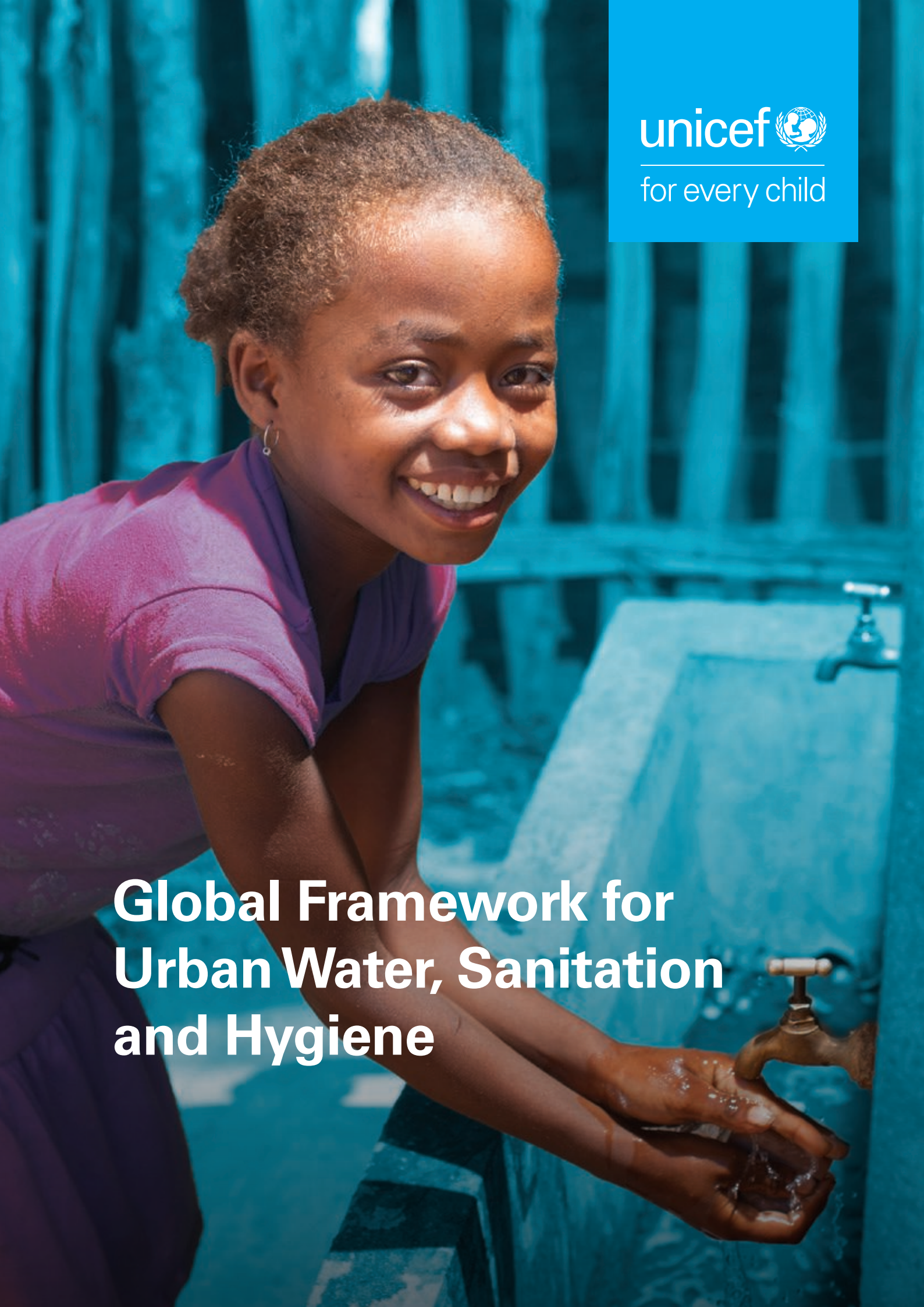

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Global Framework for Urban Water, Sanitation and Hygiene

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List of acronyms

BCC	-	Behaviour change communication
CBO	-	Community-based organisation
C4D	-	Communication for development
CLUES	-	Community-led urban environmental sanitation
CWIS	-	Citywide inclusive sanitation
DFID	-	Department for International Development, United Kingdom
FSM	-	Faecal sludge management
IDPs	-	Internally displaced persons
IEC	-	Information, education and communication
INGO	-	International non-governmental organisation
MICS	-	Multiple indicator cluster survey
NGO	-	Non-governmental organisation
ODF	-	Open defecation free
SDG	-	Sustainable Development Goal
SMEs	-	Small- and medium-sized enterprises
U-CLTS	-	Urban community-led total sanitation
WASH	-	Water, sanitation and hygiene
WSUP	-	Water and sanitation for the urban poor

Executive summary

The world is rapidly urbanising, swelling impoverished urban settlement populations – exacerbating exclusion and inequality in access to water, sanitation and hygiene (WASH) services for the poorest and most marginalised children. As of 2018 an estimated 4 billion people, or 55 per cent of the global population, were living in urban areas. A third of them were children, and about 300 million of these children were living in slums – the worst form of informal settlement. The need for an increased focus on urban WASH is driven by this increasing number of vulnerable children and their families living in poor urban environments across the world. It is only through an increased emphasis on these populations that the world can hope to achieve the objectives of the Sustainable Development Goals (SDGs), and to reach the most vulnerable children, wherever they are.

While children in urban areas generally have better access to WASH services compared with children in rural areas, deep and profound inequalities within urban areas mean that the poorest urban children are being left behind, often with little or no access to WASH services. Many children living in slums and other impoverished urban settlements are being deprived of their right to water and sanitation, with serious implications on their survival, growth and development.

UNICEF is increasing its focus on urban WASH as part of its global mandate to advocate for the progressive realisation of children's rights, to work to help meet their basic needs and to expand their opportunities to reach their full potential. Increasing access to WASH services for marginalised urban poor populations is an important frontier for UNICEF's work, and one which needs to be strengthened. For UNICEF to be a strong advocate for the millions of marginalised children and their families in need, especially in the context of 'leaving no-one behind', its work on urban WASH will require new thinking, new ways of operating, and different approaches to programme design.

The goal for UNICEF urban WASH programmes is to promote equitable access to WASH for the poorest and most marginalised populations. This document sets out UNICEF's *Global Framework for Urban WASH* to help the organisation achieve that goal. The Framework is intended to create a common vision for UNICEF's approach: it will enable country, regional and global WASH teams to have a clear and shared sense of direction and purpose, as the organisation increases its engagement supporting the most marginalised urban children and their families. Access to water and sanitation is a human right: The *Global Framework for Urban WASH* represents how UNICEF can continue building on its decades of WASH expertise, to help realise those rights for every child in urban areas.

The Framework is based on UNICEF's experiences in urban WASH programming in over 50 countries. It represents a clear set of expectations and forms the basis for the organisation's work on urban WASH in the coming years. The Framework complements UNICEF's *Strategy for Water, Sanitation and Hygiene (2016-2030)*[1] and provides common strategic vision for UNICEF's engagement in urban WASH programming across global, regional and country levels – including an overview of opportunities and entry points for expanding UNICEF's reach and influence in this area. It provides information on requirements for mainstreaming urban WASH in existing UNICEF programmes, and describes the partnerships that will help maintain effective programming as engagement with urban WASH programming increases.

The *Global Framework for Urban WASH* has been structured around three areas of support: sector-level, service-level and user-level support, with suggested entry points and activities for engagement in urban WASH. The Framework also considers three different urban contexts: urban slums, small towns and urban areas in humanitarian and protracted crisis settings, focusing on areas where UNICEF can add value, in line with the organisation's equity agenda.

'Sector-level support' comprises of UNICEF interventions at the national (sector) level, aimed at supporting government and partnering with other organisations to strengthen the overall enabling environment for the successful delivery of effective, sustainable and inclusive urban WASH interventions. UNICEF will use its experience, influence and convening power to provide support in many areas for urban WASH programming, including: evidence generation and analysis; policy

1 United Nations Children's Fund, *Strategy for Water, Sanitation and Hygiene 2016-2030*, UNICEF, New York, 2016. Available at: https://www.unicef.org/wash/files/UNICEF_Strategy_for_WASH_2016_2030.PDF

and strategy development; institutional support and co-ordination; sector financing; capacity development; and planning, monitoring and review.

'Service-level support' encompasses UNICEF's work to improve the delivery of water, sanitation and hygiene services to the urban population, with a clear focus on the poorest and most marginalised children and their families. This will require working with the diverse range of formal, informal, private, or public service providers, as well as regulators which operate in different urban contexts. The priority entry points for this type of support will include: supporting service delivery mechanisms to reach the poorest populations where no-one else is able to do so; supporting appropriate demand and supply approaches for urban WASH; and promoting poor-inclusive financing strategies for inclusive urban WASH services.

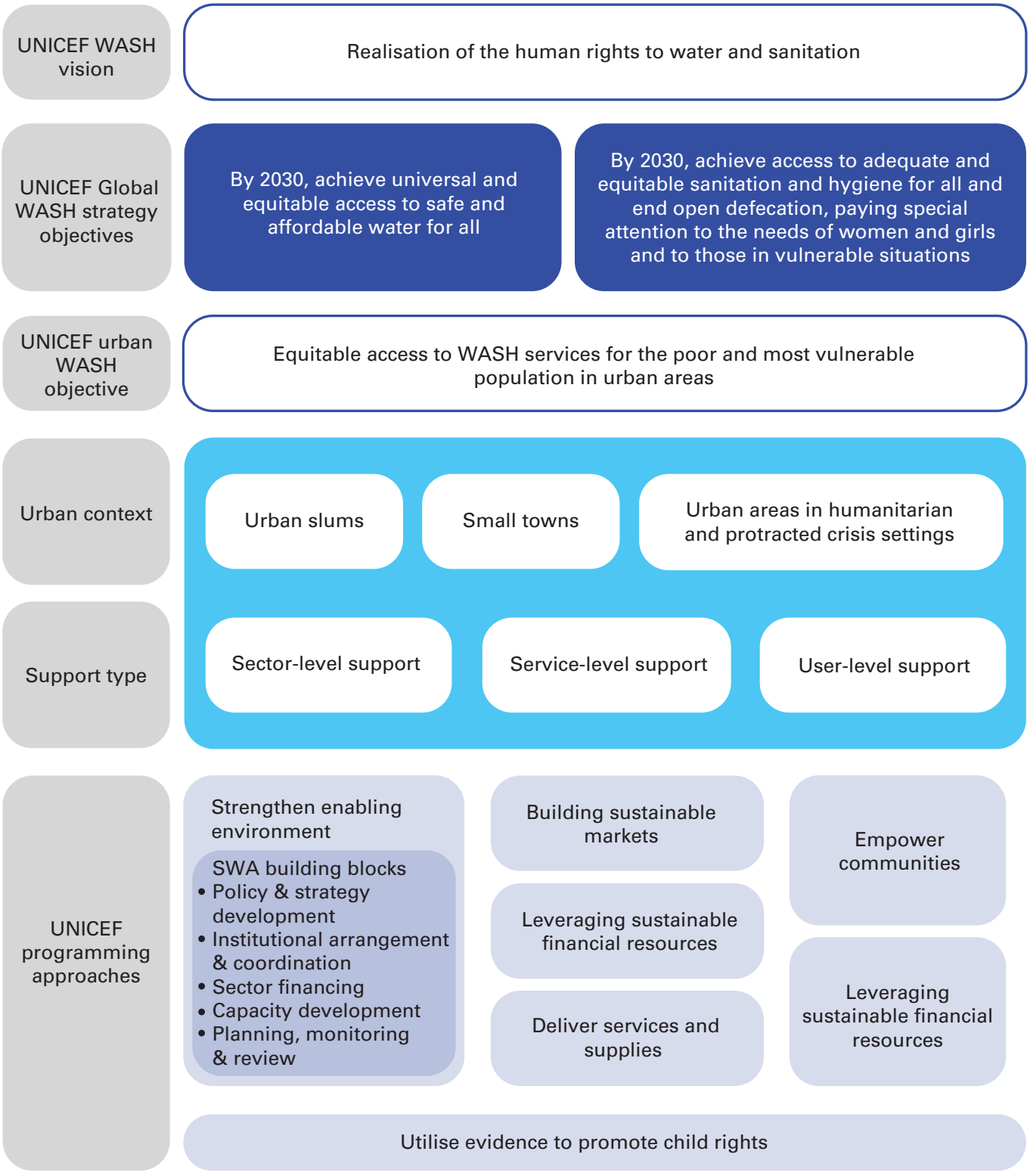
'User-level support' focuses on priority actions and activities to empower communities and families to claim their rights on WASH; increasing their capacity to actively engage with service providers and policy makers, and creating and maintaining social norms that increase access to sustained and inclusive WASH services. Achieving this requires, for example, efforts to encourage low-income urban communities to participate in planning and implementation of WASH services, as well as strengthening structures for accountability.

The Framework requires UNICEF to draw on its experience and skills working with a wide range of stakeholders: governments, donors, bilateral development partners, formal, informal, private sector and public service providers, NGOs, and of course communities themselves. The organisation will also need to build on its long history of successful rural WASH interventions, learning how to adapt and build on that expertise for an increased focus on urban WASH.

Primarily, the Framework provides the basis for UNICEF's increased engagement in urban WASH, but it is also useful for advocacy and raising awareness of UNICEF's priorities and plans for this area of WASH programming. As such, it is designed to support engagement with external partners in collectively moving forward the global urban WASH agenda.

The Framework is designed to be flexible: every country is different, and suggestions contained in this document are not meant to be strictly prescriptive. Rather, the Framework offers opportunities for partnerships and an alignment of approaches for addressing WASH challenges in urban areas – acknowledging the need for enhanced capacity as UNICEF increases its engagement in urban WASH in the coming years.

UNICEF's Global Framework for Urban WASH



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1

The rationale for urban WASH

1.1 Urbanisation trends and inequalities in WASH services

UNICEF works towards the progressive realisation of human rights to water and sanitation for all, with a focus on priority interventions for children. This aligns with Sustainable Development Goal (SDG) 6, which calls for universal and equitable access to water and sanitation services by 2030. In its *Global Strategy for WASH (2016-2030),* UNICEF recognises the scale of the challenge facing the world if it is to succeed in achieving this vision and singles out urban WASH as one of the priority areas for increased engagement, in order to reach the most vulnerable, wherever they are.

