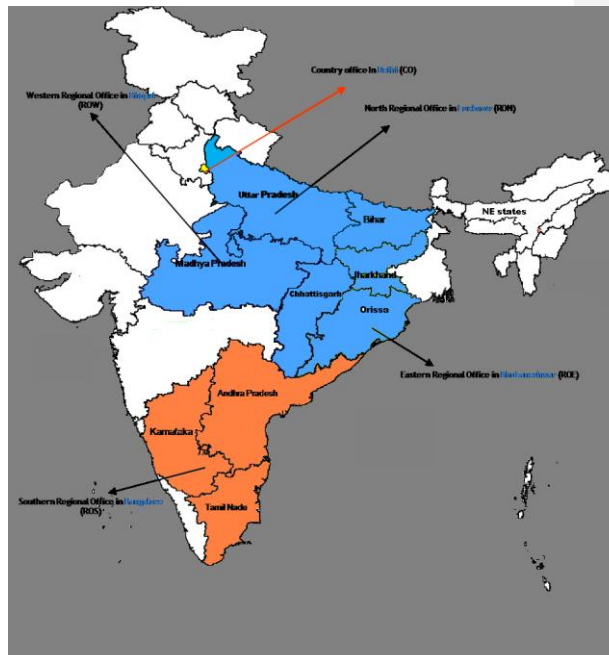
Sector Blockages	Rank	WAI opportunities to influence	Strategic links to other agencies
<p>of WASH services, which affects the excluded and marginalized disproportionately</p> <p>3.7 The budget doesn't involve sufficient investment on community empowerment and hygiene promotion. Programming behaviour change is not adequate or realistic considering the approaches, time required and the sustainability measures</p> <p>3.8 There are broad criteria of allocations across states. The progressive states with capacities to meet the criteria and the backward states do not meet the requirements and do not get funds</p> <p>3.9 GOI has budget lines and funds for O&amp;M though sufficient technical capabilities and human resources are not available to undertake maintenance work.</p>		<ul style="list-style-type: none"> <li>• Work with local governments and communities to demonstrate institutional models to improve the availability of funds to ensure adequate WASH services for the excluded and marginalized in urban areas.</li> <li>• Work with those responsible for special programmes and policies to ensure sufficient financial resources are allocated to delivering sustainable WASH services for the excluded and marginalized in special areas – such as schools (through SSA) and PwD (through the Act)</li> <li>• Support widening WAI and others work on Budget Analysis and Fund Tracking</li> <li>• Help DWSMs and PRIs access funds from State and National Institutions</li> <li>• Support state governments develop plans for IEC and hygiene plans and help implement them</li> <li>• Showcase the Alternative financing like micro finance, sanitation fund and supply chains</li> <li>• Create models for decentralised operation and maintenance</li> <li>• Influence government via CSO platforms to bridge financing for environmentally sustainable toilet construction, to enable the excluded and marginalized take advantage of existing government programmes</li> </ul>	<p>towns and cities to develop City Sanitation Plans according to the recently announced NSUP</p> <p>International organizations like WB, WSP, ADB, DFID and GTZ are working with urban local bodies (ULBs) to improve urban financial governance, with rapid improvement in some of the larger cities</p> <p>GOI's work on results framework for rural water &amp; sanitation</p> <p>Micro Credit agencies, both local and international</p>
<b>4. INSTITUTIONAL ARRANGEMENTS AND CAPACITY</b>			
<p>4.1 Several unfilled vacancies and severe lack of motivation of existing human resources at government level</p> <p>4.2 The institutional roles and responsibilities are overlapping on account of multiplicity of organizations.</p> <p>4.3 There is a serious capacity gap at the state and district level to implement community led approaches and programs.</p> <p>4.4 Despite the window of opportunity in reforms programs for community participation, in reality sector is driven by supply driven</p>		<ul style="list-style-type: none"> <li>• Influence state governments to hold motivational 'change management' workshops for government staff</li> <li>• Support implementation of reform programs and development of WSSOs</li> <li>• Greater and appropriate engagement of CSOs</li> <li>• Support the State to develop and operationalise regulatory mechanisms</li> <li>• Demonstrate convergence at grassroots</li> <li>• Support efforts by different stakeholders to improve institutional arrangements and</li> </ul>	<ul style="list-style-type: none"> <li>• GoTN has carried out change management successfully in several departments, and other governments (e.g, Chattisgarh, Rajasthan) are interested in it</li> <li>• SWSMs WSSO KRCs</li> <li>• NRHM, SSA, JnNURM and MNREGS</li> </ul>

Sector Blockages	Rank	WAI opportunities to influence	Strategic links to other agencies
<p>approaches.</p> <p>4.5 The regulatory mechanisms where exist are dysfunctional</p>		<p>capacities, such as initiating 'change management' processes to attitudinal change of service providers, developing effective training modules on equity and sustainability for state and national WASH training institutions</p> <ul style="list-style-type: none"> <li>• Demonstrating alternate institutional frameworks including for WASH regulation and for local-level coordination and capacity building programmes</li> </ul>	
<p>4.6 Poor quality of existing training programmes – to impart skills (technical &amp; managerial) and motivation</p> <p>4.7 Virtual absence of legitimate space for civil society participation in decision-making at local government levels</p> <p>4.8 Lack of long-term planning and strategizing for pro-poor watsan at state and local government levels</p> <p>4.9 No regulation of WASH performance by local government</p>		<ul style="list-style-type: none"> <li>• Influence governments along with other CSOs to create legitimate space to represent the special interests of the excluded and marginalized</li> <li>• Assist state and national governments to improve the planning and delivery of effective WASH services, especially for the excluded and marginalized</li> <li>• Support government efforts to regulate watsan performance</li> </ul>	<p>WSP-SA is working on performance improvement systems for urban WASH</p>
<b>5. PERFORMANCE MONITORING AND ACCOUNTABILITY</b>			
<p>5.1 Lack of clear and unambiguous information on sector performance: a lot of information exists, but is contradictory and fragmented, especially for the poor</p> <p>5.2 The available information is mainly quantitative. Qualitative information e.g. usage etc are completely missing.</p> <p>5.3 service standards exist, but not uniformly followed.</p> <p>5.4 Lack of attention to issues of equity and pro-poor targeting in performance assessments</p> <p>5.5 No space for participatory monitoring of government and service providers by CSOs, especially CBOs.</p>		<ul style="list-style-type: none"> <li>• Work with governments to institutionalize the production of uniform information, disaggregated to show the performance of services to the excluded and marginalized</li> <li>• Improve the availability of information on mandated, available and actual funds (e.g., for PwD) to communities and CSOs to improve accountability</li> <li>• Support the development of mechanisms to generate qualitative information, and sector performance monitoring mechanisms</li> <li>• Influence or support in Commissioning independent studies or Get space in state review teams</li> <li>• Demonstrate the potential role of NGOs and PRIs in the process related to qualitative and quantitative information.</li> <li>• WAI can influence concerned</li> </ul>	<p>Unicef is working to disaggregate national-level JMP data to state-level NIC</p> <p>RGNDWM</p> <p>PHED, PRD, UNICEF Service level Benchmarking pilot by MOUD</p>

Sector Blockages	Rank	WAI opportunities to influence	Strategic links to other agencies
		<p>stakeholders to ensure institutionalized performance assessment frameworks that also produce disaggregated and qualitative data to measure and track progress of equity in WASH services</p> <ul style="list-style-type: none"> <li>• Support establishing or strengthening State-level MDG assessments, to look at and beyond MDG, consolidation and unification of data across government departments, qualitative assessments to track behaviour change; and effective use of such performance assessments for decision-making.</li> <li>• Pilot improved systems to monitor equity in WASH access, coverage and control</li> <li>• Work with local government to institutionalize participatory monitoring of WASH performance by CSOs, especially on equity and sustainability</li> </ul>	

### Geographic Profile of Programmes

Over the last strategy period the geographical priority shifted from regional to national, with four new regional offices and the focus of operations moved from the comparatively developed and better governed states to the diverse and most challenging regions. During this strategy period considering the Federal structure of our country we would engage across the country based on the performance and progress on WASH and the thrust of influencing the sector both nationally and at the state.



WaterAid currently is operational in 10 States. Of these 10 states the 6 central and eastern states continue to be low in WASH performance and progress.

Focussed interventions in these states based on the Country Strategic Objectives offers the potential for many more people to gain access to safe water, improved hygiene and sanitation as a result of our direct service delivery and influencing work. In recent years some of these states have demonstrated good leadership which has given significant political recognition to WASH. Despite these positive trends, the backwardness of the states, deep rooted inequities and mammoth gaps in the sector institutions, continue to be critical challenges. A significant amount of work has taken place over the past CSP, through our direct interventions, and through influence; and several communities are on way to achieving sustainable access to WASH in the coming 3 years. The state and local Government require support to accelerate the progress while ensuring equity and sustainability. The thrust of the 3 Aims as was essentially outlined in the previous Country Strategy and further affirmed in this strategy will contribute towards achieving sustainable access to WASH. The plan is to continue building upon work done in select districts and Cities, document the process, and set up research studies to answer some of the questions challenging Governments to scale up or replicate sustainable access to WASH Services rapidly. The plan is also to develop a significant number of communities which have realized their rights to sustainable WASH, in order to strengthen WAI's Influencing Agenda.

In the three southern states of Andhra Pradesh, Karnataka and Tamilnadu we have done considerable work and these are considered to be progressive states in WASH. There are some critical areas that are to be addressed in relation to community mobilisation and the programmes in these states are thus in the sustainability and knowledge framework of operation. These states over the period of the CSP will not be considered as focus states. The work in the focus states during 2011-16 will seek to "cap" the Programmes there, i.e., achieve integrated rural and urban WASH and work on influence, at a scale that is sufficiently significant for local government, communities and civil society organization to continue work on issues of sustainability.

As per the thrust of research-based advocacy at local, regional, national levels and for programme effectiveness in the focus states and for networking with civil society organisations and the sector we would strategically engage with other states across the country. This engagement would be in the form of generating knowledge on work done in progressive states in the area of technology, institutional arrangements, Government systems which have successfully improved access to WASH services and community processes which empowered them to demand such services. Similarly we would also engage with some critical states other than the focus states at key events organised either by academic institutions or the government in those states to share our learning and knowledge on improving WASH services. The nature of work would be that of supporting the National and State Governments with special studies, reviews, capacity building and participating and contributing in key events.

The focus states will get the maximum resources, an estimated 90%, and the balance will be for strategic interventions with the other states.

