



# ISSUES FOR DISCUSSION

## KEEPING THE NUSP EFFORT ON TRACK; A CASE FOR ACTIVE MONITORING



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Ministry of Urban Development  
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TOWARDS CITY WIDE SANITATION

ISSUES  
FOR DISCUSSION



WORKING PAPERS



POLICY BRIEFS



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*How coordinated and widespread have the different initiatives to improve urban sanitation been across states and cities? What possible steps may be taken by the Government of India to be actively support the National Urban Sanitation Policy (NUSP)? Five years since the launch of the NUSP, this note explores the issue.*



## NATIONAL URBAN SANITATION POLICY APPROACH

The National Urban Sanitation Policy (NUSP) was released by the Government of India's Ministry of Urban Development (MoUD) in the year 2008. The Policy was born out of recognition that an urgent, focused and countrywide effort is required to improve urban sanitation levels in India. The Policy aims to achieve the vision (reproduced below) of a country with adequate levels of sanitation through a coordinated effort of the three tiers of government.

*“All Indian cities and towns become totally sanitized, healthy and liveable and 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.”*

A careful reader of the NUSP would notice that the NUSP is an exhaustive set of policy goals presented in a logical manner, which when realized should take the country closer to achieving the vision. This is so because, the responsibilities of charting and traversing the path towards achieving these policy goals lies not so much at the central government alone, but a coordinated effort of all three levels of government. The NUSP envisages this effort to be kicked off at the state and city levels through the preparation of 'State Sanitation Strategies' and City Sanitation Plans.

### OBJECTIVE

One of the implicit assumptions of the NUSP's two tiered effort in strategizing/planning to achieve the policy goals is that the exercise would automatically bring on increased effort and focus (from the state and city governments) to achieve what is laid out in the strategy/plan. If this logic is extended in the reverse direction, then the Government of India should continue to be actively engaged in monitoring i) how the different central (government) initiatives can be coordinated to focus on achieving the desired policy outcomes, ii) whether the initiatives are being taken forward with equal interest by all states in the country. How coordinated and widespread have the different initiatives to improve urban sanitation been across states and cities? What possible steps may be taken by the MoUD to be actively involved in the NUSP effort? Five years since the launch of the NUSP, this note explores the issue.

This analysis follows a simple approach. It identifies the major programmes that are anchored in the Ministry of Urban Development with a direct/ indirect link to sanitation. The progress of these activities (as reported) are then compiled and represented in a single table. The table facilitates the analyst to review how these efforts have performed in line with the policy objectives. It also helps the analyst identify areas where more focus is required to achieve better convergence with the policy.

Here we have identified three major activities coordinated/ initiated by the MoUD to be included in the analysis.

- First among them is the facilitation and monitoring of the preparation of city sanitation plans and state sanitation strategies across the country.
- The second is the coordination of the large centrally assisted programme the JNNURM. The two sub schemes UIG and UIDSSMT have provided finances for either building new or improving existing sewerage systems in over 130 cities and towns across the country. This has emerged as the largest source of funding of sanitation infrastructure in India.
- The third activity included in the analysis is the Service Level Benchmarking (SLB). This initiative encourages the state governments to notify information on twenty eight performance indicators (and the targets for the following year) from the service sectors of water supply, sanitation, solid waste management and storm water management in all the urban local bodies within the state. The effort is expected to lay a foundation for systematic collection of data on municipal service levels.

The data on the cities and states that have prepared their respective plans and strategies have been accessed from a list compiled by the Ministry and made available on their website. The data on the sewerage projects sanctioned as part of the two JNNURM sub schemes have been compiled from the list of projects made available on the website and does not include the projects sanctioned under the transition phase of the Mission in 2013. The list of states that have declared their service levels across the four municipal services for the year 2012-2013 is not readily available and therefore the list used here is drawn from the databook released by the Ministry on the 1400 ULBs who declared their service levels in the year 2010-2011.