Figure 1: UNICEF's global strategy for WASH (2016-2030): A snapshot

Continue learning and adapting

Water
safety, sustainability and access

Sanitation
social norms, access and sustainability

Hygiene
more focus, supporting others to promote behavior change

Humanitarian
delivering service, breaking silos, national coordination

Do better

Enabling environment
strengthen capacity and systems to enable all actors to contribute effectively

Accountability
support transparency, monitoring and people's participation as anchors of good governance

Working inter-sectorally
WASH as a contribution to education, health, nutrition and other outcomes, including WASH in institutions, gender and disability

Leverage resources for WASH
public and private financing for scaled-up, sustainable programmes

Move in new directions

Climate resilient WASH
a framework for risk-informed programming

Urban
reaching the most vulnerable, wherever they are

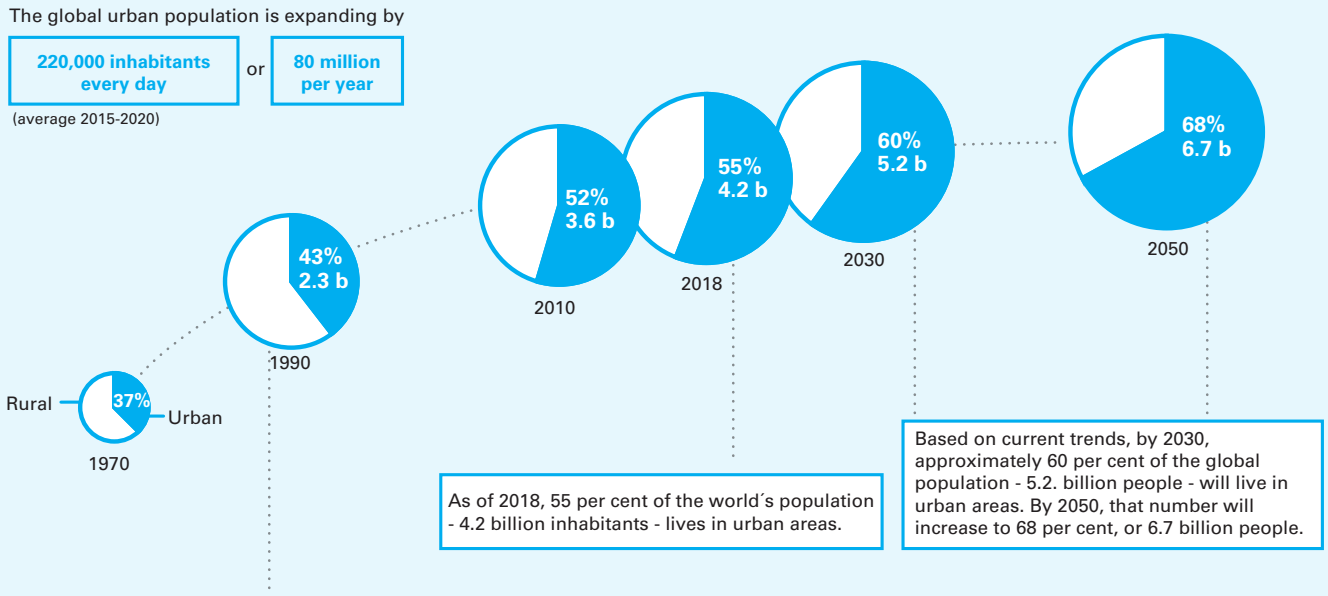
Private sector
goods and services as well as broader contribution

The world's population is becoming increasingly urban. As of 2018, an estimated 4 billion people, or 55 per cent of the global population were living in urban areas. Nearly a third of those were children.[2] An estimated 880 million of this urban population were living in slums – the worst form of urban informal settlement – and of the estimated slum population, nearly 300 million were children.

2 UNICEF's 2017 strategy note on its work for children in urban settings. Available at; Strategy note on UNICEF's work in urban settings

Driven by poverty, economic opportunity, migration due to conflict, insecurity, climate change, water scarcity, disaster or environmental degradation, the global urban population is expanding by approximately 220,000 every day, with most of this growth concentrated in Asia and sub-Saharan Africa.[3] The United Nations estimates that by 2030, about 60 per cent of the world's population will be urban dwellers, and 68 per cent by the middle of the century (see Figure 2 below).[4]

Figure 2: Trends on urbanisation: 1970-2050



Although the share of the rural population has been declining since at least 1950, its size has been increasing as a consequence of the fast-growing total population. The rural population is estimated to peak in 2021 at 3.4 billion people.

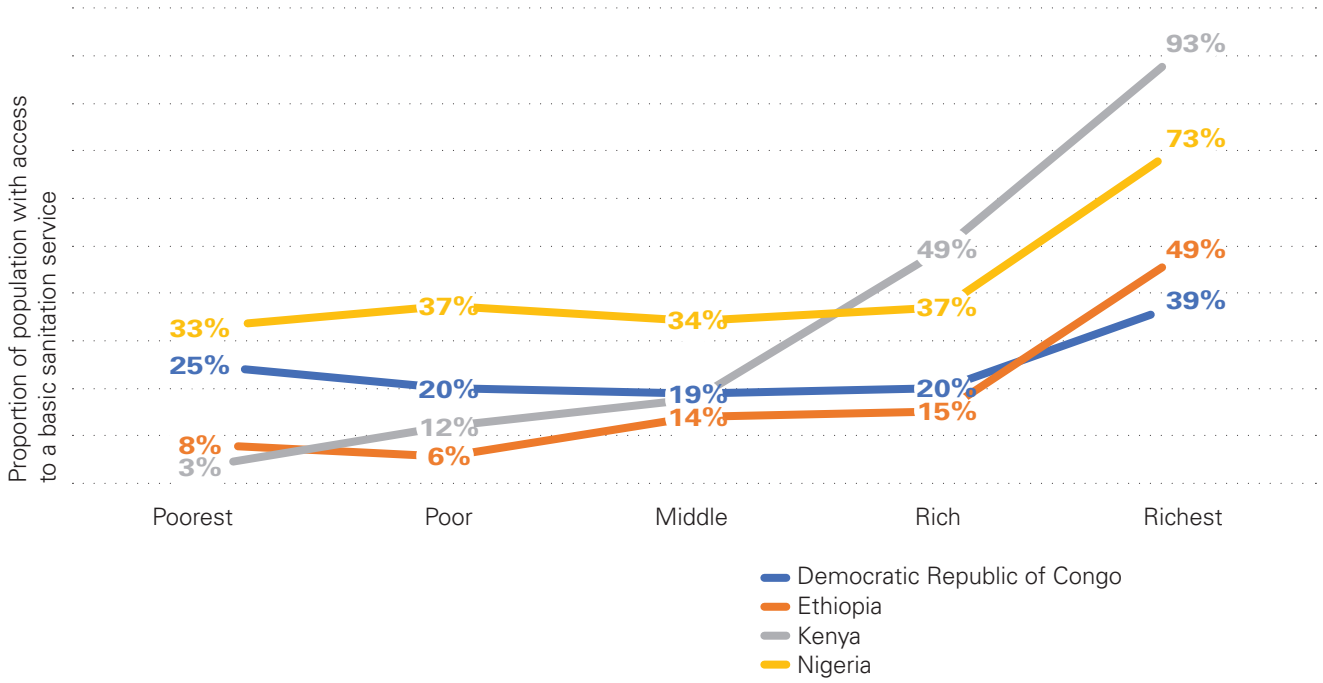
Such changing demographics from rapid urbanisation have not only dramatically increased the demand for water and sanitation services for a large and diverse urban population – they have also meant that a rapidly growing, vulnerable segment of the population is being left underserved. While figures show that overall WASH access and service levels are often much higher in urban areas than rural, this masks deep inequities in intra-urban access to WASH services.

Economic status is one of the major determinants of service level, with significantly lower coverage for the poorest households. Inequalities within wealth quintiles for urban sanitation are striking; for example, as Figure 3 below shows, in Kenya the richest are over 30 times more likely to have access to basic sanitation than the poorest.

3 United Nations Children's Fund, *Advantage or Paradox? The challenge for children and young people growing up urban*, UNICEF, New York, 2018. Available at: https://data.unicef.org/resources/urban-paradox-report/

4 Ibid.

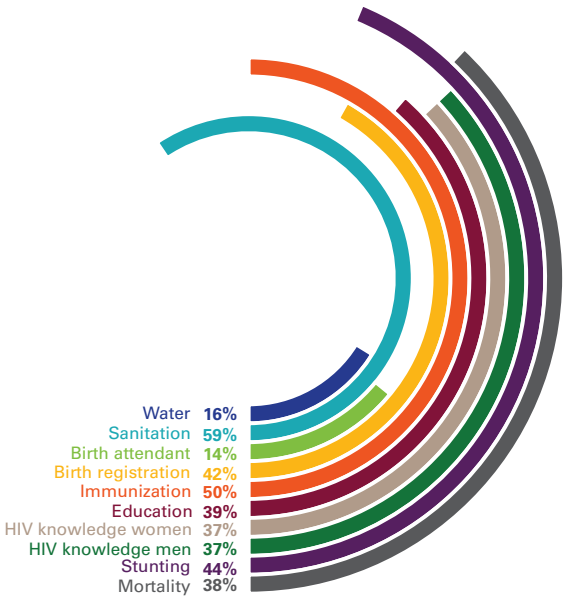
Figure 3: Inequalities in urban sanitation coverage between urban wealth quintiles[5]
(Democratic Republic of Congo, Ethiopia, Kenya and Nigeria)



In its 2018 study *Advantage or Paradox?* The challenge for children and young people of growing up urban,[6] UNICEF looked at various health and social indicators in 77 low- and middle-income countries, comparing children and young people living in an urban environment with those in rural environments. It showed that in many countries, the urban poorest wealth quintile has less access to basic services than the rural average. While urban communities *as a whole* usually do have better access to WASH services than rural communities, the poorest urban communities often fare worse, and can therefore be left behind by 'traditional', rural-focused WASH programming.

Figure 4 shows that access to basic sanitation was the most pronounced inequality; in nearly two thirds of countries, access to basic sanitation was worse for children in the poorest urban quintile than for children in rural settings. And in 16 per cent of the countries, the children in the poorest urban quintile had less access to basic drinking water than children in rural areas.

Figure 4: Share of countries in which the poorest urban quintile fares worse than the rural population average (2011-2016)



5 Democratic Republic of Congo – 2014 data; Ethiopia – 2011 data; Kenya – 2009 data; Nigeria – 2013 data. From the WHO/UNICEF Joint Monitoring Programme for WASH (JMP) managed database. Available at: https://washdata.org/data/household#!/dashboard/new.

6 Available at: https://data.unicef.org/resources/urban-paradox-report/

1.2 Urban WASH: definitions, and progress against the SDGs

Thorough understanding of progress on urban WASH and the SDGs can be complicated by the fact that there is no uniform definition of what constitutes a city or urban area globally. Every country defines cities or urban areas according to its own set of criteria,[7] mostly based on administrative, demographic, economic and physical parameters.

However, despite this understandable heterogeneity, urban areas can generally be classified as either a formal or informal settlement, a peri-urban area, or a small town. The terms are necessarily flexible; for example, a 'small town' could display a broad blend of urban and rural characteristics. A small town will often be smaller than cities and secondary towns, but larger and denser than rural villages – but the definition may also often be based on country-specific criteria.

'Peri-urban areas' are physically just outside existing urban areas or along infrastructural corridors outside cities that have all or some characteristics of urban conditions: dense populations, specific economic activities, and an intensive concentration of mobility or other flows, with the population living there usually utilising services in the city.

UN Habitat defines 'informal settlements' as urban areas with one or more of the following characteristics: poor structural quality of housing; overcrowding; inadequate access to water and/or sanitation and other vital infrastructure; and insecure residential status. Long-term camps for refugees and internally displaced people (IDPs), are an example of an informal settlement. 'Slums' are another type of informal settlement, usually marked by severe deprivation and exclusion, often located on the most hazardous urban land, and characterised by poverty and large agglomerations of dilapidated housing.

Different definitions of urban contexts are important in terms of programme planning, delivery and monitoring, but the common thread driving UNICEF's increased engagement on urban WASH is that while cities are drivers of prosperity, they can also be drivers of inequity.[8] The 2030 agenda for sustainable development calls for transformative steps, realising that "ending poverty and other deprivations must go hand-in-hand with strategies that improve health and education, reduce inequality, and spur economic growth." Central to the agenda are the 17 SDGs, with 169 global targets supporting the goals. A number of the goals and several targets (Table 1) specifically support universal access to WASH, emphasising the need for an increased focus on marginalised urban populations for WASH programming:

SDG 1 aims to 'end poverty in all its forms everywhere' and includes a target for universal access to basic services including basic drinking water, sanitation and hygiene.

SDG 3 on 'good health and well-being' has a target for achieving universal health coverage and access to quality essential healthcare services, which will require facilities to have basic WASH services.

SDG 4 on inclusive and equitable quality education includes targets for provision of WASH facilities in schools *for all*.

SDG 6 (6.1 and 6.2) is dedicated to improving WASH access globally. It aims to achieve equitable access to water and sanitation services *for all* with special focus on those who are poor, marginalised, and hardest to reach.

SDG 11 aims to provide universal access to basic services by making cities inclusive, safe, resilient and sustainable.

7 A list of different countries' definitions of urban areas can be found at: https://unstats.un.org/unsd/demographic/sconcerns/densurb/Defintion_of%20Urban.pdf.

8 United Nations Children's Fund, *Shaping urbanization for children: A handbook on child-responsive urban planning*, UNICEF, New York, 2018. Available at: https://www.unicef.org/publications/index_103349.html.