#### **4.5 COUNTRY STRATEGIC OBJECTIVES**

The main purpose of WAI Programme for the CS (2011-2016) is to ensure equitable and sustainable access to WASH services for all citizens. To achieve this WAI will build on the framework provided by the Global Strategy and focus its limited resources, to support people centric approaches to empower the excluded and marginalised to realise their right to WASH services, building political will

and enhancing accountability of the service providers through capacity building and mainstream WASH in all development sectors to maximise so that the people gain lasting maximum benefits of development. WAI with its modest resources will influence key leverage points in the system<sup>20</sup> for maximum impact on the goal to make WASH poverty history. WAI will work towards the following strategic objectives and achieve the specific change objectives. These are in alignment with the Global strategic Aims.

**Global Aim 1: Promote and secure poor people's rights and access to safe water, improved hygiene & sanitation**

**Strategic Objective 1: Empower the excluded and marginalized in India to access safe and sustainable WASH services as their right**

**Domain of Influence:** While more than 50% of the Indian population is below the poverty line, large proportions of the rural and urban poor are significantly worse off than the rest. In rural India, these excluded and marginalized communities often live in remote areas with chronic water scarcity and periods of acute water scarcity brought on by droughts and erratic rainfall. Even if water is available they may not have access to adequate and functional infrastructure. In urban India, poverty pockets are usually poorly served by existing water supply and sanitation infrastructure. Water scarcity is worsened by low and fluctuating incomes, due to low levels of education and employment opportunities, and by social deprivation, based on caste, religion or ethnic status. All these factors combine to disempower these communities, reducing their access to water, sanitation and hygiene and, in turn, affecting not only their health and education but also their earning capacities and overall economic development. Although corrective policies are in place, a lot needs to be done on the ground to ensure that this constituency is able to demand and secure access as their right.

WAI together with the partners has successful experience of people-centric approaches and has enabled communities with skills and capacities to use the tools to exercise their rights to demand and secure access to improved WASH services, to participate in decisions concerning access, and thereafter to manage their own access effectively. People and their institutions have been trained to champion behaviour change using participatory communications and learning tools.

Capacity building and empowerment have helped local communities not to be mere passive recipients but an active constituency capable of ensuring access to sustainable WASH services for themselves and for their succeeding generations.

**Framework of action:** WAI will engage in areas with large concentrations of the excluded and marginalized, which include scheduled castes and tribes, minorities, PLWHA, women, the poor, people in disaster prone areas and the differently-abled (see Section 3.2). These communities and their organizations have to be empowered to demand and secure adequate and effective access WASH services as their right. This will be done by

- Ensuring that the excluded and marginalised communities demand transparency and accountability from duty bearers by strengthening their capacities to gain their rightful space in decision making processes and realise their right to WASH services.
- Enabling excluded and marginalised communities to demand and realise WASH services that address their special needs in design and standard, by developing and promoting affordable, appropriate, equitable and sustainable WASH models for communities and institutions
- Ensuring the realisation of right to WASH services by the urban poor by mobilising and capacitating people and their institutions to demand inclusion in the planning frameworks through PPSA tools

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<sup>20</sup> Meadows (1999)

- Ensuring drinking water security to the excluded and marginalised communities by demonstrating people centric, inclusive processes facilitate that to be adopted and upscaled by local and state governments under the banner national rural drinking water programme

#### Indicators

- Total number of people and the proportion of excluded and marginalized groups gaining access<sup>21</sup> to safe drinking water and hygienic sanitary facilities and practising improved hygiene<sup>22</sup> as a direct result of WAI efforts
- Number of habitations of excluded and marginalized people realizing their rights and demanding WASH services from government programmes

#### **Global Aim 2: Support governments and service providers in developing their capacity to deliver safe & improved WASH**

#### **Strategic Objective 2.1: Support government and other service providers in developing capacities to improve WASH service delivery as a right for the excluded and marginalized in the country**

**Domain of Influence:** The government has a constitutional mandate to provide WASH services to all citizens, and has provided potable water supplies to 90% of the country. Sustainability of these services, however, has been a problem that has recently been termed 'slippage', where constructed infrastructure no longer provides services. Consequently, effective service delivery on the ground is still grossly inadequate for the large proportion of excluded and marginalized communities in the country. Although the national government reports sufficient funds for all development activity, there is a critical need to ensure that at state, districts and sub district levels, there is adequate capacity to plan, implement, and maintain equitable and sustainable services, since field experience suggests that poor planning causes many states to struggle to contribute their share, submit timely reports to the GOI on implementation and utilisation, all of which results in budgets being allocated but unutilized. Only when states are able to plan well, and thereafter implement well can they fully utilize existing and future tranches of GOI funds, and thus ensure that future expenditure produces sustainable services for the excluded and marginalized, as indeed policy mandates.

Problems of implementation are worst at local government levels, and the major bottlenecks include insufficient human resource capacities, delays in fund flow, relative neglect of operation and maintenance, and lack of community participation in decision-making. These problems are compounded in the context of excluded and marginalized communities with social prejudice and low motivation levels among duty bearers combining with low awareness, growth of dependency on government provision, an erosion of sustainable traditional practices and a resistance to change unhygienic behaviour among rights holders. There is opportunity and scope to influence politicians and senior bureaucrats to build the political will and capacitate the departments and services providers which together will enhance accountability, and responsiveness of WASH service delivery. Experience like change management demonstrates receptiveness and possibility of attitudinal change within government agencies that can improve effectiveness of access to improved WASH services for these communities.

**Framework of action:** Engagement with government institutions, programmes and other WASH service providers at Central, State and Local levels (including WSSOs, SWMs, DDWS, ULBs, and PHEDs) to ensure the delivery of effective, equitable and sustainable WASH services. The objective is to champion appropriate resource allocation and its effective use to provide necessary services to the constituency of excluded and marginalised by

- Ensuring affirmative allocations for WASH services to all sections of excluded and marginalised and promote mechanisms to monitor utilisation by influencing National Government through

<sup>21</sup> Access as defined in the WAI Counting of Users Guidelines, July 2010.

<sup>22</sup> Indian Hygiene Behaviour Guidelines will be created following the Global Guidelines due in December 2010

evidence based analysis, Research (through partnership) to assess budgetary allocations for national flagship and other programmes for the excluded and marginalized particularly for WASH services, to understand the real costs of providing inclusive and integrated WASH services and to identify areas needing policy influencing

- Improving the effectiveness in delivery of equitable and sustainable WASH services by facilitating state and local governments to develop and adopt pro poor policies, participatory planning, operations and systems
- Enabling Government and other stakeholders to develop and operationalise hygiene promotion strategies to achieve sustained behaviour change for lasting health benefits
- Supporting Government with WASH technologies and by showcasing successful models to overcome challenges that currently prevent effective access and control over services by the excluded and marginalised

**Strategic Objective 2.2: Assist institutions of the legislature and judiciary to improve the policy and legal environment for citizens to realize WASH services as their right**

**Domain of Influence:** While the executive is directly tasked with providing improved WASH services to all citizens, the Judiciary and Legislature play critical roles of creating and improving the legal and policy environment within which the executive functions. Both these important constituencies are critical to build the political will necessary for policy reforms. These two institutions are responsible for the long-term development vision of the country, for upholding and supporting the aspirations of the poor, for the accountability framework for the executive and for creating space for community participation in governance. The executive carries out the directives of the Legislative and Judiciary. In India, judicial activism at all levels has played an important role in the past in upholding the rights of citizens and enhancing mechanisms to help them realize these rights, the recent examples are Right to Information, Right to Education. This opportunity can be catalyzed by actively engaging with different levels of the Judiciary to enhance their understanding of vital roles WASH plays in human life, health and dignity, informing them of field realities and of the improvements necessary for effective access of the excluded and marginalized to WASH services. Elected representatives are directly answerable to the voting public, the Legislature has a direct interest and political opportunity in improving service delivery to citizens. However, a championing to lobby for the excluded and marginalized will help focus attention on this constituency.

**Framework of action:** Legislature and Judiciary at state and national levels have to be involved since they are centrally responsible for policy direction and legal enforcement, which directly influences the delivery of WASH services. The objective is to increase interest and awareness at these levels so as to enable the development and review of legislation as well as the means to enforce them, and thus will enable citizens, especially the excluded and marginalized, to access and control WASH services as their right. This will be done by

- Building political will to influence appropriate changes in policies, laws, regulations & rules that will enable citizens to realize effective WASH services as their right through research based advocacy and influencing through networking.
- Enhancing the sensitivity and responsiveness of the members of a range of elected and professional bodies at central, state and local levels (PRIs, ULBs, academies, lawyers' associations and parliamentary & legislative committees), to the key issues and obstacles preventing the excluded and marginalised communities' access to WASH services.

**Indicators**

- Total number of people and the proportion of excluded and marginalized groups gaining access<sup>23</sup> to safe drinking water and hygienic sanitary facilities and practising improved hygiene<sup>24</sup> as an indirect result of WAI efforts.
- Increase in capacities of Government functionaries and service providers to plan, budget and improve WASH services for the excluded and marginalized groups.<sup>25</sup>
- Increased capacities of government functionaries and service providers to plan, budget and improve WASH services for the excluded and marginalized groups, through the Efforts made by WAI
- Evidence of enactment and enforcement of existing laws, rules, policies and regulations relating to WASH
- Increased the utilisation of funds, reduced breakdown time and slippage, through WAI efforts

**Global Aim 3: Advocate for the essential role of safe water, improved hygiene & sanitation in human development**

**Strategic Objective 3.1: Influence relevant government institutions and programmes as well as external support agencies to mainstream safe and effective WASH services for the excluded and marginalized in projects and programmes in the country**

**Domain of Influence:** Apart from those directly concerned with the delivery of WASH service there are several government institutions and programmes that affect WASH service delivery and scope to mainstream WASH for lasting realisation of benefits. These include the Ministries and Departments of agriculture, water resources, health, human resource development, social justice and welfare, women and child welfare and tribal affairs as well as pro-poor national flagship programmes such as the JnNURM, NREGA, NRHM, the BSUP and the SSA. There are also projects run by ESAs in diverse fields such as watershed management, health, education and climate change, movements like climate change action groups all of which affect and need to integrate access to WASH services.

There is, today, an increasing awareness of the importance of WASH by all these institutions, in recognition of the critical role of good access to WASH services for social and economic development. But much more needs to be done to improve coherence, convergence and coordination across the programmes and projects of government institutions and external support agencies, to ensure an effective attack on WASH poverty. A critical ingredient for such coordination, however, are clear directions on how to enhance access of the excluded and marginalized to improved WASH services or to change WASH behaviour.