More cities and states could have prepared plans/ strategies or declared the service levels between now and from when the data used here was compiled. Nevertheless one may expect the analysis to highlight relevant insights of the Ministry's initiatives to achieve the NUSP vision.

## THE IMPORTANCE OF STATE STRATEGIES

The data used in this analysis has been presented in the table in the following page. A quick glance down the first column would make it clear that after close to five years of launching the effort only in 13 (among the 28) states have cities either prepared or are in the process of preparing a City Sanitation Plan. Amongst the states where cities have prepared plans, less than half among them (six) have prepared or are involved in preparing their respective State Sanitation Strategies as per the reported data. But if one were to include six more states which our research indicates are also preparing SSSs then the number goes up to 12, with ten states having both SSS and cities with CSPs.

The role and importance accorded to the preparation of 'State Sanitation Strategy', in the NUSP hardly needs to be elaborated. The preparation of the state sanitation strategy is expected to identify and begin work on several aspects key to achieving the policy vision; including (but not limited to) reforms in municipal staffing, achieving clarity on the suitable role for parastatal bodies currently involved in developing sanitation infrastructure and service delivery, providing financial support for implementing the city sanitation plans, identify capacity deficits and make suitable legal and regulatory changes. It is encouraging that in ten states the CSPs have (or will have) SSSs to support and complement them. Considering their important role, the Ministry needs to encourage other states to take up preparation of SSS and also actively be involved in tracking their preparation.

## CSPs FOR ALL CITIES

The third and fourth columns indicate how many cities (across states) that have received funding to construct or improve sewerage systems under the MoUD administered JNNURM have prepared (or taken up preparing) CSPs. Among the large cities which received funding under the UIG sub scheme, only 20 cities among the 47 have either prepared or reported the preparation of city sanitation plans. Among the smaller cities part of the UIDSSMT sub scheme only 18 among the 93 cities have reported preparation of CSPs.

Why have some important cities (even within the states that have begun sanitation planning) not undertaken the preparation of CSPs? With the limited data available here it would be irresponsible to speculate why. But the important point is that all cities need to draw out their plan to achieve the policy vision through the preparation of CSP. CSP preparation should in no case be seen as an alternative planning process to be undertaken when

the city has no sewerage system. To ensure that cities and states have clarity on this, the MoUD may follow the approach adopted by the Ministry of Environment and Forests (MoEF). The MoEF in their document Guidelines for Preparation of Projects under National River Conservation Plan (2010) has a chapter dedicated to city wide sanitation planning and clearly argues for submitting proposals which are consistent with this plan for accessing funds for sanitation infrastructure, tracking their preparation.

## SCALING UP THE EFFORT AND WAY FORWARD

A quick glance down the last column in the table would indicate that only 12 among the 28 states had declared the service levels of the municipal services for 2010-2011. This includes the 11 states that have CSP cities and Gujarat. Now if one were to look at the entire table, it may be summarized as thus. 7 states have CSPs, SSSs and had declared service levels in 2010-2011. An additional 6 states have CSPs and had declared their service levels. But worryingly, the table also indicates that 14 among the 28 states have not actively responded to either the preparation of CSPs and SSSs or declared their service level benchmarks. This group of states include Punjab and Haryana, seven North Eastern states (except Tripura), Bihar, Jharkhand, West Bengal, Goa and Jammu Kashmir. Clearly the initiatives have not been taken up with the same enthusiasm in all the states.

Preparing CSPs, SSSs (according to the standards and following the processes suggested in the NUSP) and declaring service levels are all activities which would require city and state governments to identify and channel considerable time, resources and effort from both within themselves and outside. As the Ministry attempts to widen these initiatives and scale up investment in urban sanitation, it needs to spend time on understanding two issues. i) What combination of factors drove the cities and states to undertake the new initiatives like City Sanitation Planning and State Sanitation Strategies? ii) Also, five years since the launch of the NUSP, why have half the states in the country not joined the initiative to take up integrated sanitation planning? To understand these issues better and help the states overcome any challenges, the Ministry would have to be in active communication with the state and city governments. The progress made so far by Ministry in bringing attention to urban sanitation and initiating important processes like city level planning and systematic collection of service level data in different states and cities is appreciable. This success calls for more effort and active involvement going forward.