Table 1: WASH-related SDGs and targets

SDG	WASH-RELATED TARGETS	SDG	WASH-RELATED TARGETS
	Target 6.1 (Water): By 2030, achieve universal and equitable access to safe and affordable drinking water for all. **Target 6.2 (Sanitation and hygiene):** By 2030, achieve access to adequate and equitable sanitation and hygiene for all and end open defecation, paying special attention to the needs of women and girls and those in vulnerable situations.		**Target 3.8 (WASH in health care facilities)**: Achieve universal health coverage, including financial risk protection, access to quality essential health care services and access to safe, effective, quality and affordable essential medicines and vaccines for all.
			Target 4.a (WASH in schools): Build and upgrade education facilities that are child, disability and gender sensitive and provide safe, non-violent, inclusive and effective learning environments for all.
	Target 1.4 (No poverty): By 2030, ensure that all men and women, in particular the poor and the vulnerable, have equal rights to economic resources, as well as access to basic services, ownership and control over land and other forms of property, inheritance, natural resources, appropriate new technology and financial services, including microfinance.		**Target 11.1:** By 2030, ensure access for all to adequate, safe and affordable housing and basic services and upgrade slums.

The 2019 WHO/UNICEF Joint Monitoring Programme for Water Supply, Sanitation and Hygiene (JMP) report on progress on household drinking water, sanitation and hygiene[9] shows there was a slight improvement in access to basic water sources in urban areas, from 95 percent in 2000 to 97 per cent in 2017. However, a slight decline in access to safely managed water sources from 86 percent in 2000 to 85 percent in 2017 was also observed.

Some noticeable improvements can be observed in urban sanitation coverage. Urban populations with access to safely managed sanitation facilities increased from 36 percent in 2000 to 47 percent in 2017, and a similar increase could be observed in urban populations with access to at least basic sanitation, with 85 percent access in 2017 compared to 79 percent in 2000. Just 1 percent of the urban population were practicing open defecation in 2017, compared to 5 percent in 2000.

Data about institutional WASH in urban areas is limited. However, a joint report from WHO and UNICEF in 2019[10] found that around 5 percent of health care facilities in urban areas had no water service; and 21 percent of health care facilities globally had no sanitation facilities. A 2018 JMP report[11] on drinking water and sanitation in schools found limited data on urban schools. Findings from countries that could provide data showed that basic drinking water coverage was significantly higher in urban schools than rural schools in 2016, but estimated that around 11 percent of urban schools still had no drinking water service. It was not possible to calculate the proportion of urban schools with no sanitation service, due to a lack of data.

Although urban WASH coverage is relatively high when compared with rural areas, large intra-urban WASH inequalities persist in many countries, jeopardising efforts towards achieving universal access to services.[12]

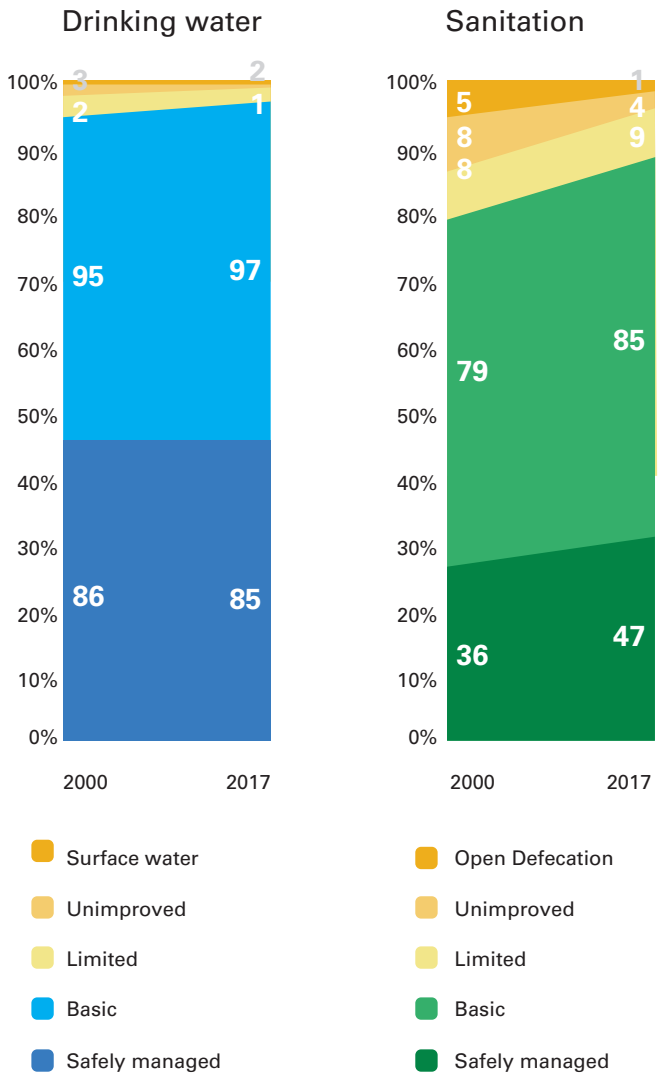
9 United Nations Children's Fund and World Health Organization, *Progress on household drinking water, sanitation and hygiene 2000 -2017. Special focus on inequalities*. UNICEF and WHO, New York, 2019. Available at: https://washdata.org/sites/default/files/documents/reports/2019-06/jmp-2019-report-launch.pdf.

10 World Health Organization and the United Nations Children's Fund, *WASH in health care facilities: Global Baseline Report 2019, WHO and UNICEF, Geneva, 2019*. Available at: https://washdata.org/sites/default/files/documents/reports/2019-04/JMP-2019-wash-in-hcf.pdf.

11 United Nations Children's Fund and World Health Organization, *Drinking water, sanitation and hygiene in schools: Global baseline report 2018. UNICEF and WHO, New York, 2018*. Available at: https://washdata.org/sites/default/files/documents/reports/2018-11/JMP%20WASH%20in%20Schools%20WEB%20final.pdf.

12 More information on urban WASH inequalities can be found in the 2019 JMP report *Progress on household drinking water, sanitation and hygiene 2000-2017*. Available at: https://washdata.org/sites/default/files/documents/reports/2019-06/jmp-2019-report-launch.pdf

Figure 5: Global drinking water and sanitation coverage in urban areas: 2000 -2017



1.3 The case for UNICEF engagement in urban WASH

UNICEF's engagement in urban WASH falls squarely within its equity agenda and its core responsibility to act where children do not have access to basic levels of service. It is also a major commitment in UNICEF's broader *Strategy for WASH (2016-2030)*[13] and its current *Strategic Plan (2018-2021)*.[14]

The urban environment is complex, and creates different WASH risks compared to rural areas for the poorest children and their families. Some of these urban challenges include, but are not limited to:

- **Rapid urban population growth**, meaning WASH service delivery improvements almost inevitably lag behind, leading to increasing numbers of under-served urban dwellers. The increasing urban population in itself therefore poses clear challenges for achieving the ambitious SDG targets of universal access to WASH facilities.

- **A critical gap for national and global monitoring** of safely managed water and sanitation services, especially for on-site sanitation systems. Accurate and disaggregated data across social and economic groups are inadequate, making it difficult to identify and track the plight of the poorest and most marginalised (including women, girls and those with disabilities). There are also issues with the interpretation of data and definitions of urban WASH coverage which must be resolved. For example, most of the urban populations that reside in slums and other types of informal settlements use shared sanitation facilities which are often not considered as 'basic' services by WHO/UNICEF JMP report definitions – which might not reflect the true situation based on actual prevailing conditions in these areas.

- **Unequal access to and ineffective coverage** of urban WASH services, which results in significant inequities in basic WASH services between urban wealth quintiles.

- **Limited political will and capacity** for planning, funding, and a lack of an enabling policy environment for implementing inclusive urban WASH services for the poor and most marginalised populations.

- **The lack of secure land tenure and space** for residents in informal urban settlements, meaning they are left out of connections to formal water and sanitation services by utilities and local government authorities. Spatial congestion

13 United Nations Children's Fund, *Strategy for Water, Sanitation and Hygiene 2016-2030*, UNICEF, New York, 2016. Available at: https://www.unicef.org/wash/files/UNICEF_Strategy_for_WASH_2016_2030.PDF

14 United Nations Children's Fund, *Strategic Plan (2018-2021)*, UNICEF, New York, 2018. Available at: https://unicef.sharepoint.com/sites/DOC-SP/DocumentLibrary1/Forms/AllItems.aspx?id=%2Fsites%2FDOC%2DSP%2FDocumentLibrary1%2FUNICEF%5FStrategic%5FPlan%5F2018%2D2021%2Epdf&parent=%2Fsites%2FDOC%2DSP%2FDocumentLibrary1

common in urban areas often further complicates water and sanitation improvements in these spaces.

- **Social structures in urban areas**, which are often complex and differ from rural 'norms', limiting options for collective action to improve water and sanitation services. Urban social structures can be much more fragmented, affecting how service delivery providers are able to interact with communities; this can lead to mistrust and hamper efforts to provide effective WASH services.

- **Urban refugees, IDPs and migrants often being forced to settle on the periphery of cities and towns or intra-urban spaces**. These are marginal, often previously unsettled areas with very little or non-existent WASH services; they can be challenging, polluted and dangerous environments.

- **The impact of climate change, environmental hazards and natural disasters** in urban areas is high, especially in informal settlements. Children in urban areas are particularly vulnerable to these impacts, which are intensified by overcrowding, lack of urban planning and vulnerable WASH infrastructures.

- **Higher exposure to environmental health hazards** for children in densely populated urban settings than children elsewhere.

The characteristics and nature of the above challenges vary considerably across different types of urban environment and local contexts. Table 2 below summarises common constraints and opportunities to WASH programming in three different urban contexts, based on UNICEF's experiences working in these areas.

Table 2: Common constraints and opportunities for improved urban WASH programming

URBAN SLUMS OF CITIES AND MEGA CITIES	SMALL TOWNS	URBAN AREAS IN HUMANITARIAN AND PROTRACTED CRISIS SETTINGS
Constraints		
The areas where the poorest communities live are usually high-density, unplanned, inaccessible, with limited space for infrastructure development and high costs of retrofitting infrastructure.	Rapidly expanding and dynamic spaces with large, unplanned low-income areas, often completely unserved by conventional water and sanitation services.	Large-scale and often repeated destruction of infrastructure, including residential areas, power supplies and water & sanitation installations.
Large intra-urban differences between urban districts in terms of poverty and urban morphology. Weak institutional capacity for addressing technical challenges, planning and financing.	WASH investments in small towns are frequently neglected by governments due to lack of capacity, unclear mandates, low budget allocations, and lack of partners for engagement.	High numbers of IDPs and refugees entering into city areas considered safe, or into neighbouring centres, living among host communities and in informal or official camps, all requiring full WASH services – putting additional stress on already deteriorated services.
Limited security of land tenure for the poorest. A high proportion of the poor living in rented housing, often situated on marginal land with high environmental risks (such as flooding or landslide). Extremely poor quality basic infrastructure (e.g. housing, sanitation, drainage).	Conventional infrastructure solutions are often neither feasible nor affordable for these contexts. Service provider and local government capacity tend to be weak, with weak local government structures, low service provider capacities, limited localised WASH data for planning and under-developed private sector providers of WASH services.	Hollowing out of service provider capacity over time as staff leave due to fear, insecurity, and unpaid salaries. Cumulative impact of protracted conflict or crisis leads to a deterioration of service capability, for example a depletion of spare parts and consumables; severe budget constraints, high cost of operation and maintenance and ultimately a cessation of services altogether.

URBAN SLUMS OF CITIES AND MEGA CITIES	SMALL TOWNS	URBAN AREAS IN HUMANITARIAN AND PROTRACTED CRISIS SETTINGS
Opportunities		
High population density presents opportunities for economies of scale and cross-subsidisation of the poor. Potential for strong city-level tax based on land value taxation (property and rent) to finance WASH and other basic services on a city-wide scale.	Opportunities to develop comprehensive 'full-chain' solutions to WASH challenges.	Relatively high capacity of government line ministries and urban WASH utilities compared with rural contexts allow for greater opportunities to comprehensively prepare for disasters, as well as introduce risk-informed programming into their delivery of WASH services. However, this is context-specific and will vary widely in terms of service coverage and capacity of utilities.
Enhanced economic development increasing households' ability to pay for WASH services.	Land often available for key infrastructure development and long-term master-planning.	Ensuring the right to sustainable water and sanitation services for host communities, refugees, IDPs and migrants can assist in creating 'peaceful coexistence' between vulnerable groups and hosting communities.
Emerging priorities (e.g. for safe faecal sludge management services) are a major challenge but provide potential opportunities for new service solutions and business models to be developed.	Depending on their size and location, small towns may retain some of the social and demographic characteristics of rural areas, enabling a readier adaptation of behaviour changes and community-based WASH approaches that are well established in rural areas.	Cities may have better services to absorb the long-term WASH needs of refugees, IDPs and migrant populations. A better understanding of a cities' absorptive capacity will allow for better preparedness to provide WASH services to these vulnerable groups.
Service delivery mandates tend to be clearer and more sophisticated than in rural areas, and service provider capacity tends to be higher. Cities also have more resources and better access to credit, to support provision of WASH services	Opportunities for promoting district/local government area wide WASH approaches incorporating small towns and rural communities (e.g. implementation of district open-defecation-free plan). Opportunity of promoting market-based sanitation (MBS) approach across districts, with small towns serving as the hub and supporting rural areas to access affordable sanitation products and services.	Reconstruction offers opportunities to build back more inclusive, disability accessible and sustainable services and infrastructure.[16] Opportunities to inform cities better on future population growth due to humanitarian and protracted crises, which will help cities to better plan for required supply of WASH services and other basic services.
Community engagement approaches by engaging all members for hygiene promotion.	Easier to adopt participatory approaches and monitor impact.	Capacity building could ensure longer-term results and sustained hygiene-related behaviours.

15 For guidance on disability-inclusive WASH in humanitarian settings, see UNICEF's 2017 *Guidance on Including Children with Disabilities in Humanitarian Action: WASH*. Available at: http://training.unicef.org/disability/emergencies/wash.html

1 The rationale for urban WASH

UNICEF's engagement in urban WASH is to contribute towards addressing the above challenges and respond to emerging issues for provision of inclusive WASH services. With almost 70% of the world's children projected to live in urban areas by mid-century,[16] the growing inequalities in access to WASH services demand increased UNICEF engagement in urban WASH. The human rights to water and sanitation are at the core of UNICEF's mandate for children, and will require reaching the most marginalised children, wherever they are.