**Framework of action:** Government institutions and programmes as well as external support agencies working on projects and programmes that affect WASH service delivery have to be engaged with. The objective is to influence all these agencies to integrate & prioritize safe WASH for the excluded and marginalized in their policies, planning processes & implementation. This will be done by,

- Influencing the integration of WASH in Health, Education, Gender, Child Health, and poverty alleviation programmes through research based evidence that demonstrates WASH services linkage to health, education, economy, maternal and child health and gender equality
- Ensuring that the role of health, education water resources, poverty alleviation is compliments the effective delivery of WASH services to the excluded and marginalized through policy advocacy, and research

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<sup>23</sup> Access as defined in the WAI Counting of Users Guidelines, July 2010.

<sup>24</sup> See footnote 9 above.

<sup>25</sup> Utilization of IEC, solid and waste management, funds for excluded and marginalized for WSH, funds for WSH for urban poor in JnNURM

- Securing drinking water through enforcements mechanisms to govern water extractions and abuse by others sectors, achieving this through advocacy in collaboration with climate change and WRM action groups

**Strategic Objective 3.2: Influence key civil society networks and movements to reflect aspirations of the poor for rights to WASH**

**Domain of influence:** The media and civil society networks and movements for social justice and rights play a significant role to promote and secure effective access of the excluded and marginalized to improved WASH services. India has a history of several successful media and civil society campaigns that have led to Acts of Parliament and national flagship development programmes. Examples include the Right to Information, the Right to Education, MNREGS, Self-Governance and Forest Rights. This is therefore a powerful channel to press for the rights of the poor, by addressing the causes of WASH poverty.

Building on their own agendas and objectives, these institutions and campaigns can be persuaded to further the interests of the poor – especially, the excluded and marginalized – to ensure effective access to improved WASH services. Working through such institutions and networks can not only help to reach a large number of the constituency of our interest, but help ensure that a larger coalition can effectively influence change that improves access to WASH services for the excluded and marginalized. It is hence an opportunity to be seized, and effectively utilized.

**Framework of Action:** Engagement with key civil society networks and movements, including media institutions and knowledge management networks is necessary. The objective is to influence these key civil society players to empower the excluded and marginalized so that they demand and access WASH services as their right. This will be done by

- Generating media discourse to build a public interest to act on the issues preventing equitable access to WASH services
- Building alliances for the Right to WASH through collaboration and joint action with networks and movements
- Ensuring that government flagship programmes integrate and implement equitable access to WASH services

**Indicators**

- NREGA, Education For All, NRHM, and JnNURM and key departments demonstrate exclusive provision for WASH services for the excluded and marginalized
- Evidence of action of WASH as a right with focus on excluded and marginalized by key civil society networks and movements

**Global Aim 4: We will further develop as an effective global organisation recognised as a leader in our field and for living our values.**

**Strategic Objective 4: We will live our values and further develop ourselves as an organisation that demonstrates leadership, and champion the WASH Rights of the excluded and marginalised.**

**Domain of influence:** WAI will promote WASH rights of the excluded and marginalised towards making WASH poverty history, for which it is imperative to change and re-organise as an organization.

**Framework of Action:** WAI will be guided by its mission, values, policies, systems, structures and practices. Global membership enables it to be more effective. The will be done by

- Demonstrating courage to take risk, to challenge difficult situations, be result oriented, take initiatives and be innovative
- A people management system directed by the organisational mission, the values and the Global People Strategy, focusing on achieving objectives and the development of staff as employees and individuals
- Fostering a culture of trust, learning and collective ownership.
- Continuing to uphold ethical standards for the organisation, detailing roles and support mechanisms, delegating and devolving authority on the basis of a democratic spirit and collective and individual accountability, and taking decisions based on strategic choice.
- Continuing to develop its domain expertise, strengthening its review and reflection processes through cross organisational groups to make informed choices, and promoting collective processes to take positions on issues concerning the excluded and marginalised
- Ensuring the effectiveness of its work, focusing on downward accountability and on the difference made in the lives of people through embedded systems mechanisms for collective processes and compliance to its policies.
- Making objective external evaluations to ensure value addition and cost effectiveness of its programmes and organisation to its stakeholders.
- Maximising the potential of resource mobilisation from a diverse range of constituencies, including volunteers, civil society, government, bi-lateral and multilateral donors and the private sector, but keeping in mind its ethical standards.
- Promoting innovative funding products to ensure stable, long-term funding.
- Basing its collaborations on the principles of equity, inclusion, mutual respect, complementarity and accountability.
- Developing JSCF as an Indian entity to optimise opportunities and take forward WAI values
- Developing mutual synergy in the values and policies and promoting mutual capacity building processes in its partnerships, which will be driven by Water Aid's principles of collaboration

#### Indicators

- Extent to which WAI/JSCF recognized as a champion of the WASH rights for the excluded and marginalised in India
- Extent to which WAI and its staff live up to their values
- Efforts made to improve WAI internal systems, democratic environment and processes

## 5. HUMAN RESOURCES

The CSOs for Global Aim 4 were developed through a series of internal consultations involving all teams and were discussed and agreed at the All Staff Meeting in July 2010. WAI will be guided by its vision, values and global people management framework, and the country context through being a member of the INGO Human Resources network in India.

### 5.1 STRENGTHS

WAI in its country strategy 2005-10, had committed to an enabling and learning environment, attracting staff from diverse background enriching the organisation and its programmes, and ensuring systems that encourage staff development and growth. During the past five years, WAI had grown to a 50-strong organisation, with five locations and four functional units: Programme Operations, Finance, Administration & Information Technology, Policy & Partnerships and Human

Resources. WAI also continuously updated itself on people policies and practices mainly guided by WaterAid's Global Principles but also learning from similar organisations in India. The team acknowledges that learning opportunities and exposures at WAI have been one of the best.

## 5.2 CHALLENGES

Staff retention has been a challenge and during the past two years the attrition has marginally exceeded the market average. But the loss of staff members in key positions at critical times affected the effective transfer of knowledge, continuity and institutional memory. Despite the major OE process during the current CSP period, and repeated commitment to adhere to systems, the WAI team was burdened by routine work and could not give adequate attention to improving HR systems. Reflection reveals that there is scope to improve management, learning and capacity building processes to bring greater focus, team synergy and relevance to the organization.

## 5.3 PLANS

During the new Country Strategy, HR policies and practices will continue to be driven by the core values, mission, and ethical standards of WAI. There is recognition and acknowledgement of the imperative to reorganize teams and systems in order deliver on the ambitious goals set out for the CS (2011-2016). Guided by the Global People Management Framework, WAI will strive to uphold global standards, while being relevant to the local context and learning from experiences. The HR team will effectively reinforce and redesign systems to maximize the potential of WAI staff. The people strategies, systems and structures will be sensitive and appropriate and will provide the WAI team with an environment conducive to achieving the CSOs, and the transition to a national entity.

HR planning will respond effectively to help WAI realise its Aims, and will strive to establish consistency between our mission and values and our policies, systems and practices. WAI's performance management system is in line with the global people strategy and will be strengthened by building a culture of trust and processes for downward accountability. WAI will strive to create an empowering and motivating environment by establishing organisational processes that will help WAI staff live their values. WAI will develop policies and practices to promote equity and diversity including a clear strategy for volunteer and intern engagement to optimise opportunities for branding and access of skills in the organisation and ensure an enabling working environment. WAI's pay and reward systems are already evolved in line with the global framework, and these will be updated continually when new developments arise.

## 5.4 DEMAND FORECAST

In order to acquire the professional competencies necessary to deliver the ambitious aims of the new country strategy WAI will carry out a demand assessment and create an appropriate resourcing plan. Recruitments will continue to be transparent and open. Preliminary assessments are that WAI will require additional positions in the Programming and the Policy & Partnerships units while a new Unit for Marketing and Communication will be needed to mobilize resources for country operations.

To be recognized as a champion of the right to WASH services of the excluded and marginalised, WAI will build on its domain expertise, by building internal capacities, or by resourcing specialised skills through recruitment, or other engagements and knowledge partnerships. WAI will continue to be

abreast of latest developments in the sector, through internally-organised staff schools, lecture series, discussions sessions, trainings, learning events and exposure visits. Thematic development areas will include updates on sector developments, enhanced skills on inclusive WASH technologies and approaches, rights-based programme designs and skills to engage with government and other stakeholders.

## 5.5 ADDITIONAL POSITIONS

**Programme Associates:** Building on from its current system of regional operation, WAI will lay emphasis on the state focus and presence. To strengthen the positioning in the states, gradually it will shift to a structure of programme officer for each state. The Job descriptions at all levels will be reviewed and revised to ensure contribution to realizing objectives under Aims 1, 2 3 and 4. Internal and external reviews has brought to light that there is overly emphasis on partner management and routine monitoring; reducing the time and attention needed to be invested on sector engagement and influencing. This gap will be addressed revised Job descriptions bringing greater focus to results and change objectives. A new short term junior position programme associate is proposed in the states (not exceeding 2) which are large or which by strategic choice demand greater attention, to support the programme officer with the routine project administrative work. The Programme Associates will support in tasks related to routine supervision, follow up visits, partnership contract management, and reports, ensuring increased emphasis on influencing and engagement with Sector and other development departments. WAI will consider 1 or maximum 2 programme associates, to be reviewed in the context of JSCF.

**Marketing and Communication:** Marketing and communications department will be established at the country office to achieve the strategic objective enhancing the national resource base. A two member team led by a Director is proposed for the CS period.

**Adviser Rights, Equity and Inclusion to WASH:** The Water Aid global strategy and the India CS have laid a significant thrust on right to WASH of the excluded and marginalised. The government is demonstrating a favourable shift with recent enactments of rights to education and right to information, and the sector policies boldly mention water and sanitation as a right. In this context it is important for WAI to have a senior position to anchor and facilitate this transition and help the organisation mainstream the right based approach and engage with other campaigns and movements to influence the right to WASH becoming a reality. The Policy and Partnership unit at the country office in Delhi will be strengthened with a new position of Adviser Right Equity and Inclusion, and help the process of mainstreaming right to WASH, and contribute to and gain from movements and campaigns working towards right to WASH.

## 5.6 Organisational Development

WAI will embark on an exciting and yet challenging transition from being an INGO to an Indian Entity. In broad terms, the current year 2010-11 will be an inception year to set the agenda for the four year period. JSCF will start operating as a business entity in real earnest from April 2011. The Country Strategy for WAI will be the guiding document for JSCF in terms of programme development and enhancing the potential impact of Water Aid operations in India (WAI and JSCF). There will be a gradual and evolutionary transition between WAI and JSCF that will be dependent of several internal and external factors. Clear road maps and milestones will be developed to manage transition. One of the critical milestone in managing transition will be for JSCF to obtain permanent status under the Foreign Contribution Regulation Act (FCRA). Due to certain a minimum time period requirement, the

earliest optimistic date for JSCF to become fully operational as a separate entity is estimated to be January 2014. JSCF will however pursue Indian fund raising especially from corporates and foundations, in line with the emerging programme priorities.