### At a Glance: Progress of the Initiatives; across the States

State	SSS prepared	No. of Cities with CSPs	No. of cities with CSPs among those who have sewerage projects (UIG)	No. of cities with CSPs among those who have sewerage projects (UIDSSMT)	Whether SLB declared for 2010
Andhra Pradesh*	No	13	1/4	2/8	Yes
Chattisgarh	Yes	6	0/0	1/1	Yes
Karnataka*	No	9	1/2	0/10	Yes
Kerala*	No	26	2/2	1/1	Yes
Madhya Pradesh	Yes	18	0/1	1/7	Yes
Maharashtra	No	37	7/7	3/15	Yes
Odisha	Yes	8	1/1	1/1	Yes
Uttar Pradesh	Yes	10	4/7	0/5	Yes
Uttarakhand	No	4	1/3	1/1	No
Tamil Nadu	Yes	1	0/3	0/15	No
Tripura	Yes	2	0/0	0/0	Yes
Himachal Pradesh*	No	1	1/1	0/0	Yes
Rajasthan*	No	30	2/2	8/13	Yes
Arunachal Pradesh	No	0	0/0	0/0	No
Assam	No	0	0/0	0/0	No
Bihar*	No	0	0/1	0/0	No
Goa	No	0	0/0	0/0	No
Gujarat	No	0	0/5	0/0	Yes
Haryana	No	0	0/1	0/4	No
Jharkhand	No	0	0/0	0/0	No
Jammu & Kashmir	No	0	0/2	0/0	No
Manipur	No	0	0/0	0/0	No
Meghalaya	No	0	0/0	0/0	No
Mizoram	No	0	0/0	0/0	No
Nagaland	No	0	0/0	0/0	No
Punjab	No	0	0/2	0/7	No
Sikkim	No	0	0/1	0/4	No
West Bengal	No	0	0/2	0/1	No
<b>6 State Strategies</b>		<b>165 CSPs</b>	<b>20/47</b>	<b>18/93</b>	<b>12 States</b>

The list of the cities preparing CSPs has been accessed from the website of the MoUD: <http://www.urbanindia.nic.in/programme/uwss/CSP/CSP.htm> on 23/08/2013. The list of states preparing SSSs has been accessed from [http://www.urbanindia.nic.in/programme/uwss/slb/List\\_Of\\_SSS\\_Cities.xls](http://www.urbanindia.nic.in/programme/uwss/slb/List_Of_SSS_Cities.xls) on 21/02/2014.

The lists may not be exhaustive. The list of sewerage schemes funded under the JNNURM has been compiled from data published by the MoUD. The list does not include projects sanctioned after 2012.

\*CPR research indicates that these six states have also initiated the preparation of SSSs.





## ABOUT SCI-FI SANITATION

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Through research, SCI-FI: Sanitation aims to inform and support the formulation and implementation of the Government of India's urban sanitation programmes and investments. The research program will study two cities in two different states to understand the reasons for poor sanitation and inform and support the state and city governments in modifying their urban sanitation programs so that they are supportive of alternative technology and service delivery models, with the goal of increasing access to safe and sustainable sanitation in urban areas.

## ABOUT THE SERIES

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**ISSUES FOR DISCUSSION:** This series presents case studies and other research work that raises questions as well as provides lessons for policy makers, administrators, managers and technocrats tackling similar challenges in urban areas. By promoting discussion among all stakeholders, the series hopes to inform the evolution of solutions to these obstacles.

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