There are also other global imperatives which drive UNICEF's increased engagement on urban WASH. The United Nations' *Agenda for Humanity*[17] was inspired by the 2016 World Humanitarian Summit[18] and identifies five core responsibilities.[19] These include bridging the humanitarian-development divide, and transforming the lives of those most at risk of being left behind. Upholding these responsibilities is particularly crucial at a time when humanitarian and environmental emergencies are driving waves of displacement, with affected populations often forced to settle in urban areas. An estimated 28 million children have been displaced by violence and conflict in recent years, and it is estimated that by 2030, one third of the world's children will live in countries affected by fragility and conflict.[20] As the global lead for WASH humanitarian response, and provider of last resort, UNICEF has years of experience providing WASH services in urban areas affected by protracted crisis, such as in Syria, Iraq, Yemen, and Sudan.

In addition, 'Habitat III', which grew out of the UN' global housing and sustainable development conference of 2016, established a new urban agenda which commits governments to promoting disability-accessible and well-connected infrastructure, as well as adequate investments in protective, accessible and sustainable infrastructure and service provision systems.[21]

Poor urban WASH causes many interconnected health, economic and social impacts. Concerted global action on urban WASH will be crucial to protecting public health in urban contexts. Poor WASH is the main cause of faecally-transmitted infections, including cholera and diarrhoeal disease. The situation is particularly acute in high-density urban areas with poor WASH services, with children in the poorest urban households more vulnerable due to repeated exposure to risks. Urban areas can become hotspots for public health risks, with diseases such as zika and dengue likely to be further exacerbated by the impact of climate change, resulting in humanitarian crises which will require special attention to reduce the risk.

Furthermore, such health impacts have been shown to disproportionately affect women and girls (see Box 1),[22] meaning the success or failure of SDG 6, which commits to pay specific attention to the needs of women and girls and those in vulnerable situations, will rest on whether we address the current challenges and shortcomings of urban WASH in the coming years.

Urban WASH programming presents opportunities and challenges that can be complex, and that often differ from those presented by rural WASH programming. But the case for UNICEF engagement in urban WASH is clear and unequivocal. Understanding and addressing the unique issues, constraints and opportunities that different urban contexts present will be critical to achieving universal access to water, sanitation and hygiene services around the globe.

Box 1:
Impact of poor sanitation on women's health

A study on slum sanitation and the social determinants of women's health in Nairobi, Kenya conducted in 2015 showed that inadequate, unsafe and unhygienic sanitation results in multiple and overlapping health, economic and social impacts, which disproportionately impact women and girls. About 68% of the women in the study areas reported violence, respiratory illness (46%), diabetes (33%) and diarrhoea (30%) as the most frequent physical burden due to poor sanitation.

16 UNICEF's 2017 strategy note on its work for children in urban settings. Available at: Strategy note on UNICEF's work in urban settings

17 United Nations, *One Humanity: A Shared Responsibility - Report of the Secretary General for the World Humanitarian Summit*, United Nations, 2016. Available at: https://www.agendaforhumanity.org/.

18 United Nations Secretary-General. (2016). *One Humanity: A Shared Responsibility – Report of the Secretary General for the World Humanitarian Summit.* Available at: http://sgreport.worldhumanitariansummit.org/

19 The five core responsibilities of the UN's *Agenda for Humanity* are: Global leadership to prevent and end conflict; Uphold norms that safeguard humanity; Leave no-one behind; Change people's lives – from delivering aid to ending need; and Invest in humanity.

20 United Nations Children's Fund, *Strategic Plan (2018-2021)*, UNICEF, New York, 2018. Available at: https://unicef.sharepoint.com/sites/DOC-SP/DocumentLibrary1/Forms/AllItems.aspx?id=%2Fsites%2FDOC%2DSP%2FDocumentLibrary1%2FUNICEF%5FStrategic%5FPlan%5F2018%2D2021%2Epdf&parent=%2Fsites%2FDOC%2DSP%2FDocumentLibrary1

21 United Nations Conference on Housing and Sustainable Development (Habitat III), *New Urban Agenda*, United Nations, 2017. Available at: http://habitat3.org/wp-content/uploads/NUA-English.pdf

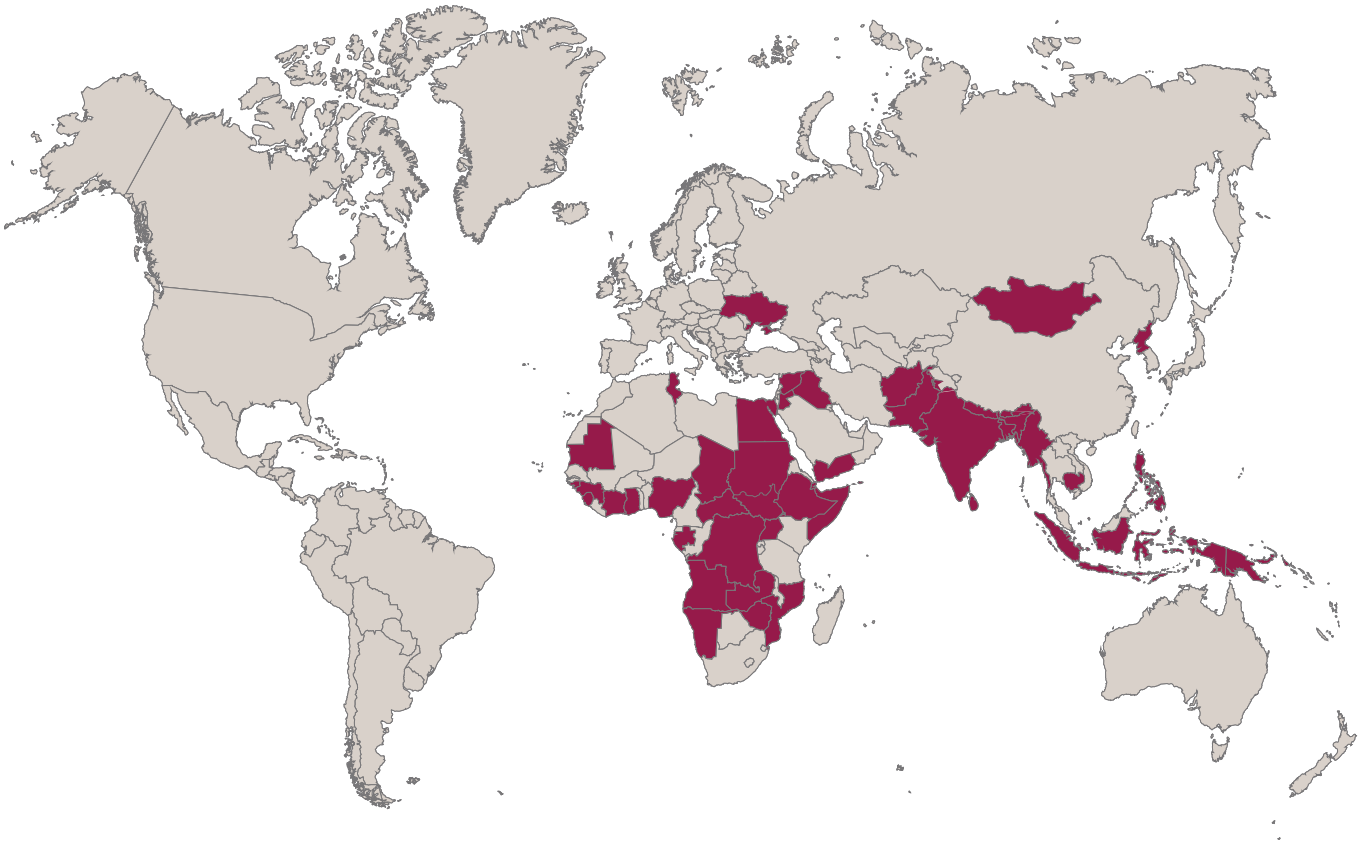
22 Corbun, J. & Hilderbrand, C., *Slum sanitation and the social determinants of women's health in Nairobi, Kenya*, 2015. Available at: https://www.ncbi.nlm.nih.gov/pubmed/26060499

1.4 UNICEF's current urban WASH footprint

As of 2018, UNICEF had incorporated some components of urban WASH into their WASH programmes in over 50 countries[23] (see Figure 6 below). However, analysis suggests that the depth and breadth of this urban WASH activity is highly varied. Interventions cover diverse programming areas, such as:

1. Supporting the 'enabling environment' for urban WASH delivery;
2. Promoting pro-poor WASH services in low-income communities and small towns;
3. Constructing of WASH facilities in schools and health care facilities; and
4. Supporting urban WASH humanitarian response.

Figure 6: UNICEF country offices incorporating urban WASH programming in 2018

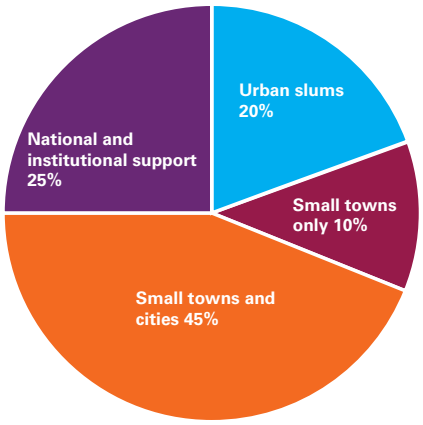


23 UNICEF's 2019 Urban WASH Capacity Assessment and Mapping report. Available at: Urban WASH capacity assessment report

Analysis of UNICEF's urban WASH programming shows that over half of programmes focus on small towns and cities, with 20 percent focusing on urban slums, and a quarter on wider national and institutional level support (the enabling environment). The analysis also shows that around 40 percent of UNICEF's urban WASH programmes are supporting communities in humanitarian or crisis settings.

UNICEF's assessment of its urban WASH programming suggests its interventions in small towns, slums and humanitarian and protracted crisis settings[24] are where its strengths and experience lie; they are urban contexts where UNICEF has built a clear and established comparative advantage.

Figure 7: UNICEF urban WASH focus in 2018



1.5 UNICEF's strengths and challenges in urban WASH

UNICEF's comparative advantage in urban WASH arises principally from its convening power and influence, as well as its global presence and experience in over 50 countries. While urban WASH interventions may be relatively new for many country programmes, a significant number of countries already have urban WASH programmes from which the organisation can draw lessons.

UNICEF's key strengths in urban WASH are based on solid relationships with governments at national and sub-national levels, built on trust and mutual respect; established and developed over many years and founded on a permanent presence in the country. This enables UNICEF to support government and key sector institutions to address long-term sector challenges.

The ability to build strong relationships with other WASH stakeholders (NGOs, donors, development partners, private sector, etc.) is also a key strength. WASH programming is more complex in urban settings, and for increased engagement, new partnerships with relevant urban WASH actors need to be formed and developed (for example through participatory engagement in programming planning, advocacy and leadership).

UNICEF's mandate to support children across a range of different sectors areas means its teams of in-country professionals have expertise in education, health, nutrition, social policy, communication for development, gender, adolescent development. Participation with key partner networks in these areas can and should be effectively deployed for inclusive urban WASH programming.

The diverse range of technical and local knowledge among UNICEF staff across country and regional offices is complemented by external expertise from consultants (nationally and globally) and through UNICEF's network of stand-by partners. Such additional skills and commitments to invest in increasing the organisation's urban WASH capacity will be invaluable to bridge capacity gaps in UNICEF's own teams, where required.

UNICEF has valuable strengths specifically in a humanitarian context for urban WASH. The organisation has both the mandate and obligation to respond to acute and chronic humanitarian emergencies, in line with its core commitments for children – indeed, many urban WASH programmes emerge from such interventions.

24 Some case study examples of UNICEF urban WASH experiences can be found in the links below:
Small towns (Ethiopia), available at:
https://unicef.us10.list-manage.com/track/click?u=8c077a47073d28fc6813dcfaa&id=0e8c5b7f66&e=bf9e6b38ad

Slums of mega cities (Dhaka, Bangladesh), available at:
https://unicef.us10.list-manage.com/track/click?u=8c077a47073d28fc6813dcfaa&id=d156f83f8a&e=bf9e6b38ad

Urban areas in humanitarian and protracted crisis settings (Aleppo, Syria), available at:
https://unicef.us10.list-manage.com/track/click?u=8c077a47073d28fc6813dcfaa&id=ff56e271c7&e=bf9e6b38ad

UNICEF co-ordinates the WASH cluster in emergency situations; its expertise in playing leadership roles in both development and humanitarian settings makes it well-placed to advocate and mobilise partners for improved collection of epidemiological data for urban WASH humanitarian response.

Few humanitarian organisations support the provision of WASH services in protracted crisis settings in urban areas, and UNICEF is therefore already increasing its engagement in supporting municipal service providers in the rehabilitation and restoration of water and sanitation services in affected areas. UNICEF has the potential to influence and mobilise other humanitarian organisations in the WASH cluster to generate increased wider engagement in urban WASH emergency response.

Increasingly, UNICEF is playing a leading role in public health issues affecting urban populations. UNICEF's WASH programming is a key pillar of its integrated response to cholera, for example. Cholera surveillance, prevention, preparedness, and response through strategic technical support and guidance to governments, INGOs, NGOs and other partners will continue to be a key activity as part of UNICEF's engagement on urban WASH.

Box 2:
Cholera in urban settings

Cholera has become a major public health challenge in urban areas, particularly in sub-Saharan Africa but also in Asia, the Middle East and elsewhere. Cholera is an acute diarrhoeal disease and can kill within hours if left untreated. It still affects more than 40 countries, resulting in an estimated 2.9 million cases and 95,000 deaths per year worldwide. Cholera is most prevalent in populations living in crowded, unsanitary urban slums and refugee camps and is almost twice as likely to strike poor households than wealthy ones.

In the last decade, the largest and most devastating cholera outbreaks have occurred in emergency settings; notably in Port-au-Prince (Haiti) in the aftermath of the 2010 earthquake, and also during the crisis in Yemen, where an estimated one million cases were reported between April 2017 and July 2018. In both cases, the outbreak was initiated and exacerbated by disruptions to urban water and sanitation services.