A structured process is currently underway to manage transition in a more holistic way. There will be a period of parallel operations for WAI and JSCF, which will entail fulfilling dual mandates and managing multiple expectations at different levels. The team and its set up, will need to identify and develop additional competencies and adopt new ways of working to co-habit activities of both entities and manage competing demands of two organisations, which will require a review of existing competencies, skill sets and probably the structure as well to ensure that these are fit-for-purpose. During the period August 2010 to March 2011, WAI is undertaking a strategic management exercise to operationalise JSCF. This process includes an objective analysis and assessment of new approaches and resource requirements to ensure that JSCF can play the role of a sector leader in India. Additional leadership skills and management competencies will, amongst other issues, be required to build on the good reputation of WAI and manage the process of evolving into a sustainable JSCF, which can add greater value to WASH goals in India and to contribute to the sector internationally.

A holistic well designed and structured plan will determine options for a new business model including a new structure to operationalise JSCF fully during the next planning period – 2011 to 2016. The realignment plan for JSCF will include renewed programmatic operations activities and approaches, new marketing and fundraising strategies and organisational development options in the areas of communication, human resources, financial accountability, information systems and partnership and collaborations. It is important to factor these significant business assumptions for WAI and JSCF in the planning processes for Water Aid UK and Water Aid International.

#### **WAI/JSCF will focus on**

- Developing individual knowledge and competencies, through a structured process and systems, to strengthen the collective domain expertise of the organisation to be an effective sector leader
- Promoting collective processes to ensure accountability, facilitate learning and growth and contribute to organisational development
- Developing partnerships and alliances so as to create synergies and provide inspirational leadership to the movements for rights of the excluded and marginalised
- Improving internal communications and ensuring adherence to people management standards
- Ensuring the health, safety, well-being and work-life balance of the entire team
- Deepening accountability and transparency
- Branding and change management to develop JSCF as an Indian entity to optimise national opportunities.

## 6. FINANCIAL RESOURCES

As part of CS development, WAI assessed the financial resource required to operationalize the CS. This was done based on several factors including (1) 5-year trends in budgets, programme planning and spending, programme growth, risks associated with programme growth and WAI share in the overall global allocations, (2) the external implications of inflation and exchange variations and (3) the history of per capita programme costs, allocations within various functional units and the expected cost on administration and overheads. The estimates include WAI commitments to improve internal systems, establish the national entity, staffing, staff and partner capacity building, improved IT facilities for enhanced communications, the proposed move towards state units and the setting up of a Marketing and Communications Unit to raise funds nationally. WAI will continue to maximise the current donor profile and explore new opportunities with ESAs. Based on these, three sets of financial projections have been made, with different bases and growth over time (Table 4).

Table 4: Five-Year Budget Projections of Financial Resources for WAI India

Projection	Currency	Finance Projection (in millions)				
		Year 1	Year 2	Year 3	Year 4	Year 5
Essential	£	4.0	4.4	5.5	6.4	7.0
	INR	280	308	385	448	490
Desirable	£	4.1	4.6	5.8	6.7	7.1
	INR	287	322	406	469	497
Ambitious	£	4.3	5.0	6.0	6.8	7.2
	INR	301	350	420	476	504

During the strategy period of five years, JSCF will mobilize a total of £ 6 million, which is approximately 20% of the total Country Programme resource requirement. This will be raised by JSCF in India from individuals, corporates, foundations and others. Tentative spread of the projection JSCF incountry fund mobilization across the five years is presented below. As JSCF develops its funding strategy, a clearer picture will emerge. In addition to the fund raising within the country, WAI will continue to mobilize 40% of the country budget from the sources like DFID, EU, and other international donors including corporates and individuals.

Table 5: JSCF Mobilisation from Local Resources - Share of Total Projection (in Millions)

% Of Total	Year 1	Year 2	Year 3	Year 4	Year 5
	15	20	20	25	25
£	0.6	0.9	1.1	1.6	1.8
INR	42	63	77	112	126

## 7. RISK MANAGEMENT

A number of internal and external risks have been identified, and steps planned to mitigate them. These are briefly discussed below and elaborated in Appendix 3.

### 7.1 INTERNAL RISKS

#### Organizational Risks

- Transition to JSCF: Lack of clarity among WAI staff on changes in governance structures due to the transition from WAI to the Indian-entity planned will limit its effectiveness. WAI plans to roll out a Change Management Strategy to keep staff informed and address their concerns.
- Staff capacity: WAI staff is critical to the success of the CS, largely because approach outlined in the CS is quite different from the one followed thus far by WAI, and hence requires a different set of skills. WAI senior management plans to address this issue through intensive capacity development programmes for existing staff and more aggressive new recruitment with carefully designed job descriptions, to ensure the right people are brought into the organization to fill critical capacity gaps.
- Partner selection: Poor partner selection can affect field-level work, since new WAI programmes will use a new rights-based approach. WAI will therefore improve the partner selection process and carry out intensive capacity building for partner staff, especially at lower levels.
- Documentation and information management: Programme successes for internal learning and advocacy, are poorly documented, shared and internalized, reducing their visibility. WAI plans to improve documentation, learning, sharing and advocacy by all means, including internet, newsletters, seminars and workshops.
- Funding: Insufficient programme funds will reduce their chances of success. But WAI plans to establish a Marketing and Communication Unit to raise funds in India to complement international funds.

## 7.2 EXTERNAL RISKS

### Stakeholder risks

- Government changes: Staff, policies and programmes of district, state and national governments can change anytime, either through elections or transfers. WAI will address this issue in its detailed Influencing Agenda, with Notes, Briefings and Presentations to all new staff for better continuity.
- Privatization: Water and sanitation services are liable to be privatized, especially in urban settings, with possibly adverse implications for the excluded and marginalized. WAI will develop a Position Paper on privatization and include this as a key item in its influencing agenda.

### Environmental risks

- Weather-related disasters, possibly due to Climate Change: Whether due to 'normal' variability or the effects of climate change, low-probability and high-impact weather phenomena such as droughts, floods, cloudbursts and landslides are becoming more frequent and intense. WAI will focus on disaster-resilient technologies and approaches through an Adaptation Agenda.
- Distress migration: Rural-urban migration often increases numbers in urban slums, which have inadequate WASH infrastructure to address such increased numbers. WAI will provide packages to CSPs being prepared under the new NUSP to safeguard the interests of the excluded and marginalized.

- **Growing inequalities:** Continued market-led growth is worsening inequalities, which will also affect access to sustainable WASH services by the excluded and marginalized. WAI efforts towards rights to WASH hopes to address this issue.
- **Terrorism:** Insurgency and cross-border terrorism in several states in the country affect the provision of sustainable WASH services, especially to the excluded and marginalized.
- **Population growth:** Further growth in rural and urban populations is inevitable and will further strain resources and infrastructure for WASH services.

There are two other risks, political and socioeconomic, which may prevent people from realizing sustainable access to WASH. However, WAI can do little to address these risks as an organization.

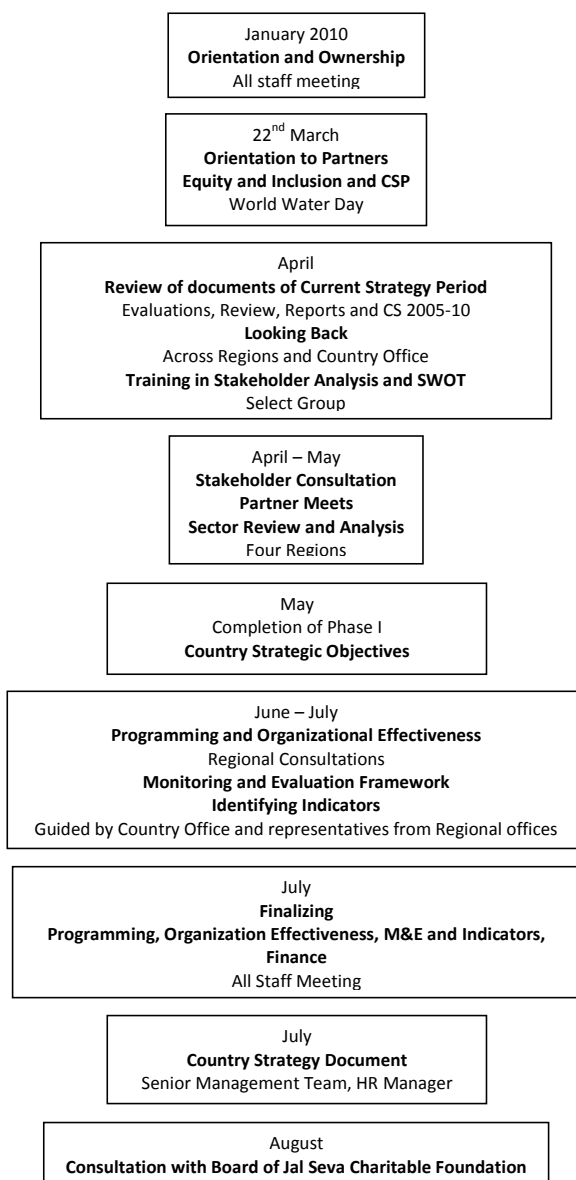
## 8. PLANNING, MONITORING & EVALUATION

Planning, Monitoring and Evaluation (PM&E) aims to improve accountability and internal learning and thus improve programme effectiveness and sector influencing. Key PM&E learning mechanisms are the rolling Multi-Year Plan and Budget (MPB), Updated PM&E manual and monitoring Framework, Partner Monitoring, Six-monthly Reports, Annual Reports, Donor Reports, the Mid-Term Review and End Evaluation of the Country Strategy, Thematic Research & Impact Studies and the User Number Validation Survey. The main purposes, methods, timing, responsibility and expected outputs of each of these were discussed extensively and finalized during the planning of the Country Strategy (see details in Appendix 6). A new fit-for-purpose PM&E system to collect qualitative and quantitative information on Quantity, Quality, Sustainability and Equity (QQSE) will also be developed, embedded and internalized within WAI and its partners. The PM&E framework, systems and processes will be rolled out systematically and staff and partners trained to use it effectively. Key steps to developing this framework are:

- Review of existing PM&E capacity, roles and responsibilities
- Design of a PM&E system in alignment with the Global systems and to capture QQSE data on activities, outputs, outcomes and impacts
- Roll out new user number protocols
- Update the PM&E system and the Programme Operations Manual

## APPENDIX 1: Country Programme Planning Process

The planning process started in January 2010 and ended in August 2010 (see chart below). It was designed and coordinated by the Chief Executive and HR Manager of WAI, directed by the SMT in consultation with the CMT and followed the Water Aid Global Guidelines but was customized to the Indian context. Key events were facilitated by Mr. Suresh Raghavan while Dr. A. J. James was the Resource Person for content management and documentation. The participation of resource persons at regional stakeholder consultations was largely coordinated by the Regional Offices.



## **APPENDIX 2: Projected number of people supported**

Over a period of 5 Years, the WAI Country Program will directly benefit 5.0 million excluded and marginalized Indians; and reach out to an additional 7.5 million Indians, also excluded and marginalized, through a well designed approach to influence governments to deliver WASH services where they are needed the most.

### APPENDIX 3: Risk Management Plan

Risk description	Controls in place to mitigate	Impact	Likelihood	Action Further controls needed to manage the risk with target dates	Risk owner
<b>STRATEGIC</b>					
Strategic Shifts made in the CSP - Programme plans not aligning with CSP	The consultative process of CSP development has ensured recognition of the changes needed in programme approaches and functioning - a preparatory phase is planned prior to CSP to revamp the system and capacities	High	Low	Competency mapping and gap analysis to build capacities at partners and staff Developing a clear operational plan and monitoring the same April 2011 Robust implementation of the PM&E system April 2011 MPB in alignment with CSP	CE, SMT
Partnership portfolio not capable of delivering on the strategic objectives	Mapping partners and their competencies, potential strategic contribution	High	Low	Review current partnerships and realignment according to CSP (by the end of March 2011) Review partners selection criteria by the end of December 2010	SMT/CMT
Transition to JSCF – change management not effectively addressed	Transition strategy being developed Clear communication internally and to external stakeholders	High	Medium	Key milestones to be monitored Responsibilities to be fixed and monitored for progress regularly	CE, SMT
Programme Operations not being relevant to the sector	Being on key national committees, to be updated and monitor changes in policies and approaches of the sector	High	Low	Review of Country Strategy Progress/relevance on an annual basis and midterm basis	CE & SMT
<b>LEGAL</b>					
WAI legal status operations risky	National registration. Compliance and statutory filing	High	Low	Along with transition, develop the plan for the WAI	CE, SMT

Risk description	Controls in place to mitigate	Impact	Likelihood	Action Further controls needed to manage the risk with target dates	Risk owner
New regulations or sudden change to existing statutes	Subscribing to appropriate bodies who have capacities to monitor and inform members Regularly monitoring for new developments and potential risks	Low	Medium	Monitor for possible changes which would impact WAI (Labour Financial, Foreign receipts, etc) Joining Donor Networks to get updates and common action Retaining expert advisers to guide new developments Enhance the profile of WAI	CS, SMT, CMT
<b>OPERATIONAL</b>					
Responsibilities not clear-leading overlap of roles	Review of JD and Responsibilities is initiated	High	Medium	Review, update and implement by March 2011 Performance management systems SMT/ CMT ToR for roles Framework for Decision Making and delegation	CE, SMT, CMT
Lack of partner capacity to effectively contribute to WAI strategic objectives	Mapping partners capacities and potential to contribute to strategically is work in progress	High	Low	Gap Analysis and capacity building plans to be developed Potential new Partnerships Partner Selection criteria to be reviewed and updated	CE & CMT
Loss of Institutional Memory	Clear exit plans and handover notes SMT review of strategic progress and plans in each team	High	Low	Second in command in each team Improve ongoing Documentation of process and team updates, Maintain competitive edge to enhance staff retention	CE & SMT HR

Risk description	Controls in place to mitigate	Impact	Likelihood	Action Further controls needed to manage the risk with target dates	Risk owner
Non compliance with WAI systems	Systems Review and its adherence six monthly. HR, Finance Manuals and systems in place	High	Low	Regular review and update of Finance, HR, Admin & IT and P,M&E systems and manuals Induction and re-induction to all staff on systems Comprehensive Systems Framework and accountabilities at various levels	CE & SMT, HR
Staff Health, Safety Security & wellbeing	H&S policy in place Communication and directives to staff through e-mail, mobile, etc	High	Low	Develop Security plan for WAI and update H&S and travel policy Staff Insurance (Accident, travel, health, etc) Monitor security situation in the country and in operational areas, Staff & Partner Training on Health, Safety & security issues Carry out regular risk assessments, update and implement appropriate precautions	CE & SMT HR
Inefficient management of contract funding	Ensuring alignment of projects with donor commitments Improved reporting mechanisms and accountability	High	Low	Capacity building of staff & partners and structured orientation on compliance and contractual commitments	CE, SMT, CMT
Ineffective internalisation of values –(learning culture, accountability, and others)	Work in progress	High	Medium	Develop systems and for internalisation of values Develop people & culture processes which facilitates living values	CE, SMT, CMT

Risk description	Controls in place to mitigate	Impact	Likelihood	Action Further controls needed to manage the risk with target dates	Risk owner
Loss of Organisational assets, Property	Annual Maintenance contract, and insurance in place for all assets Operational guidelines to staff in general and users in particular Guidance to all on Reporting theft & Loss Unique ID number for all assets Warranty documents, Title deeds verified & in safe custody Physical verification of assets and documented	Medium	Low	Regular review AMC & Insurance- six monthly Reorientation to all staff in use of equipments and IT systems Review and update of existing systems Regular update of fixed assets and spot verifications Sound policy and procedure on asset disposal	DFA & A&IT O
Data insecurity & Loss	Regular Data backup (both soft and hard), archiving with index and safe keeping Central server system with auto back up			Backup systems in place in all offices Key data backed up by respective staff weekly. Over all office data backup- monthly Review & audit of data backup	DFA & A&IT O
Weak and Ineffective organisational structure	Review of structure (annually)			Reviewed along with MPB preparation	CE, SMT & HR
<b>FINANCIAL</b>					
Non compliance with WAI accounts and financial standards and guidelines	Regular orientation staff and partners on WAI policies, procedures, rules, guidelines, and standards	High		Robust Monitoring Consistency in rules and guidelines Monitor for adherence and timely corrective action taken	DFA
Fraud, Misappropriation, Loss of cash	Limit for cash transaction and cash in hand Periodic physical count of cash balance Insurance for cash in transit	Low	Low	Communicate policies on cash and suspected fraud to all staff Monthly balance checks, signing cheques by two senior staff	DFA, SMT

Risk description	Controls in place to mitigate	Impact	Likelihood	Action Further controls needed to manage the risk with target dates	Risk owner
	Limits for cash in hand			members Operationalise “Delegation of power” policy Adherence to all Systems of checks and balance High value projects monitored by SMT	
Non compliance with Audit Recommendations	Recommendations are reflected in action plans with time line	High	Low	Communicate audit recommendations and fix responsibilities for action Review compliance status quarterly	CE SMT
Inadequate Internal Controls	Updated manual delineating internal controls in place & reviewed Partner/Project agreements ensuring expected standards are outlined (and action in event of failure)	High	Low	Check the review / comments by RD on financial reporting and make necessary correction, if required on regular basis Agreement to be reviewed as part of partnership and programme cycle and updated if necessary	DFA
Inefficient Fund management & Improper fund utilisation	Regular monitoring visits and checks Risk Ranking and analysis Regular review of cash flow & spending	High	Low	Ensure periodical financial reporting from Partners Variance analysis and feed back to partners Finance trainings for partners senior & finance staff Cash flow - regular review and update Exception report and partner risk analysis from all finance staff	DFA, CMT

Risk description	Controls in place to mitigate	Impact	Likelihood	Action Further controls needed to manage the risk with target dates	Risk owner
<b>INSTABILITY (POLITICAL &amp; SOCIAL)</b>					
Lack of adequate and or timely and consistent support for WAI programs	Regular interaction with Government at all levels	Medium	Medium	Structured engagement with Government, with contractual commitment Alternate plans in place, in case expected Government support does not come in time	CMT
Social and political unrest in some regions Political instability due to change of governments or threats to national security Outbreak of epidemic Hostile response from Government on RBA	Scanning of environment, Watching the situation in volatile areas and also in interaction with other players in such areas	Medium	Medium	Regular risk assessments reviews especially in collaboration with other agencies At the time of a major incident, maintaining low profile and minimal staff movements Alerts and advisory to staff Review and revise plan. Promote community based P, I, M and management mechanisms.	SMT/CMT
<b>HAZARDS</b>					
Economic recession and high competition may compel Donors to reduce support to WASH issues.		Medium	Medium	Branding Right to WASH as everybody's business Through communications and evidence from field establish the WASH link to child health and over all development Communication strategy	DPP SMT

Risk description	Controls in place to mitigate	Impact	Likelihood	Action Further controls needed to manage the risk with target dates	Risk owner
Privatization of water resources is a strong possibility in urban areas, and the poor may be affected	Risk recognised as part of MPB. Clear approach will be developed	High	Medium	The WAI Team will work with the Asia Desk to study international experiences, to understand the implications and develop position Ensure transparency and accountability in the development process and secure the rights of the excluded and marginalised	SMT
Climate change induced variations, Floods & Drought - Physical loss of programme outputs, damage to properties, disruption to programme plans	Technologies (Water supply/ Latrine etc) appropriate and resilient to floods	High	High	Disaster Prepared plans piloted in one state Learning to be adopted for similar regions Learning from other organisations on plan of preparedness and forging an alliance Developing a disaster action plan - as part of programme strategies Partners and Programme staff trained on disaster preparedness Emergency preparedness to protect Offices, staff and the works done	SMT, DPO CMT
Change in donor priorities / funding environment		High	Low	Develop funding strategy Start searching funding from more than one donor	CE, SMT
<b>PROGRAMME</b>					
Non achievement of targets and plans	Review of quarterly progress of work and utilisation Bi annual partner reviews	High	Low	Strengthen internal documentation progress, process and partners Review against SMART objectives &	CE, SMT

Risk description	Controls in place to mitigate	Impact	Likelihood	Action Further controls needed to manage the risk with target dates	Risk owner
	CMT reviews			indicators Community based monitoring Partners capacity building on internal monitoring mechanisms Regular CMT & SM reviews	
Lack of entry and exit policies	Clear exit strategies in place and reviewed and implemented	Medium	Low	Develop and operationalise strategies proposed	SMT, CMT
Improper targeting	Selection criteria Beneficiary profile at entry and exit policy; User number protocols	Medium	Low	Framework and guidelines on equity and inclusion Consistent understanding among staff and partners on excluded and marginalised	SMT, CMT
WAI Image affected by former staff and partners	Clear documentation of relations and reasons for separation	Medium	Medium	Risk analysis and partner engagement to minimise risks, and communicate document areas of concern Document process Preventing mechanism to avoid conflict situation Comprehensive partnership agreements	CE, SMT