In most cases, cholera outbreaks originate within poor and vulnerable urban communities. A major cholera epidemic in Zimbabwe in 2019 was concentrated in the poorer and less serviced suburbs of the capital city Harare, with indications of spread to other smaller urban centres. Similarly, in Lusaka (Zambia) and Blantyre (Malawi), there have been regular outbreaks of cholera over recent years in peri-urban areas. These have been partly due to ground conditions where pit latrines in areas with high water tables tend to contaminate the ground water, particularly in the rainy season, and the fact that the urban poor may use shallow wells / boreholes when utility water services are limited (or deemed too costly).

Regular cholera bulletins are now providing monthly up-dates on cholera epidemics in West, Central, East and Southern Africa. While these do not currently disaggregate between rural and urban areas, country-level reports show a concentration of cases in urban settlements – both in the cities (mainly in the slums or poorly serviced areas), and in small towns, which frequently have rapidly growing populations with insufficient water and sanitation services. There is and will continue to be a clear and immediate need for the identification and analysis of cholera urban hotspots in countries at high risk, for the purpose of effective pre-emption and response.

1 The rationale for urban WASH

WASH programming is more complex in urban areas than in rural contexts. It cannot be assumed that decades of experience in rural WASH programmes necessarily translates into expertise for urban WASH interventions. Some challenges that UNICEF faces to increase its urban WASH programming include:

- Limited human resource capacity in: urban WASH engineering involving large-scale infrastructure; urban water utility reforms; and WASH financing.
- Inadequate capacity for competitive bidding for donor funding for urban WASH.
- Limited ability to mobilise significant funds for large scale urban WASH infrastructure.
- UNICEF's country programme timeframes (maximum of five years), which may mean that long-term investment in urban WASH is limited.

As the world's urban population expands, there is no doubt that urban WASH contexts will increase in number and complexity. The *Global Framework for Urban WASH* forms the basis for UNICEF's support to the most marginalised children and their families in these contexts.

The *Global Framework for Urban WASH* will help UNICEF to address the challenges that urban WASH programming presents, and to build on and develop the organisation's strengths. It is meant to be a flexible tool, and is intended to form the foundation for a common vision on urban WASH for the organisation. The Framework is designed to help regional and country offices frame different types of urban programme engagement – to form the basis for their own more localised, context-specific urban WASH Framework and strategy. Just as importantly, the Framework will also support the organisation's drive on collaboration with a new array of non-traditional urban WASH partners, and ensure that the right staff capacity and experience are in place to build on UNICEF's experience and success delivering rural WASH interventions.

2

The Global Framework for Urban WASH

Introduction

Recognising urban WASH as an emerging area of focus in UNICEF's *Strategy for WASH 2016-2030*[25], UNICEF's *Global Framework for Urban WASH* has been developed to complement that strategy. The key objectives of the Framework are:

- To provide a basis for urban WASH engagement across global, regional and country levels;
- To help define what UNICEF is best-placed to contribute to urban WASH, given its mandate, capacity and comparative advantage; and
- To provide direction toward effective urban WASH partnerships.

The primary focus of the Framework is on urban contexts where UNICEF already has experience and can add value: small towns, urban slums, and urban areas in humanitarian and protracted crisis settings. UNICEF's engagement in these contexts is becoming more imperative due to expanding urban populations and protracted crises, resulting in more children and their families living in areas that are often left behind in the provision of WASH services.

The Framework is based on extensive consultations within and outside the organisation, and is rooted in UNICEF's overall WASH vision: the realisation of the human rights to water and sanitation. The Framework is meant to be accessible and flexible, and is structured around three areas of support: sector-level support, service-level support and user-level support.

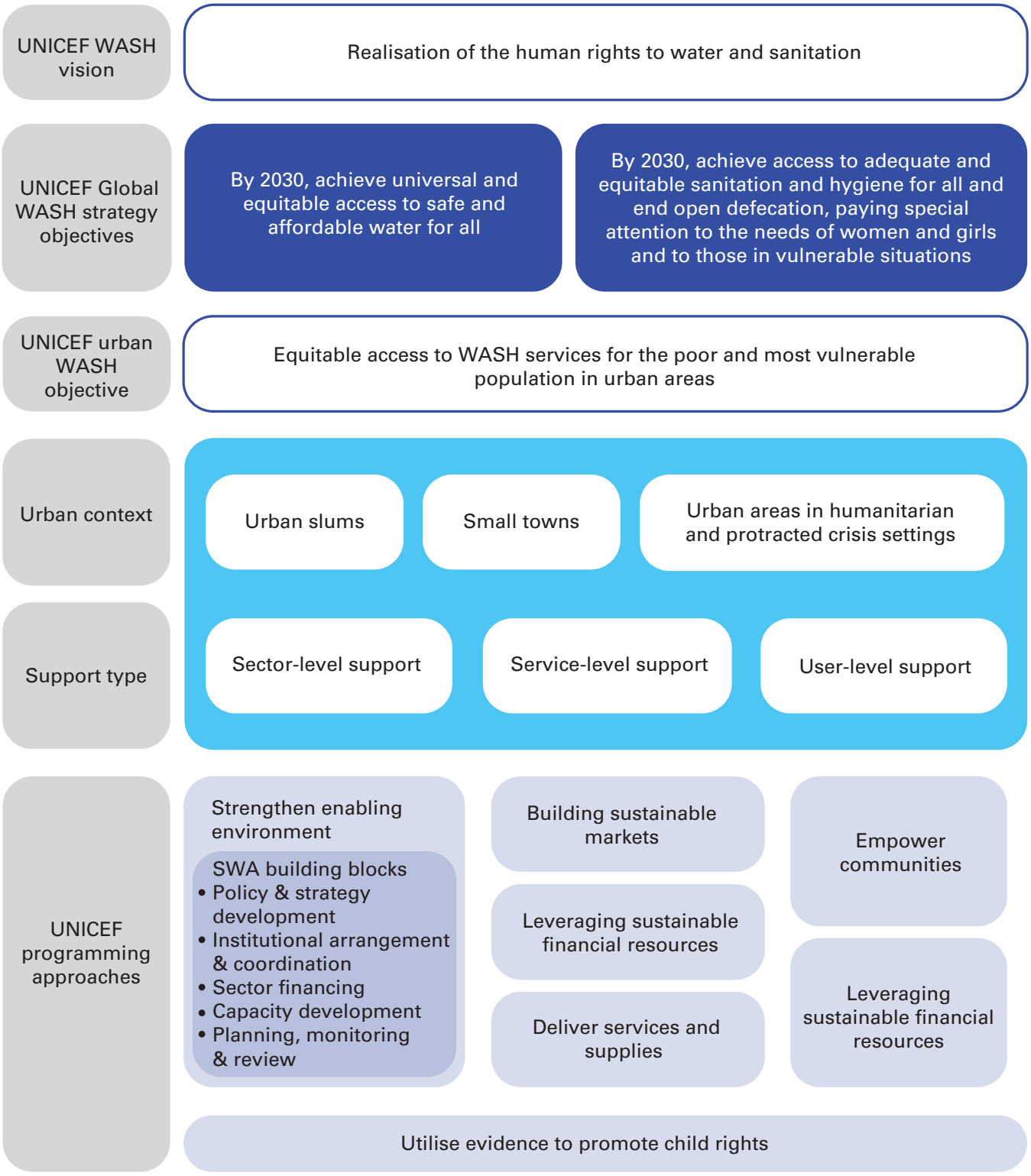
The identified priority areas of engagement and support align with WASH programming principles and approaches highlighted in UNICEF's wider global WASH strategy (see Figure 8 below). The Framework also aligns with the key principles and priority areas identified in UNICEF's strategy for children in urban settings,[26] and UNICEF's child-friendly city initiatives.[27]

25 United Nations Children's Fund, *Strategy for Water, Sanitation and Hygiene (2016 to 2030)*, UNICEF, New York, 2016. Available at: https://www.unicef.org/wash/files/UNICEF_Strategy_for_WASH_2016_2030.PDF

26 UNICEF's 2017 strategy note on its work for children in urban settings. Available at: Strategy note on UNICEF's work in urban settings. The priority areas identified in the strategic note are: reducing equity gaps in urban areas; promoting a safe and sustainable urban environment for children; adapting urban planning and budgeting for children living in urban settings (particularly the most disadvantaged); enhancing the voice and participation of poor children living in urban settings and strengthening partnerships with urban communities and organisations; and strengthening the evidence base on children in urban areas, in data, policy and research.

27 United Nations Children's Fund, *Child-Friendly Cities and Communities Handbook*, UNICEF, New York, 2018. Available at: https://unicef.sharepoint.com/sites/PD-WASH/Urban WASH/2018- unicef-child-friendly-cities-and-communities-handbook.pdf

Figure 8: The Global Urban WASH Framework: a summary



2 The Global Framework for Urban WASH

The overarching objective of UNICEF's urban WASH programming is to promote equitable access to WASH services for the poor and most marginalised populations in urban areas, with a focus on urban slums, small towns and urban areas in humanitarian and protracted crisis settings.

The sections below detail the three areas of support under the Framework, outlining entry points and priority activities for UNICEF as it increases its engagement in urban WASH programming. The three support areas are:

2.1 Sector-level support – details programme thematic areas, priority actions and activities UNICEF can pursue in order to strengthen the enabling environment for sustainable and inclusive urban WASH services.

2.2 Service-level support – details programme thematic areas, priority actions and activities UNICEF can undertake to support provision of WASH services to poor and vulnerable households in urban areas.

2.3 User-level support – details programme thematic areas, priority actions and activities which UNICEF can undertake to support urban water and sanitation users to access sustained and inclusive household WASH services through community level empowerment.

These areas for support are purposefully broad, as each country is different and entry points for urban WASH will differ based on country priorities and available resources. For each area of support, programme thematic areas and specific entry points and activities are outlined below, with additional detailed advice and suggestions for each area of support provided at Annexes 1, 2 and 3.

2.1 Sector-level support

These are interventions at national (sector) level, aimed at supporting governments and at partnering with other organisations, in order to strengthen the 'enabling environment' for the successful delivery of effective, sustainable and inclusive urban WASH interventions. Interventions for sector-level support build on the Sanitation and Water for All (SWA) 'building blocks' for strengthening the enabling environment of the WASH sector.[28] Programme thematic areas for sector-level support are:

- Evidence generation and analysis for the sector;
- Policy and strategy development;
- Institutional arrangement and co-ordination;
- Sector financing;
- Capacity development; and
- Planning, monitoring and review

The programme thematic areas for service-level support are explored below. More detail on the priority activities and suggested entry points by thematic area are outlined at **Annex 1.**

Evidence generation and analysis

UNICEF engagement in urban WASH should be based on detailed situation analyses for a thorough understanding of current WASH service provision, trends and constraints affecting service delivery nationwide, and to determine inequalities affecting marginalised children and their families. Analysis should include detailed review and assessment of urban WASH trends, as well as outlining progress and challenges in achieving urban WASH SDG targets – leading to well-informed planning of WASH-specific urban interventions, and the development of an effective, inclusive urban WASH sector strategy and policies.

For urban slums and small towns, such a situation analysis should first focus on understanding the overall urban WASH context in the country. This would include a diagnostic of key factors inhibiting service delivery for the poor, an assessment of policy, regulatory and institutional arrangements for delivery of services to the poor, an analysis of urban systems and approaches, and an urban WASH stakeholder analysis including roles, capacities and ongoing programmes.

For humanitarian and protracted crisis settings, the analysis is likely to focus more on policy, institutional arrangements and co-ordination mechanisms for urban WASH humanitarian preparedness and response. The analysis could include an assessment of local WASH service providers and their capacity to deliver services in humanitarian settings. It could

28 The five SWA building blocks are: policy and strategy development; institutional arrangement; sector financing; capacity development; and planning, monitoring & review. More detail on SWA's building blocks can be found at: http://sanitationandwaterforall.org/wp-content/uploads/download-manager-files/building%20blocks%202%20pager.pdf

also consider the town or city's absorptive capacity towards meeting the needs of the city dwellers (including IDPs, migrants and refugees) in humanitarian crises.

Suggested components of a situational analysis for urban WASH are provided in Annex 4. It is not meant to be prescriptive; it may be expanded or narrowed depending on the context and what existing resources and analyses are already available.

In addition to the urban WASH situation analysis, UNICEF can support further analytical work and programme research to help unpack the complex issues in serving the urban poor. It can help to build knowledge on best practices and by sharing lessons learned through its programme experience, global reach, and blend of expertise across country, regional and global offices. It may also support more targeted in-country research to generate new evidence to advocate for pro-poor policies, strategies, plans and funding for inclusive urban WASH. Examples of such potential further analytical work are:

- **National-level market assessments** for the entire sanitation value chain, which can be used to help governments and development partners take steps to unlock constraints preventing existing sanitation products and services reaching the poor. The assessment should look at both demand and supply side constraints to a functioning sanitation market, examining issues such as: sanitation affordability; service provider size and capacity; product availability, appropriateness and quality; finance mechanisms; and barriers to private sector engagement.

- **Assessments of market-based programming (or 'MBP')** in humanitarian response, to generate evidence that could be used for developing operational frameworks and a capacity development plan, for adoption and scaling up of a market-based urban WASH approach.[29]

- **Urban multiple indicator cluster surveys (MICS)**, which can highlight WASH sector inequities within and between urban environments, as well as to capture the specific challenges faced by women and persons with disabilities in accessing WASH services. The few examples of urban-focused MICS surveys (Ghana, Zimbabwe, Brazil, Bangladesh) have suggested that MICS can be a powerful way to enhance understanding of basic service inequities in urban areas, and can increase country office engagement. An urban MICS can highlight opportunities for integrated approaches to address the multiple vulnerabilities of urban children and their families, and as such represents a good entry point for country-level urban WASH programming. Since MICS provides opportunities to collect data disaggregated by disability, it can be an invaluable way to better understand the distinct barriers for children with disabilities in urban areas.[30] MICS data combined with information on population types and densities, human displacement and public health risks can also be used to develop vulnerability maps for humanitarian and protracted crisis settings.