## APPENDIX 4: SWOT Analysis of WAI

STRENGTHS	WEAKNESSES	OPPORTUNITIES	THREATS	CSP OPTIONS
<b>PROGRAMME EXPERIENCE</b>				
<ul style="list-style-type: none"> <li>~Strong programs and significant profile in 10 states</li> <li>~Diversity of work and models within WASH</li> <li>~17 years of service delivery experience – innovations and new approaches</li> <li>~Core Competency in               <ul style="list-style-type: none"> <li>• Working with the excluded and marginalised their voices in decision making</li> <li>• Significant experience of developing participatory behaviour change communication tools</li> <li>• Community owned/ managed models of WASH</li> <li>• Addressing critical gaps – demonstrating alternative local solutions (CMT in urban, MHM among tribals, Supply chains, sanitation fund, microcredit and sanitation, decentralized WQ, SWM, WASH For PLWHA, DW supply schemes, participatory monitoring</li> <li>• Citizen’s Action for accountability</li> <li>• WASH models for drought and disaster prone areas</li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>~Are we spreading ourselves too thin?</li> <li>~Weak Evidence base of past work</li> <li>~Experience needs to be documented and the lessons learnt need more synthesis organisationally</li> <li>~Project based or short term interventions</li> <li>~Limited urban experience</li> <li>~Lack of balance of role (implementer or influencer).</li> </ul>	<ul style="list-style-type: none"> <li>~Opportunities to synergise with others e.g. IPAP</li> <li>~Leveraging from National and State flagship programmes like NREGA, RTE, NRHM, and others</li> <li>~Governments strategic commitments to focus on village and household water security, strengthening the decentralisation</li> </ul>	<ul style="list-style-type: none"> <li>~Risk losing Quality &amp; Focus if we expand (in themes and geographical focus) more than we can manage.</li> <li>~Claims on attribution or contributions can be challenged for lack of evidence which may lead to weakening reputation</li> <li>~Lacking thrust on hygiene promotion</li> </ul>	<ul style="list-style-type: none"> <li>~“Cap” on what we have done well, consolidate, expand to appropriate scale and influence in concerted manner towards the “change”</li> <li>~In New CSP define our “niche” “core competence” and ring fence and be competitive to claim the niche role</li> <li>~Strengthen Documentation</li> <li>~Review the effectiveness of hygiene promotion programme and improve the tool to branding Hygiene and behaviour change</li> <li>~Build “Water Aid Package” as its brand identity</li> </ul>
<b>PARTNERSHIPS</b>				
<ul style="list-style-type: none"> <li>~Vibrant partnership enabling mutual learning</li> <li>~Partners who are leaders in the sector committed to shared vision</li> <li>~Managing Multi stakeholder partnerships (UNH, WAI, Partners, ULB)</li> </ul>	<ul style="list-style-type: none"> <li>~Partners overly engrossed in service delivery, capacity building focussed on service delivery and was not futuristic</li> <li>~Partnerships not</li> </ul>	<ul style="list-style-type: none"> <li>~IPAP Offers a good platform to build strategic and influencing partnerships</li> <li>~Partnerships with Governments and UNH</li> </ul>	<ul style="list-style-type: none"> <li>~Civil Society organisations seeing WAI more as a funding source</li> <li>~</li> </ul>	<ul style="list-style-type: none"> <li>~Develop Partnership Framework, with entry and exit strategies</li> <li>~Improve the partnership portfolio with</li> </ul>

STRENGTHS	WEAKNESSES	OPPORTUNITIES	THREATS	CSP OPTIONS
<ul style="list-style-type: none"> <li>of 4 cities) and IPAP</li> <li>~ Good mix of partnership port folio</li> <li>~ Strong local partnership models, and partners as leaders at local state and national levels</li> <li>~ Partnership review report and the recommendations</li> </ul>	<ul style="list-style-type: none"> <li>aligned to strategic vision and to programme cycle</li> <li>~ Exits poorly planned and managed</li> <li>~ Mostly local NGOs, some govt, less any other type of organisations or institutions.</li> <li>~ Risk is to become type cast as any other NGO or as duplicating the role of the Government</li> </ul>	<ul style="list-style-type: none"> <li>~ Potential for integrating WASH in other development and pro poor programmes, NRGPA, NRHM –</li> <li>~</li> </ul>		<ul style="list-style-type: none"> <li>better mix of partners with capacity to contribute to influencing</li> </ul>
<b>STRATEGIC VISION</b>				
<ul style="list-style-type: none"> <li>Clarity in direction through compulsive global vision raising the bar significantly</li> </ul>	<ul style="list-style-type: none"> <li>~ Missing the larger picture and purpose, focus on the means rather than the end</li> <li>~ Lacking alignment to programme and vision</li> <li>~ Limited engagement at policy level</li> <li>~ Relatively Small player, has not strengthened its position or the strategic advantage of bringing hygiene and sanitation on the agenda</li> <li>~ Inadequate visibility, successful models not showcased</li> </ul>	<ul style="list-style-type: none"> <li>~ Strong Global links with WEDC, Cranfield, IRC and LSTM, and donor contacts such as Gates can be used to strategic advantage</li> <li>~ Leveraging from the experiences of the past works and others works in the action states</li> <li>~ Very progressive policies, initiatives, direction by the Central Governments on WASH in the recent years</li> <li>~ Impressive detail of information accessible by all from Government and non Government sources</li> </ul>	<ul style="list-style-type: none"> <li>~ The National Commitments not percolating down to local government due to various blockages – knowledge, understanding, capacity and attitude being some</li> <li>~ Conflicting data, reducing credibility and reliability</li> <li>~ Policy statements not reflected in operational plans</li> </ul>	<ul style="list-style-type: none"> <li>~ The current strategy with focus on the change can correct this gap</li> <li>~ The engagement at Action, Knowledge and Exploration states can strengthen the national profile</li> <li>~ Brand building</li> </ul>
<b>RIGHTS, EQUITY AND INCLUSION</b>				
<ul style="list-style-type: none"> <li>~ Clear thrust on Rights, Willingness and commitment to make the shift to RBA</li> <li>~ Experience of Citizen's action</li> </ul>	<ul style="list-style-type: none"> <li>~ Lack of clarity on organisational position on issues that affect the excluded and marginalised</li> </ul>	<ul style="list-style-type: none"> <li>~ The general favourable environment in the country – governments and polity speaking</li> </ul>	<ul style="list-style-type: none"> <li>~ Lose credibility with Government</li> </ul>	<ul style="list-style-type: none"> <li>~ Building domain expertise and skills</li> <li>~ Evolve the content and framework for</li> </ul>

STRENGTHS	WEAKNESSES	OPPORTUNITIES	THREATS	CSP OPTIONS
<ul style="list-style-type: none"> <li>~ Exposure to experiences</li> <li>~ Structured induction</li> </ul>		<ul style="list-style-type: none"> <li>the language of human rights –</li> <li>~ recent landmark RTE Act integrates WASH and Right to Food movement</li> </ul>		<ul style="list-style-type: none"> <li>organisation's position and plan</li> </ul>
<b>ORGANISATION</b>				
<ul style="list-style-type: none"> <li>~ Motivated and competent team</li> <li>~ National Profile/ brand? WAI a pioneer in the country on integrated WASH</li> <li>~ Progressive and enabling internal systems</li> <li>~ National entity</li> <li>~ Commitment to consultative, collective internal processes to decision making</li> </ul>	<ul style="list-style-type: none"> <li>~ Over ambitious plans; scale exceeding capacity; not being realistic or reflective</li> <li>~ not doing our home work</li> <li>~ Systems too bureaucratic and top down??</li> <li>~ Risk is to fail to get the balance right – prudent vs. bold.</li> <li>~ Can lead to internal conflicts</li> <li>~ Time consuming, indecisive, lessens individual accountability.</li> <li>~ Needs skill and capacity building at all levels for informed decision making</li> <li>~ Potential conflicts in identity: national organisation vs. Global</li> </ul>	<ul style="list-style-type: none"> <li>~ Clear articulation of WAI's proposition on value addition, the niche role and the difference that WAI will make</li> <li>~ Can deliver bottom up accountability.</li> <li>~</li> </ul>	<ul style="list-style-type: none"> <li>~ Over dependence on WAI staff to reflect the views of the poor</li> <li>~ Low in country income for WAI's strategic interventions which may not have tangible outputs</li> </ul>	<ul style="list-style-type: none"> <li>~ Review and redesigns systems to facilitate change</li> <li>~ Develop processes which supports learning</li> <li>~</li> </ul>

## APPENDIX 5: Partnerships

WAI defines a partnership as collaboration, based on complementarity and synergy, between two or more organizations, to achieve agreed objectives that cannot be accomplished as effectively by individual organizations on their own. While a partnership does not necessarily involve transfer of funds, a formal relationship will be entered into through a Partnership Agreement or Memorandum of Understanding. Partnerships will have one or more of the following dimensions:

- Service Delivery
- Knowledge and research
- Advocacy and Policy Influence
- Capacity Building.

The types of Partnerships and their contribution to strategic objectives are listed in the Table below.

	Type of Partner Organization	Strategic Objectives	Key Focus Areas
1.	Local, District, State and National Government	<ul style="list-style-type: none"> <li>• Leveraging Government Program Funding for Water &amp; Sanitation infrastructure &amp; Total Coverage.</li> <li>• To strengthen inter-sectoral links to support decentralized local governance</li> <li>• To support State &amp; national level initiatives</li> <li>• Increasing program funding from in country sources or by direct efforts by 2015</li> </ul>	<ul style="list-style-type: none"> <li>• Scaling up</li> <li>• Mainstreaming Water Aid India's existing successful Model</li> <li>• Supporting Govt in their outreach and coverage efforts</li> <li>• Reform Principles</li> </ul>
2.	Local NGOs	<ul style="list-style-type: none"> <li>• Ensure that by year 2010 WAI program succeeds in enabling 245000 people to gain sustainable access to safe drinking water and 200,000 effective sanitation access every year</li> <li>• Maximizing impact of program work by situating projects in the poorest states and region of India</li> </ul>	<ul style="list-style-type: none"> <li>• Thematic intervention</li> <li>• Technology based</li> <li>• Institutional and process dimension</li> </ul>
3.	Networks	<ul style="list-style-type: none"> <li>• Ensure accountability and citizen action</li> </ul>	<ul style="list-style-type: none"> <li>• Collaboration &amp; Integration</li> <li>• Influencing stakeholders</li> <li>• Alliance building</li> </ul>
4.	International NGOS (UN Agencies, Save the Children Fund, etc.)	<ul style="list-style-type: none"> <li>• Knowledge base for promotion &amp; dissemination of best practices and advocacy at different levels</li> <li>• Policy improvement towards sustainable health &amp; hygiene benefits</li> </ul>	<ul style="list-style-type: none"> <li>• Influencing urban &amp; rural policies &amp; program</li> <li>• Increasing levered beneficiaries</li> <li>• Shared responsibilities and shared expertise</li> </ul>
5.	Private Sector	<ul style="list-style-type: none"> <li>• Development and fostering of an enabling environment for in country funding</li> <li>• Raising their accountability, sensitizing them on WASH etc.)</li> </ul>	<ul style="list-style-type: none"> <li>• Social Marketing</li> <li>• Affordable options for poor &amp; marginalized</li> <li>• Effective supply chain for sanitation</li> </ul>
6.	Academic and Research Institutions	<ul style="list-style-type: none"> <li>• Understanding on Poverty and WSH linkages</li> <li>• Strengthening WAI's Pro-poor programming strategy</li> </ul>	<ul style="list-style-type: none"> <li>• Research / study</li> <li>• Add value to knowledge to the water &amp; sanitation sector</li> </ul>

NGO Partnerships of the present CS will be the building blocks for the coming CSP. Projects and Partnerships in most of the States will come to an end in March 2011. Based on identified needs and strategic objectives, partnerships will be continued or discontinued. In case of continuation, the nature of partnership may change from working on Aim1 to Aims 2 and 3 of the CS. This will be planned along with the Partner, and supported by necessary development of skills.

The present status of Partnership with NGOs, and work in the field will be assessed as indicated in the following table. Mapping of future Partnerships during the CS will also be according to this listing, which will assist the WAI Team to assess growth and development of partnerships over the CS Period.

Exploration	Design	Implementation	Growth	Institutionalization

In case of discontinuation, a strategy for phasing out will be developed along with the partner, as also with the CBPs and local government. The content and focus of the phase out strategy will differ, but key elements will include management roles and responsibilities, financing mechanisms for operations and maintenance and asset maintenance. Once the Partnerships are finalized, WAI will maintain a chart highlighting the status of WAI's role.

	STATUS	EXAMPLES
1	LEADING	<ul style="list-style-type: none"> <li>- Influencing the Government of Uttar Pradesh to replicate our work to address Arsenicosis</li> <li>- Capacity Building of <i>Jal Sahiyas</i> in our project areas in Jharkhand</li> </ul>
2	COLLABORATING	<ul style="list-style-type: none"> <li>- Working with Central &amp; State Governments to develop Sanitation Plans for each State</li> <li>- Working with Municipalities in Tamil Nadu to develop City Sanitation Plans</li> </ul>
3	SUPPORTING	<ul style="list-style-type: none"> <li>- Networks working for river conservation</li> <li>- Working with FANSA to see that Civil Society Organizations initiate work to help communities realize rights to WATSAN</li> </ul>

As a build up to the new CS, WAI will undertake a review of Partnership Assessment, Agreement and Monitoring Frameworks, addressing the issues raised by the MTR of the CS 2006 – 2010 by Junction Sociale, and the study carried out by Ms. Therese Mahon, Regional Program Officer for Asia, Water Aid, UK.

## APPENDIX 6: Planning, Monitoring and Evaluation

PM&E Learning Mechanisms	Purpose	How to do	When to do	Who will be responsible	Output
<b>Rolling Multi Year Plan and Budget (MPB)</b>	To operationalize the CS To plan and budget for the next three year's activities with specific detail for the year ahead.	Consultation between partners and staff Review of programmes and projects Development of MPBs by Region and CO Consolidation by CO	Dec-Jan for Feb submission	Coordinated by PM&E Reviewed by CMT Signed off by CEO	MPB as per organizational guidelines Revised programme and project plans and budgets
<b>Partners Monitoring</b>	Track progress and make revisions to plans as necessary Identify and provide support to partners Review partnership progress Sharing and learning	field visits by POs and FOs Sample visits by CMT and M&E 6 monthly regional partners' meetings All partners and staff meeting Review of programme and finance reports from partners (monthly, quarterly, 6 monthly, annual) and field visit, donor reports.	Quarterly by POs and FOs (jointly every 6 months) Anytime as per plans or specific needs. As arranged by ROs WWD Ongoing	POs, FOs CMT, PM&E RMs and team SMT POs, FOs, RMs, PM&E	Reports Decisions for changes Capacity Building plans Learning, case studies documented Partnership development plans
<b>Six Monthly Reporting</b>	Track progress against indicators set for each strategic objective in the MPB and expenditure against budget Learning to be applied in MPB revisions	Regional partners' meeting Annual Reports by partners, Regional Reports consolidated by Regional Offices, country level report consolidated by Country Office	Oct- Nov for November submission	Coordinated by PM&E Reviewed by CMT Signed off by CEO	Six Month Report and budget revisions as per organizational guidelines
<b>Annual Reports</b>	Track progress against indicators set for each strategic objective in the MPB Learning to be applied	Regional partners' meeting Annual report format completed by partners,	April-May for June submission	Coordinated by PM&E Reviewed by CMT Signed off by	Annual Report as per organizational guidelines

PM&E Learning Mechanisms	Purpose	How to do	When to do	Who will be responsible	Output
	in MPB revisions	regional report consolidated by Regional Offices, country level report consolidated by Country Office		CEO	
<b>Donor reports</b>	To fulfil donor requirements for monitoring & support (if any)  Learning	Respective PO, FO and partner staff to produce – based on existing reports and any additional formats requested.	As per agreement	PO, FO and RM  DPO, DFA  P,M&E and FMPM  PFO WA UK (or relevant WA member)	Project outputs are achieved in time and targets are met as per donor requirements  Better documentation of the project activities and achievements  Possible revisions to funding agreement
<b>Midterm Review (MTR) of Country Strategy</b>	Measure and review progress and achievements towards meeting CS objectives and contribution to Global Aims at half way point.  Revisit relevance and appropriateness of CS objectives and indicators and revise if needed.	Participatory exercise involving partners, staff, Asia Regional Team, external stakeholders and consultants as necessary.	2013	Led by CEO with SMT	Report with high level assessment of progress of CS  Clear recommendations for changes in CS for the subsequent years.
<b>End Evaluation of Country Strategy</b>	High level assessment of progress against Country Strategy evaluating its outcomes and impacts.  Recommendations for next strategic period.	Participatory exercise involving partners, staff, Asia Regional Team, other WA members, external stakeholders and consultants as necessary.	2015	Led by CEO with SMT	Report of outcome and impact  Contributions to the global aims  Key learning  Recommend for improvements from programmatic, financial and organizational perspective.  Recommendations for the next Country Strategy

PM&E Learning Mechanisms	Purpose	How to do	When to do	Who will be responsible	Output
<b>Thematic research and impact studies</b>	For programme learning to improve effectiveness and for influencing.  To understand key themes including equity and inclusion, rights, sustainability, hygiene behaviour change etc.	Internally or externally as appropriate. Methodology to be determined by the purpose of the specific study.	As per MPB and CS plans	PM&E and relevant staff	Research reports or other documentation e.g. video, learning tools etc.  Learning resources  Advocacy messages and resources
<b>Validation survey for user numbers</b>	To validate access numbers and indicate user numbers.	Study involving statistically significant sample of reported number of people gaining access to water and sanitation.  With support from external consultancy	Nov – Dec for inclusion in annual report of following year.	PM&E	Validation survey  Indication on actual usage  Norms for estimating numbers

## APPENDIX 7: Detailed Programming Strategies

The details of the main stages of a generic regional WASH programme are as follows.

### **Critical appraisal**

Since the new WAI Country Programme is not starting from scratch, all work done in the past and lessons learnt within WAI Programmes and those of ESAs, INGOs, national NGOs and government agencies, within India and outside will form the building blocks. A thorough review of all approaches available in the national and international literature and the experience of WAI and other stakeholders in the past, their success and failures and reasons thereof, will therefore be carried out at the start of all programmes.

The objective will be to develop a thorough understanding of the various dimensions of the issue - including technical (i.e., technical specifications, costs, pros and cons of all available designs, water resource implications), social (i.e., the nature of community engagement required), institutional (i.e., the nature of institutional arrangements required to implement the package by different levels of governments and by other civil society organizations) and financial (the costs of the package) – so as to design an appropriate strategy for the region and the target community and justify it. This component will therefore be a combination of literature reviews, discussions, drafting of papers and notes, and presentations in seminars, workshops and conferences.

A key output of this component will be a comprehensive document on the themes of study, whether it is on integrated WASH for special categories of the excluded and marginalized, such as PwD or PLWHA, or in a special area, e.g., coastal areas, hilly areas, desert areas or urban slums, or any special issue of concern (e.g., addressing the problem of manual scavenging).

### **Planning**

While the critical appraisal will throw up ideas on planning the engagement, dedicated time will be needed to evolve the implementation plan most appropriate for the particular area of engagement, whether it is an urban slum or tribal area or semi arid area. Therefore a comprehensive and detailed plan will be developed, with clear-cut objectives, expected outputs, activities, time lines, milestones, responsibilities and budgets. Since the more thorough the planning is, the easier is implementation, this component will receive special attention. Also, planning will be done jointly with partner organizations, so that there is clarity and ownership of the programme to be implemented. The resulting plan document will also address the post implementation activities of influencing and should be of international quality (for instance, equivalent to a World Bank or ADB Project Implementation Plan (although being based on secondary research and without high-powered consultants, it need not be as expensive).

### **Implementation**

While the routine processes of programme oversight (e.g., activity planning and monitoring, expenditure review, financial 'hygiene') will be delegated to junior staff, the more important functions of regional staff during this critical component will be to constantly evaluate and analyze implementation success and make necessary mid-course corrections and ensure that the implementation aim of demonstrating an integrated WASH package for that particular excluded and marginalized community or that particular area is met.

Issues that will be constantly borne in mind throughout implementation are: (1) ways in which similar implementation can be carried out by government staff with or without support from NGO partners; (2) the actual empowerment of the communities to effectively demand services in future and (3) the vital role of monitoring and evaluation in assessing implementation progress and making corrections; and (4) the sustainability of

interventions even after programme completion – as these would be areas to which the regional staff would be inviting officials and other visitors to come to and witness the integrated package in operation.

The output from this component will be a thorough and comprehensive understanding of the various dimensions of the package being tested and demonstrated through the implementation and, perhaps more importantly, a permanent and practical demonstration of the various components of the package and its benefits.

#### **Documentation and dissemination**

Realizing that regular and good-quality documentation is as vital as good as a successfully implemented programme, the regional offices will make sure that process monitoring, qualitative and quantitative feedback and special studies are conducted as planned. These will be written up for an international audience and 'versioned', i.e., used to produce multiple outputs, such as two-page flyers, longer Field Notes, articles in popular magazines and for academic journals and put up on the websites. To support this, there will be a clear and detailed dissemination strategy.