Policy and strategy development

In-depth UNICEF engagement on national policy and strategy development processes for urban WASH should be predicated on strong partnerships with WASH stakeholders, including governments, other UN agencies, development banks, NGOs, development partners and the private sector. This requires extended engagement with the sector over time and is often built on shared programming experience, which can feed in to strategy development. In all country contexts, UNICEF can establish and develop partnerships with a wide range of stakeholders to advocate for policy and strategy reforms and to ensure that the SDG urban WASH agenda is incorporated into policy goals and investments. For example, UNICEF Ethiopia supported the government in developing an integrated national urban sanitation and hygiene strategy and strategic action plan[31], to facilitate effective urban sanitation and hygiene delivery in the country (see Box 3).

Depending on the level of centralisation of decision-making processes, local government and city authorities can be key stakeholders in urban WASH service policy and strategy, in areas such as appropriate sanitation regulation, technology standards, design guidelines and service delivery approaches (for example, on the provision and maintenance of public toilets). A city's development and land use plans, where they exist, can be extremely useful strategic instruments; they can help identify and secure WASH system needs, as well as improve co-ordination with other social service provision (such as housing, storm water management, or solid waste management)[32] towards addressing the urban WASH challenges in an integrated manner – reducing the threats to marginalised children and their families.

In cities and small towns, UNICEF can influence how these policies are developed and enforced – capitalising on existing

29 For more on assessments for MBP, see the Global WASH Cluster's 2016 position paper, *Cash and Markets in the WASH Sector.* Available at: http://www.cashlearning.org/downloads/gwc-cash-and-markets-position-paper-dec-2016-(1).pdf

30 The UNICEF/Washington Group's module on 'Child Functioning' can be used in MICS or any household survey to disaggregate data by disability. Available at: https://data.unicef.org/topic/child-disability/module-on-child-functioning/

31 Government of Ethiopia, *Integrated Urban Sanitation and Hygiene*, Addis Ababa, Ethiopia, 2016 Available at: IUSH Strategy

32 For more guidance on urban planning, see the UNICEF handbook on child-responsive urban planning, chapter on integrated urban water and sanitation management systems. Available at: https://www.unicef.org/publications/index_103349.html

Box 3:
Country example: Ethiopia – ONEWASH Plus sanitation package

The ONEWASH Plus programme is a programme implemented in eight small towns by UNICEF in Ethiopia, in collaboration with other stakeholders comprising of relevant government agencies, NGOs and private sector. The programme is providing a full package of WASH services for the towns, including interventions tackling water supply, faecal sludge management across the entire sanitation chain, and solid waste management.

A key feature of ONEWASH Plus is the implementation of behaviour change programmes targeting urban sanitation users. The programme views the population as 'users' and 'consumers' rather than 'beneficiaries', as part of a strategy to shift internal and external attitudes towards a more market-based approach. To reach potential consumers, tailored communication for development and behaviour change communication activities for urban sanitation were developed to generate demand and promote service adoption, as well as to ensure that end-users understand their rights around services provision – and are able to access mechanisms to hold service providers accountable.

The programme has fed into support at the sector level, where UNICEF used its experience in the field to inform sector policy, including supporting the development of a national integrated urban sanitation and hygiene strategy and strategic action plan.

The ONEWASH Plus programme demonstrates that UNICEF country offices can play a leading role in strengthening urban WASH services. Through the ONEWASH Plus programme, UNICEF Ethiopia was able to develop a very close relationship with government; a partnership which helped to shape the future direction of urban WASH strategy in the country.

relationships, forged from collaboration with local government agencies across several sectors. UNICEF can use its influence to advocate for compliance with policies, strategies and standards, the development and enforcement of appropriate pro-poor water and sanitation by-laws, and investment in gender-sensitive, inclusive WASH facilities.[33]

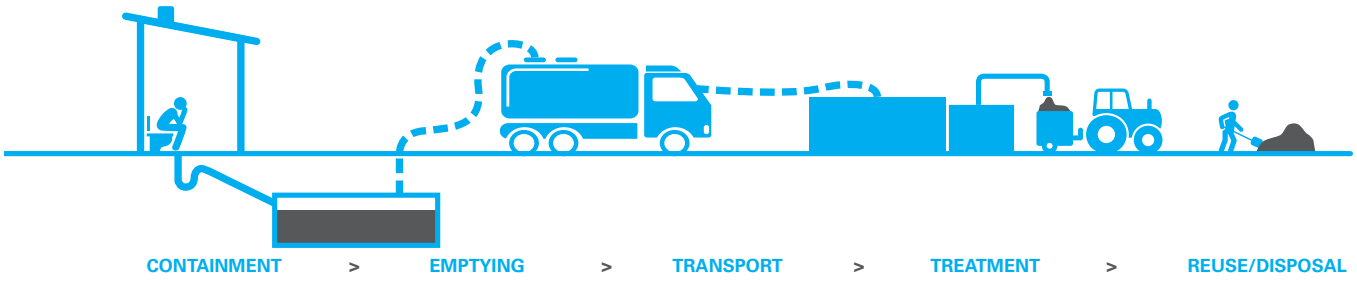
In humanitarian contexts, UNICEF can advocate to incorporate WASH service provision for vulnerable populations, prioritising the concept of peaceful co-existence for IDPs, refugees, migrants and hosting communities in government policy and strategy development.

UNICEF may need to expand its engagements with development banks and bi-lateral donors supporting urban WASH to influence their operations and policy engagement in pro-poor aspects of all WASH service delivery, such as: ensuring there is a focus on pro-poor and inclusive services of any city-wide sanitation initiatives; ensuring that connection charges or urban water supply models are tailored to the needs and context of the poor, those with disabilities and other most vulnerable populations; and that infrastructure investments cover the poor as well as the rich in urban areas.

UNICEF can also join and support existing strategic partnerships initiated to tackle urban sanitation challenges such as Citywide Inclusive Sanitation (CWIS).[34] CWIS focuses on comprehensive and holistic solutions to address urban WASH challenges along the whole urban 'sanitation value chain' (see Figure 9 below). This will require promotion of appropriate technologies and approaches as well as establishing partnerships for each component of the value chain. UNICEF can determine its engagement in different components of the urban sanitation value chain according to the needs, capacities and comparative advantages of other critical players.

33 For an evidence base for this advocacy, see:
Advocating for investment in accessible and inclusive WASH
The case for investment in accessible and inclusive WASH
34 More on CWIS is available at: https://citywideinclusivesanitation.com/

Figure 9: The urban sanitation value chain[35]



Box 4:
What is Citywide Inclusive Sanitation?

CWIS is an approach initiated by The Bill & Melinda Gates Foundation, Emory University, Plan International, The University of Leeds, WaterAid, and the World Bank for addressing urban sanitation challenges along the whole sanitation value chain.

It is aimed at ensuring that everybody benefits from adequate sanitation service delivery outcomes; human waste is safely managed along the whole sanitation value chain; effective resource recovery and re-use are considered, a diversity of technical solutions, is embraced for adaptive, mixed and incremental approaches; and on-site and sewerage solutions are combined, in either centralized or decentralized systems, to better respond to the sanitation needs of expanding cities in low- and middle-income countries.

CWIS advocates for integrating financial, institutional, regulatory and social aspects of sanitation service delivery, requiring the relevant authorities to demonstrate political will, technical capacity and management leadership – harmonising solutions with related urban services such as water supply, drainage and solid waste management.

The underlying purpose of sanitation policies and strategies is to protect public health. Management and investments to improve sanitation systems especially in urban settings should be made based on adequate understanding of existing health risks posed by the systems and control options. Tools like the World Health Organization sanitation safety planning tool[36] can be used to coordinate efforts of stakeholders along the sanitation value chain – including departments of health, utilities, the private sector, environment and agriculture authorities – stimulate policy dialogue and change and maximise the health benefits of sanitation.

Institutional arrangement and co-ordination

Stakeholders supporting urban WASH are many and varied. They include governments, NGOs, multi-lateral development agencies, development partners, the private sector, development banks and other financial institutions, and as such represent a rich resource of experience. This wealth of experience can be harder to tap into in humanitarian or protracted crisis contexts in urban areas, where additional efforts may have to be made to mobilise stakeholders to adapt their support for appropriate interventions.

Box 5:
Institutional strengthening for urban WASH

UNICEF Ghana has leveraged the influence gained through its 'Urban Sanitation Programme' as a way to engage with senior municipal officials on the rollout of a sanitation enforcement campaign, specifically targeting landlords who have not constructed a household sanitation facility.

And in Bangladesh, UNICEF has supported the development of institutional and regulatory frameworks for faecal sludge management for city corporations, Dhaka city and rural areas.

35 Illustration by Bill & Melinda Gates Foundation- https://www.flickr.com/photos/gtzecosan/22340106212/in/dateposted-public/

36 World Health Organization (2016): Sanitation Safety Planning: Manual for safe use and disposal of wastewater, greywater and excreta. Sanitation safety planning (SSP) is a risk-based management tool for sanitation systems that assist users to; systematically identify and manage health risk along the sanitation chain; guide investment based on actual risks to promote health benefits and minimise adverse health impacts; provide assurance to authorities and the public on the safety of sanitation-related products and services. More information available at: https://apps.who.int/iris/bitstream/handle/10665/171753/9789241549240_eng.pdf;jsessionid=32AB426A4FD6C6E4BB7B96BF24E6A98E?sequence=1

As outlined above, a thorough stakeholder analysis of the local urban WASH sector should form part of evidence generation for sector-level support. The stakeholder analysis can provide the basis for UNICEF to support relevant government agencies, in order to develop the institutional capacity of utilities and municipal / town authorities in the planning and implementation of inclusive urban WASH.

UNICEF can also use its influence in the sector to collaborate with relevant government agencies and other stakeholders to help develop or strengthen urban WASH co-ordination mechanisms. This does not mean every UNICEF country office should seek the leading role in urban WASH co-ordination. Depending on the context and available country office capacity, country offices may feel it more appropriate to participate in and support existing urban co-ordination structures in the first instance. However, in countries where UNICEF has high levels of urban WASH experience, it can partner with other stakeholders to improve co-ordination mechanisms. This may be through convening or strengthening urban sector stakeholders' fora and workshops, for example – to promote and exchange ideas, experience, and best practice, and to seek alignment on inclusive urban WASH delivery.

In cities and small towns, UNICEF can utilise implementation experience and expertise to improve the effectiveness of local government regulation and the monitoring of urban WASH. In Ghana, for example, UNICEF has worked with municipal assemblies on options for enforcement of sanitation by-laws for on-site sanitation. Historically, the scale of sanitation challenges, and concerns over local political consequences have undermined sanitation enforcement efforts there, helping to perpetuate a sanitation crisis in many urban areas.

UNICEF can play an important wider co-ordination and strategic planning role to address urban sanitation issues, particularly in small towns. Delivering a safe, adequate and financially viable sanitation service across the sanitation value chain is deeply complex, and requires close co-ordination of several stakeholders (for example emptying service providers, municipality operating treatment works, stakeholders from health and environment government departments, as well as the users themselves). In larger city contexts, UNICEF can support services along the whole sanitation value chain in low-income areas, following the broad principles of CWIS.

Small towns are often largely ignored by governments and other development partners. Yet strategic, forward-looking urban planning is essential to ensure that future growth of the town happens in a structured way, which facilitates rather than constrains the provision of basic services to all. With its extensive experience in rural WASH programming and through its multi-sectoral links to local government, UNICEF is strategically positioned to support co-ordination efforts locally, both for the provision of existing water and sanitation services, and for the planning of future services.[37] UNICEF can also support co-ordination of WASH behaviour change issues in small towns, as well as developing and helping co-ordinate the provision of WASH in schools, health care facilities and public places.

In humanitarian and crisis contexts across the world, UNICEF plays a prominent co-ordination role. When conflicts become more protracted and open-ended, there is often an increasing demand for UNICEF to play a longer-term role in re-building, developing and sustaining urban WASH services. In these longer-term situations, UNICEF can engage in 'post-disaster needs assessments' and 'peace building assessments' when opportunities present, to aid the recovery of urban WASH services. As part of emergency preparedness, UNICEF can support strengthening in-country WASH humanitarian co-ordination mechanisms, alongside detailed mapping of urban WASH stakeholders that could be mobilised for urban humanitarian response – especially for protracted crisis settings.

Co-ordination expertise is also an important element in UNICEF's work in public health. Increasing urban public health emergencies will require UNICEF to support stronger, inter-sectoral collaboration and linkages with other relevant co-ordination platforms, for more effective and efficient responses to such emergencies.

Sector financing

Leveraging sustainable financial resources is central to UNICEF's broader strategy for WASH. Working with the World Bank, regional development banks, other international financial institutions, the private sector and other partners, UNICEF will help mobilise and develop new funding sources with a focus on meeting the needs of the urban poor, both in development and humanitarian settings.

For cities and small towns, macro-level financial analyses can be undertaken in collaboration with other stakeholders. These analyses can provide a national picture of the existing levels of current investment and financing, the sources and distribution of these investments, and their sufficiency relative to sector needs. Established tools such as 'Tracking Financing to WASH' (or 'TrackFin')[38] can be applied to help quantify and map current sector spending, and methodologies such as WASH public expenditure reviews[39] can be used to assess the efficiency and effectiveness of government systems to channel funds appropriately. The

37 For an example of how UNICEF can contribute to small town sanitation planning, see UNICEF's 2015 fieldnote, *Sanitation in small towns; experience from Mozambique*. Mozambique small town WASH project

38 Details on the Trackfin approach and methodology are available at: http://www.who.int/water_sanitation_health/monitoring/investments/trackfin-methodology/en/

39 Practical guidance on undertaking public expenditure reviews in WASH are available at: http://documents.worldbank.org/curated/en/667911468340140917/pdf/NonAsciiFileName0.pdf

findings from these types of studies can be used to bolster UNICEF advocacy activities at the country level, particularly in government ministries that are accountable for WASH services. In addition, they can be used as means to 'kick-start' sector debates on developing a long-term national financial strategy for achieving the WASH SDGs in urban areas – including increasing the focus on serving the poor in urban contexts.