#### **Influencing**

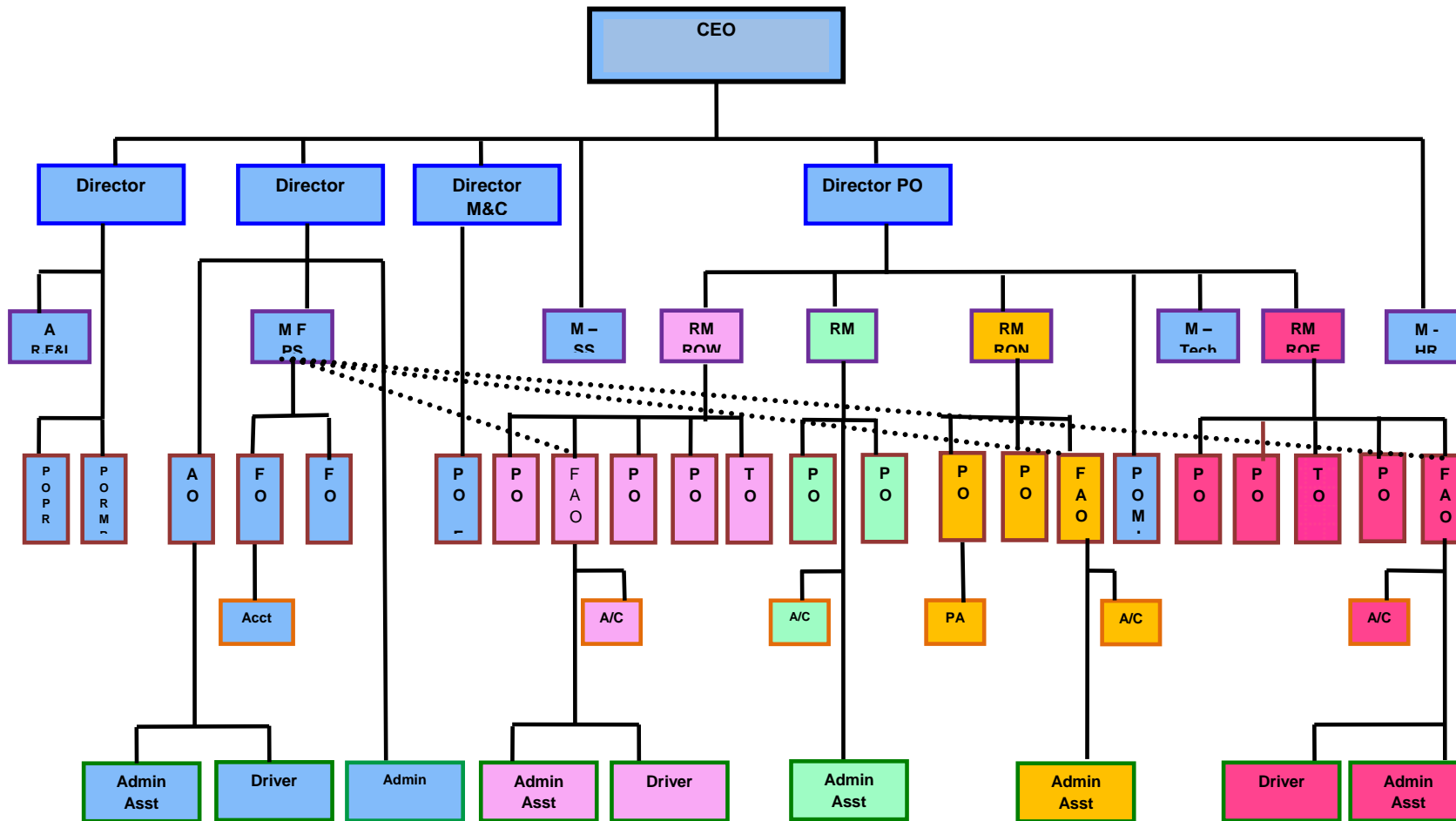
The objective of influencing is to ensure that, in each region, every excluded and marginalized community realizes safe WASH services as their right. This will require working with governments, CSOs and their networks, the media, academic and research institutions and the private sector. This is the final aim of all the previous components, but influencing could be done even after the Critical Appraisal for issues that will not be part of programming in that particular region. For instance, a regional team that is not working on PLWHA in a state because this is not a current priority of the government in power (even though there may be a substantial number of PLWHA in the state), will have to be fully aware of the programming possibilities – just in case a new government or official with an interest in PLWHA calls on WAI for suggestions. Given that WAI wishes to be known within the sector leader as a champion of the excluded and marginalized, it will be imperative that all Regional Teams are aware of the literature, the key issues, and programming possibilities so that they can make cogent arguments and good presentations which can be backed up by a demonstration area (even in another state), where other stakeholders can see the results of the approach for themselves.

#### **Assisting Scaling Up**

The requirements for scaling up may be very different from planning for own implementation. The former requires an in-depth analysis and understanding of the weaknesses and opportunities within the existing system of government implementation, so as to suggest ways of scaling up a new approach effectively. Scaling up begins with (state-level) policy direction (even an Executive Order), requires the allocation of funds and the specification of institutional roles and responsibilities and goes on to operational issues such as supply chain management, fund-flow, monitoring and reporting. For new and special programmes for the excluded and marginalized, all these issues will have to be thought through by the regional staff, with support from interested resource persons from within the government. A usual problem with most development projects is that they tend to end soon after the final evaluation and report, with the assumption that their responsibility ends with demonstrating 'good results' on the ground. Scaling up these results into state policies and programmes is the responsibility of the government, but regional programming will allocate time and resources to do the preparatory work for scaling up to ensure that the good work on the ground is translated into effective government programmes.

Two possible combinations of these components are: (1) the complete set and (2) the first and last. In cases where the complete set is done, these do not have to be sequential. In practical terms, regional programming will be a combination of both, since every region cannot develop a package for every excluded and marginalized community. There will therefore be a well-planned process of sharing information so that all regional teams have a good understanding of all packages.

## APPENDIX 8 Organogram



	Designation	Office	Location	Grade	Number
1	Chief Executive	CO	New Delhi	1	1
2	Director Policy & Partnership	CO	New Delhi	2	4
3	Director Finance & Administration	CO	New Delhi		
4	Director Programme Operations	CO	New Delhi		
5	Director Marketing & Communications	CO	New Delhi		
6	Manager – Technical Support	CO	New Delhi	3	9
7	Manager Finance	CO	New Delhi		
8	Manager Human Resources	CO	New Delhi		
9	Manager Strategic Support	CO	New Delhi		
10	Adviser Rights, Equity & Inclusion	CO	New Delhi		
11	Regional Manager West	ROW	Bhopal		
12	Regional Manager East	ROE	Bhubaneshwar		
13	Regional Manager South	ROS	Bangalore	4	2
14	Regional Manager North	RON	Lucknow		
15	Programme Officer Policy Research	CO	New Delhi		
16	Programme Officer- Research & Media Relations	CO	New Delhi		
17	Programme Officer – Monitoring & Information	CO	New Delhi		
18	Programme Officer – Fund Raising	CO	New Delhi		
19	Administration & IT Officer	CO	New Delhi		
20	Finance Officer – CM & IO				
21	Finance Officer Partner Monitoring				
22	Finance & Administration Officer				
23	Programme Officer	ROE	Bhubaneshwar		
		RON	Lucknow		
		ROW (3)	Bhopal		
		ROE (3)	Bhubaneshwar		
24	Technical Officer	ROS (2)	Bangalore		
		RON (2)	Lucknow		
		ROW ROS	Bhopal		
		ROE	Bhubaneshwar		
31	Admin coordinator	CO	New Delhi	5	1
32	Programme Associate (1 or max 2 states)	TBC	TBC		2
33	Accountant	CO	New Delhi	5	5
		ROW	Bhopal		
		ROE	Bhubaneshwar		
		ROS	Bangalore		
		RON	Lucknow		
34	Administrative Assistants	CO	New Delhi	6	5
		ROW	Bhopal		
		ROE	Bhubaneshwar		
		ROS	Bangalore		
		RON	Lucknow		
35	Driver	CO	New Delhi	6	3
		ROW	Bhopal		
		ROE	Bhubaneshwar		
	<b>Total</b>				<b>52</b>

## APPENDIX 9 Organisational Development

### Domain Expertise

WAI recognises that leadership is beyond titles and will develop processes wherein staff take measured risks, accept failures and learn from them, courageously take value-aligned positions and inspire partners and stakeholders by example. To be recognized as an organisation that champions the right to WASH services of the excluded and marginalised, WAI will build on its domain expertise through internally-organised staff schools, lecture series, discussions sessions, trainings, learning events and exposure visits. Thematic development areas will include updates on sector developments, enhanced skills on inclusive WASH technologies and approaches, rights-based programme designs and skills to engage with government and other stakeholders.

### Collective processes for learning and organisational development

Existing WAI systems of team meeting, thematic and functional groups will be revitalized with systems, framework of action and terms of reference that give space and direction for regional, thematic and functional teams organised around expertise and skills to contribute to organisational learning and informed decision making. The thematic groups will anchor consultative process for analysis and developing WAI's positions in key issues affecting the rights of the excluded and marginalised to WASH services. WAI's commitment to decentralization will be achieved through a structured organisational process which includes developing policies on devolution and delegation and mechanisms that enable decision-making at the point nearest to the place of action. As decision making will be driven by strategic purpose, staff capacity for decision-making will be strengthened.

### Partnership development

WAI will play the role of a facilitator and supporter in all partnerships, and continue to enhance capacities of partner organisations and inspire them to assume leadership roles in the movement for rights of excluded and marginalised. The WAI partnership framework will be a guide to progressively creating synergies between the various partnerships and alliances.

### Internal communications

WAI will review and improve the Internal Communications Framework through a consultative process in order to create high levels of staff engagement and participation, a sense of being valued and improved work-life balance. WAI will introduce HR Audits and ensure adherence to standards.

### Health safety and wellbeing

WAI will continue to uphold in spirit the health and safety policy, developing guidelines and systems for working in areas with high security issues, exploring options of providing insurance cover for staff with critical illnesses and adopting policies in line with the Global Framework and the local context.

### Organisational Development

Deepening accountability and transparency: WAI will build on the systems review, to improve and develop new processes and mechanisms that facilitate adherence to systems and compliance to policies to ensure programme and organisational effectiveness. WAI positions and communications will help to collaborate effectively and foster relationships.

Branding and Change Management: WAI will develop JSCF as an Indian entity to optimise national opportunities.

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