Box 6:
Tapping into public finance management and local governance expertise across UNICEF[40]

UNICEF social policy staff have expertise in using public finance management and local governance tools to examine the efficiency, effectiveness and equity of public funding, and to generate data and evidence for advocacy with key stakeholders to inform policy and resourcing decisions. These tools and approaches can also be used to support programme outcomes in the WASH sector.

Collaboration between UNICEF WASH and social policy teams offers an opportunity to identify gaps in financing, apply new analytical tools and approaches, leverage relationships with government agencies and ministries of finance, and carry the findings and recommendations forward into programme activities and advocacy. UNICEF's WASH guidelines on *Public Expenditure Analytical Tools for Use in the WASH Sector* can be a helpful resource in this area. Working with social policy teams and using the programme guidance on local governance approach to programming[41] can similarly enhance understanding and engagements with local governments for achieving results on urban WASH.

In cholera-endemic countries, efforts should be made to focus urban WASH investments in cholera 'hotspots' (areas where cholera outbreaks are persistent). Being a member of the Global Task Force on Cholera Control (or the 'GTFCC'), UNICEF should continue to advocate for the implementation of the global roadmap to end cholera by 2030.[42]

UNICEF should also encourage and collaborate with donors, financial institutions, governments, private sector and other WASH actors at all levels, to develop innovative financing mechanisms for urban WASH, including blended financing models (models involving different funding sources such bilateral grants and loans to finance urban WASH programming).

Capacity development

A major bottleneck in urban WASH planning – as recently reported by 2019 UN Water Global Analysis and Assessment of Sanitation and Drinking Water (or 'GLAAS')[43] – are the technical and managerial human resource capacities in the sector. The report estimated that only 14 percent of countries have sufficient human resources to implement their urban water supply plan, while adequate human resources for urban sanitation are even lower, with only 11 percent of countries having sufficient capacity.

UNICEF will advocate for the development, implementation and co-ordination of capacity-building activities for urban WASH at global, regional and country levels, in collaboration with relevant stakeholders. UNICEF can also provide direct strategic support at all these levels in order to develop capacity and create awareness on the human rights approach to WASH, as well as gender-sensitive and inclusive WASH in all urban contexts.

Increasing urbanisation and demand, aging water distribution mains and limited technical capacity are the major issues being faced by water utilities in addressing the challenges of non-revenue water[44] in many countries. Most utilities in developing countries are not operating at optimum level and are not well-positioned to attract additional financing to extend official, fairly priced, predictable water services to the urban poor. UNICEF can collaborate with partners to develop appropriate business models, advocate for appropriate reforms that can strengthen the capacities of utilities on pro-poor water service provision, and help establish an effective system for monitoring the quality of such services.

In many countries, the responsibility for the provision and regulation of urban sanitation has been devolved to local government agencies (typically municipal and town authorities) – many of whom face significant capacity constraints and struggle to meet their responsibilities. On-site sanitation provision,

40 United Nations Children's Fund, *UNICEF's Engagements in Influencing Domestic Public Finance for Children (PF4C): A Global Programme Framework*, UNICEF, New York, 2017. Availab https://www.unicef.org/socialpolicy/files/UNICEF_Public_Finance_for_Children.pdf

41 United Nations Children's Fund, *A Local Governance Approach to Programming: Guidance for achieving multisectoral results through working with local governments*, UNICEF, New York, 2019. Available at: Local government approach to programming guidance

42 Global Task Force on Cholera Control, *Ending Cholera: A Global Roadmap to 2030*, GTFCC, 2017. Available at: https://www.who.int/cholera/publications/global-roadmap.pdf?ua=1

43 World Health Organization, *National Systems to support Drinking Water, Sanitation and Hygiene: Global Status Report 2019*, WHO, Geneva, 2019. Available at: https://apps.who.int/iris/bitstream/handle/10665/326444/9789241516297-eng.pdf?ua=1

44 Non-revenue water can be defined as treated water that is pumped and then lost or unaccounted for.

especially in slums, tends to be made up of a complex web of independent providers working right across the sanitation value chain. In addition, arrangements for urban sanitation regulation and enforcement, as well as hygiene promotion, can be complex as the responsibilities of the responsible departments (for example local health or environment authorities) are often poorly defined. These are clear examples of areas where UNICEF can support municipal actors to build capacity on urban sanitation and behaviour change activities.

UNICEF will continue to use its global presence to help facilitate South-South co-operation – for example through learning exchange programmes on technical assistance from other countries with relevant urban WASH experience (see Box 7[45]).

Box 7:
South-South co-operation on urban WASH in Ethiopia

UNICEF Ethiopia country office facilitated co-operation and discussions between the governments of Brazil and Ethiopia, so they could learn from each other on successful urban WASH models.

As part of this exchange, Brazil provided technical assistance to Ethiopia in the design of condominium sewerage systems, as part of the ONEWASH Plus programme being implemented by UNICEF.

UNICEF can leverage its leadership roles in WASH emergency response and co-ordination, and (in collaboration with World Bank, UN HABITAT, UNHCR and other relevant stakeholders) can advocate to governments to assess city absorptive capacity regarding humanitarian crises and fast urbanisation. This advocacy should consider the needs of host communities, IDPs, migrants and refugees in national and sub-national plans (including city plans). UNICEF can also support municipal authorities and water utilities to develop their capacity in this area. This would allow them to assess the impact of hazards, how to protect and preserve human life, and how to limit damage to and destruction of public and private assets, rather than focusing solely on rehabilitating / developing infrastructure and restoring services after crises. World Bank,[46] UN HABITAT,[47] and United Nations Office of Disaster Risk Reduction (UNISDR)[48] all have existing tools and guidance for conducting city absorption capacity and resilience assessment, which are useful resources and can be adapted for all urban contexts.

UNICEF can support institutional and system strengthening for humanitarian preparedness and response, and this might involve influencing sector policies and strategies for adequate human and financial resources to prepare, co-ordinate and respond to emergencies.

As WASH sector lead agency, UNICEF can also support the strengthening of information management systems for urban WASH humanitarian response, especially for countries in protracted crisis settings, or countries exposed to epidemics and natural disasters. Having accurate and up-to-date information is critical for such responses on urban WASH for many reasons – to support effective vulnerability and risk analyses, mapping of hotspots for epidemics, conducting needs assessments, mapping national capacities, and mapping of in-country emergency supplies and equipment.

Planning, monitoring and review

Planning

Comprehensive evidence generation and analysis of the urban WASH sector equips UNICEF with the best understanding possible of the specific context, in order to engage with government and other stakeholders in the planning of urban WASH services.

In cities and small towns, UNICEF can work with other development partners to ensure the integration of WASH requirements in urban planning and renewal, with a specific focus on meeting the needs of women, girls and persons with disabilities – groups that are often neglected in urban WASH planning. UNICEF is already working in this area – for example through its partnership with WaterAid and WSUP on the development of female-friendly public and community toilets guidance for planners and decision makers.[49]

UNICEF can engage with and support existing urban planning and development initiatives, for example through supporting the development of an area-based WASH plan to promote urban -rural continuum in service provision such as a district 'open defecation free' (ODF) plan that integrates small towns and rural areas. UNICEF can also use its influence in the WASH sector to promote the use of bottleneck analyses in government programme planning and budgeting processes, ensuring an increased focus on the urban poor and most marginalised populations.

In humanitarian and emergency settings, UNICEF can support the WASH sector and government to initiate multi-year combined humanitarian and development planning

45 IRC, *The Start of a Shared Learning Journey: A South-South Water and Sanitation Services Partnership between Brazil and Ethiopia*, IRC, Addis Ababa, Ethiopia, 2015. Available at: https://www.ircwash.org/sites/default/files/learning_note_1_south_south_collaboration_brazil_ethiopia_22082015.pdf
46 World Bank's 'CityStrength Diagnostic: Promoting Urban Resilience'. Available at: https://www.worldbank.org/en/topic/urbandevelopment/brief/citystrength
47 UNHABITAT's 'City Resilience Profiling Programme (CRFP)'. Available at: http://resiliencetools.net/sites/all/docs/PocketGuideToResilience.pdf
48 United Nations Office for Disaster Risk Reduction (UNISDR)'s 'Disaster Resilience Scorecard', for cities aimed at providing a single integrated perspective on a city's total disaster resilience posture. Available at: https://www.unisdr.org/we/inform/publications/53349
49 More details are available at: https://washmatters.wateraid.org/publications/female-friendly-public-and-community-toilets-a-guide-for-planners-and-decision-makers

and budgeting processes. These can incorporate return on investment[50] analyses, renewable energy options, and cost recovery models (where possible), in order to support sustainable solutions from the beginning of humanitarian response. UNICEF can collaborate with UNHCR to ensure that WASH is adequately reflected in developing responses that will address the needs of urban refugees and also cater for the host communities, in line with the 'Comprehensive Refugee Response Framework'.[51] Efforts should be made to integrate emergency preparedness and risk-informed programming within government annual and long-term planning and budget processes.

UNICEF and partners are encouraged to use WASH vulnerability mapping to advocate with governments to undertake inclusive urban planning processes which address the universal right to water and sanitation.

In terms of planning for urban areas in protracted conflicts or crises, UNICEF can instigate and/or support systematic market analyses, in collaboration with other WASH cluster members, as part of ongoing preparedness and contingency planning.

Monitoring and review

Monitoring of urban WASH, in the context of achieving SDG targets 6.1 and 6.2 and along the total service chain, is challenging due to inadequate disaggregated data. There is much work that needs to be done in order to obtain the necessary data, to enhance the visibility of the poor and underserved in urban areas. This is particularly true for information on gender-sensitive WASH and persons with disabilities. The lack of reliable information limits sector understanding of the plights of urban poor and most marginalised populations, and means the service providers do not have the information they require to extend or enhance services to them.

For cities and small towns, UNICEF can use its experience and influence to support government agencies at national and local levels to introduce equity-focused urban WASH indicators into national and local systems. In the case of water supply, this would involve working closely with government agencies responsible for sector regulation and reporting, as well as urban water service providers (national, regional and city-based utilities). Similar efforts can benefit urban sani-

Box 8:
Working with government on development of WASH master plan in Sudan

In Sudan UNICEF has collaborated with UNOPS, government institutions and other development partners to support the development of WASH 'master plans', towards attaining SDG 6.1 and 6.2 targets in the city of El Fasher. The plan aims to reach 650,000 people in urban areas, peri-urban areas and IDP settlements of the city.

As part of the wider humanitarian and development efforts in Sudan, similar WASH master plans were then developed for Zalingei town, in Central Darfur.

50 For example, see the UNICEF/WFP tool 'Return on Investment for Emergency Preparedness Study'. Available at: https://www.unicef.org/publications/index_81164.html

51 UNHCR's 'Comprehensive Refugee Response Framework' for refugees and host communities is available at: https://www.unhcr.org/comprehensive-refugee-response-framework-crrf.html

tation; UNICEF can support municipal or town authorities to report on service levels and outcomes, including specifically on inequities, through the development of appropriate indicators, monitoring and reporting mechanisms and related capacities.

UNICEF can carry out evidence-based advocacy to specifically highlight inequities in service coverage, as well as supporting service provider efforts to better understand their customer base in low-income communities. It can also explore monitoring and research partnerships with NGOs such as Water and Sanitation for the Urban Poor (WSUP),[52] and other development partners with strong ties to utility and regulation reform processes.

Given an increasing need for emergency response in urban settings, UNICEF can promote and support the inclusion of humanitarian urban WASH indicators in national WASH monitoring and reporting systems, wherever possible, in order to strengthen the overall preparedness and response.

For both development and humanitarian settings, UNICEF can work with relevant stakeholders to introduce mechanisms for mid- and longer-term review of urban WASH sector performance, in order to monitor progress, the refinement of strategies and approaches, and for increased learning and experience sharing. Government can also be supported to put in place mechanisms to ensure data transparency and public access to information on urban WASH services.

2.2 Service-level support

Service-level support consists of set of proposed actions and activities that UNICEF can undertake to support the delivery of safe water, sanitation and hygiene services to the urban population, with a specific focus on the poorest and most marginalised children and their families.

Programme thematic areas for service-level support are:

- Evidence generation and analysis for inclusive urban WASH service delivery;
- Delivery of services and supplies;
- Building sustainable markets; and
- Financing

Service-level support for urban WASH will require working with a diverse range of formal, informal, private, or public service providers, in different urban contexts – which means UNICEF will require a strong understanding of local contexts and the ability to work with an extremely broad range of stakeholders. For example, water service providers might include large utilities, municipal government, small town water boards (or similar), engineering contractors, water kiosk operators, water truckers and private vendors, or community-based organisations (CBOs). Sanitation service providers might include similar broad range of stakeholders, such as large utilities, municipal government, engineering contractors, community-based entrepreneurs, formal or informal pit emptiers, and CBOs.

Access to basic water services in urban areas is generally higher than sanitation and hygiene services. This is often because the urban water supply sub-sector has relatively more structured institutional arrangements and mechanisms, as well as better funding for service delivery. Addressing urban sanitation and hygiene challenges is often more complex, requiring more attention and appropriate solutions for effective delivery.

UNICEF is well-placed to address this gap as its comparative advantage is often strongest for support to the provision of sanitation and hygiene services. In small towns, the level of UNICEF support will likely be scaled according to the size and complexity of existing or planned service arrangements. In general terms, the closer the characteristics of the small town to rural areas, the better placed UNICEF is to play a leading role supporting service planning and delivery. In more complex urban environments such as cities and mega-cities, the type and nature of UNICEF support is likely to be much more targeted at helping utility service providers find effective means to extend services to low-income areas, or to explore new service delivery approaches that may work better for the poor.

In conflict and crisis settings, UNICEF is increasingly playing a pivotal role in the rehabilitation of infrastructure, as well as in the capacity building of technical staff, often after insecurity has hollowed out pre-existing capacity. UNICEF's support in humanitarian and protracted crisis settings can also be aimed at reducing the rate of WASH service decline, and when necessary, supporting repairs and asset-based rehabilitation.

The programme thematic areas for service-level support are explored below. More detail on the priority activities and suggested entry points by thematic area are outlined at **Annex 2.**

52 In Kenya, for example, WSUP have been working with utilities and the national regulator begin systematically reporting on key performance indicators measuring service delivery to low-income areas. More information on WSUP's work in Kenya is available at: https://www.wsup.com/where-we-work/kenya/

Evidence generation

UNICEF can support research and evidence generation that is focused to better inform programme implementation and policies. For small towns and city contexts, UNICEF can consider support in evidence generation and analysis of urban WASH services, such as:

- Reviewing existing pro-poor urban WASH service delivery models and approaches, for identifying workable and affordable solutions for addressing urban WASH challenges;
- Carrying out WASH service delivery assessments for urban schools, healthcare facilities and public institutions (such as markets and transportation hubs);
- Assessing and mapping sanitation services in cities to identify areas that are most poorly served, to help design priority interventions for increasing access to safely managed sanitation (this could be through using the 'Shit Flow Diagram'[53] or other appropriate tools);
- Multiple vulnerability / service-level mapping, to encourage an equity approach for planning and delivery of more inclusive WASH services;
- Willingness and ability-to-pay surveys for water and sanitation services;
- City or town-level market assessments of existing demand and supply for sanitation goods and services; and
- Other research and evidence generation focused specifically on increasing utilities' understanding of the plight of the poor, with a view to building a business case for increased engagement.

For urban areas in humanitarian and protracted crisis settings, UNICEF can consider:

- Using its role as cluster lead to identify and support the collection and analysis of data that may be useful to the response. For example, gathering epidemiological data, and carrying out vulnerability and risk analyses, to map hotspots for epidemics and help plan and implement an appropriate and effective response;
- Supporting market assessments in emergency settings, to support informed decisions on the adoption of cash transfer programming for humanitarian WASH; and
- Leading research on the equitable provision of WASH services in the emergency response, taking into consideration the special needs of women, girls and persons with disabilities.

Delivery of services and supplies

UNICEF's focus on urban WASH service provision is on reaching the poorest and most marginalised populations, especially where no-one else is able to do so. This could take the form of technical assistance to municipal authorities and utilities, and partnerships with NGOs and the private sector to develop appropriate and affordable options for WASH services. When other actors are better placed to provide operational support to utilities to improve their service, UNICEF can focus on other areas. In the case of sanitation, this could take the form of technical assistance to municipal authorities looking to develop appropriate and affordable options for on-site sanitation, or supporting the piloting of different faecal sludge management (FSM) business models, working through partnerships with NGOs.

In cities and small towns, service providers will often focus on planned parts of the city with more household connections, greater per capita water consumption and where there is more confidence that bills will be paid. Inevitably, this leads to limited service provider engagement with low-income areas, meaning fewer households connected to the network, and more unreliable, lower quality water services. UNICEF therefore has a clear role to play supporting service providers to improve services to the poor, through sustained advocacy and orientation on the benefits of extending WASH services to low-income communities.

UNICEF can use its in-country experience and influence to help bridge such gaps between service providers and service users, through collaboration with existing and new partners in urban areas, such as local government, pro-poor units within utilities, specialist NGOs and INGOs, and CBOs (such as women's groups, youth groups and organisations for persons with disabilities).

As part of its core commitments for children, UNICEF supports the delivery of services and supplies within humanitarian and protracted crisis settings, when children are most vulnerable. Before the onset of emergency, UNICEF can support the development of emergency preparedness plans, contingency planning and, more broadly, strengthening the operational resilience of utilities, other service providers and the service systems themselves – with the aim of ensuring at least a minimum level of inclusive services to the urban population during emergencies.

53 The 'Shit Flow Diagram' (or 'SFD') is an advocacy and decision support tool for assessment of excreta flow in urban areas. More information can be found in the SFD manual, available at: https://www.susana.org/_resources/documents/default/3-2357-7-1529046600.pdf

Box 9:
Increasing access to WASH services for low income communities in Dhaka, Bangladesh

UNICEF Bangladesh has provided support to low-income communities in Dhaka city, working with the Dhaka Water Supply and Sewerage Authority (DWASA) to expand piped water and sanitation services to previously unserved slum communities.

Increasing access to these services required working closely with specialist national and international partners (namely Dushtha Shasthya Kendra and WSUP), to develop and refine a service delivery approach which met the needs of both DWASA and slum residents. UNICEF plays a key role in supporting and co-ordinating CBOs within Dhaka to both expand pro-poor water connections and improve payment rates from low-income residents.

During the height of a crisis, UNICEF should prioritise supporting existing systems where possible. This includes assisting WASH service providers with critical rehabilitation of water and sanitation system, basic supplies (such as chemicals or spare parts) and power generation (such as fuel, electricity supply and generators). In protracted crisis settings, efforts can be aimed at supporting service providers to gradually move away from subsidies to a more sustainable system of cost recovery, as well as promoting renewable energy as a more cost effective, reliable and environmentally sustainable solution.

Building sustainable markets

People must have access to durable and affordable WASH goods and services in order for services to be sustainable – however, the availability and ability of existing markets to deliver these goods and services varies significantly from country to country. In many places, local markets have struggled to meet new demand as a community begins to change its WASH behaviours. This is often due to inappropriate product availability, unaffordable prices, or bottlenecks in the supply chain and distribution network that prevent suitable goods and services from reaching the poorest consumers. UNICEF can support sustainable markets for WASH goods and services that balance demand and supply – based on solid, context-specific situation assessments and analyses.

Working with government and other partners (such as civil society organisations, development agencies and the private sector), UNICEF can support sustained demand creation activities such as urban 'community-led total sanitation' (U-CLTS),[54] or 'community-led urban environmental sanitation' (CLUES),[55] while building local market capacity to meet up with the incremental demand.

Sanitation markets are under-developed in most low- and middle-income countries, and few business models focus effectively on how they are able to serve the poor and show potential for scale. However, the nascent nature of private sector engagement in sanitation means that there are considerable opportunities for further research and innovation on business models, which can harness the potential of sanitation markets. UNICEF can play a key role in helping to unlock constraints in the sanitation market, through research (for example market and business model assessments), innovation (for example investment in pilots), documentation and learning, supporting the development of business models, and through capacity building on sanitation marketing approaches.

UNICEF can support appropriate urban WASH market-based approaches that are designed to target the root causes of market shortcomings and improve market health. This may include actions at various levels based on strong evidence, such as policy changes, developing financing mechanisms, improving procurement, product innovation, capacity building, and building supportive business environments and regulatory frameworks. UNICEF can also help develop links between the private sector, government and development partners for discussions on market opportunities for WASH goods and services to tap into improved market conditions and improve choice and availability for consumers.

On a larger scale, UNICEF can also explore supporting public-private partnerships and renewable energy options to provide sustainable and resilient WASH services in both development and humanitarian contexts, especially where state control of systems has deteriorated.

Market-based approaches for WASH are a relatively new area for UNICEF in development programmes. There is limited documented evidence and often weak institutional capacity for the promotion of market-based programming for addressing WASH needs in emergency contexts – however, UNICEF can support further research and documentation of existing experiences, to consider how these approaches might be effectively used in humanitarian and protracted crisis settings.

Financing

In order to scale up and sustain urban WASH for achieving the SDGs, there is a need to mobilise and tap into significant additional investment. This will require supporting urban WASH service providers to help them access new forms of WASH

54 More on CLTS, including several examples of urban CLTS, is available at: https://www.communityledtotalsanitation.org/
55 Guidelines on CLUES are available at: https://www.eawag.ch/fileadmin/Domain1/Abteilungen/sandec/schwerpunkte/sesp/CLUES/CLUES_Guidelines.pdf

finance, such as commercial finance, private and public finance leveraged through new forms of public private partnerships, and innovative financing mechanisms such as social- or development-impact bonds.[56] In addition, finance constraints may be alleviated through working to increase capital efficiency (lowering technology costs) or improved operational performance.

There are a wide-range of potential entry-points for UNICEF to support urban WASH financing. The suitability of each one will depend on the context and operating environment in each country, but they include:

- Supporting small- and medium-sized water and sanitation services providers to develop compelling business cases for investment. A sound business case will be a vital pre-requisite for WASH services providers to be able to access various forms of commercial or private finance. To be compelling for private investors, a business case should include: analysis of the market potential; capacity needs; social, political, and environmental analysis; and financial sustainability and cost modelling. Often this level of analysis will be beyond most small- and medium-sized enterprises, and they will require support.

- Supporting service providers to better collect and analyse routine data about their own operational performance and financial viability.

- Providing technical assistance to small- and medium-sized service providers to improve their operational performance and better understand available financing and revenue options and mechanisms. This may include assessing the technical capability of service delivery staff, network mapping, and considerations of appropriate tariff policies. UNICEF's experience means it is particularly well-placed to focus on support to smaller-scale service providers.

- Supporting and influencing the development of an inclusive city / service provider financing strategy, with provision for extending WASH services to poor users.

Exploring and supporting innovations in WASH financing, and how they may be appropriate to specific contexts will be an important element of UNICEF's increased engagement in urban WASH. In Niger, UNICEF is leveraging commercial finance for urban WASH, and in the Philippines, a cross-subsidy model is being used[57] – while in Ghana, a 'sanitation revolving fund' helps small sanitation businesses (see Box 10).

In humanitarian and protracted crisis settings, UNICEF can provide technical assistance to small-, medium- and large-sized service providers to improve their operational performance to improve revenues – for example through improving the technical capability of service delivery staff, network mapping, or developing tariff policy. In protracted crisis settings, UNICEF has provided technical assistance to large water and sewerage utilities experiencing disruption in the delivery of services due to direct (e.g. bombing) and/or indirect (e.g. deteriorating infrastructure) impacts of protracted crises (see Box 11).

Box 10:
Innovative financing for urban WASH

In Niger, UNICEF is leveraging commercial finance for the expansion of water services to small towns – enabling service providers to borrow from commercial financing sources, with funds from a 'renewal and extension fund' and potential donors being used as equity for the loans.

In the Philippines, a cross-subsidy model is being used, with a sanitation fee added to all water tariffs to help fund the provision of portable toilet services for dense urban areas.

And in Ghana, UNICEF is establishing sanitation revolving fund to help local banks lower the required securities and interest rates they charge to small sanitation businesses as part of their urban sanitation programme.

56 Social Finance, *Potential for a Development Impact Bond in Water, Sanitation and Hygiene*, 2016. Available at: http://waterinstitute.unc.edu/files/gravity_forms/17-d870a27bf7d6bfcf4a097c589634863a/2016/10/Impact-Bonds-in-WASH-vUNC-Presented.pdf

57 For more information on the Philippines experience, see the Philippines Toilet Board Coalition's technical report, *Creating Alliances to Accelerate Commercially Viable Sanitation*. Available at: https://www.toiletboard.org/media/4-28-Creating_Alliances_to_Accelerate_Commercially_Viable_Sanitation_-_Toilet_Board_Coalition.pdf

Box 11:
Re-thinking the humanitarian response in a city under protracted crises – UNICEF's urban WASH experience in Aleppo, Syria

In 2009, before the start of the Syrian conflict, nearly 96 percent of the urban population was served by piped water systems through municipal networks – these were centrally managed and provided safe water within national water quality standards. Today, up to 35 per cent of the population could be relying on alternative, often unsafe, water sources to meet their water supply needs. It is estimated that 12.6 million people lack regular access to safe water.

UNICEF activities in Aleppo began in late 2012 when the city was placed under one of the longest sieges in modern warfare, ending in December 2016 when the government took control of the city. The four years of fighting in Aleppo represents one of bloodiest battles of the Syrian civil war, leaving an estimated 31,000 people dead. The fighting and bombing caused major destruction to infrastructure: an estimated 33,500 buildings being either damaged or destroyed and with water and sewage networks severely affected.

Since 2012, UNICEF's WASH intervention in Aleppo has developed substantially over four phases, evolving from an emergency response to more of an urban development programme, focused on the restoration and strengthening of utility services:

- **Phase 1 (2012-2014)** – UNICEF leads an immediate humanitarian response focused on alleviating critical needs through water trucking, water treatment, and emergency network repairs;
- **Phase 2 (2014-2016)** – UNICEF seeks to build and increase service resilience through the development of alternative water sources;
- **Phase 3 (2016-2017)** – focus on repairing and restoring basic services through water network to decrease and eventually eliminate water trucking;
- **Phase 4 (2018 onwards)** – deepening focus on service restoration, network rehabilitation and strengthening the capacity of the local service provider staff through targeted training focused on issues of maintenance, cost-recovery, and consumer engagement.

Over the four phases, the local UNICEF office has learned that the most efficient, equitable and sustainable approach to reach children with water services was not through a seemingly endless conventional humanitarian response, but by strengthening the capacity and capability of the urban water service provider through training and targeted technical assistance. In other urban contexts, this type of training would typically be better supported and co-ordinated by more traditional utility development partners, such as the World Bank or the European Union. However, in conflict and humanitarian settings, UNICEF is often one of the few WASH actors to remain. If conflict and protracted crises continue to increase globally, the experience and capability of UNICEF to support the rehabilitation and strengthening of urban utilities will become increasingly important.

2.3 User-level support

User-level support consists of proposed actions and activities that UNICEF can undertake to empower urban communities, for example to support behaviour change and allow marginalised communities to demand the water, sanitation and hygiene services that are their human rights.

The programme thematic areas for user-level support are:

- Evidence generation and analysis for better understanding of barriers that prevent the participation of urban poor and adoption of WASH behaviours;
- Empowering communities; and
- Financing

The complexity of the urban environment, with large numbers of stakeholders and a lack of co-ordination between different government departments at national and city levels, often means that the voice of service users – and particularly the voice of the poor – is ignored. UNICEF's work on urban WASH will strive to place communities and users at the centre of its programming, exploring mechanisms that give a voice to communities on WASH issues, and how to enable users to access the services they need.

Such support should be primarily targeted on communities, sub-groups or families currently underserved or simply not reached by existing service providers. In urban slums, or those living in rapidly expanding small towns with inadequate service infrastructure, for example, UNICEF can focus on empowering communities to claim their rights, to have capacity to actively engage with service providers and policy makers, and to create and maintain social norms.

Community empowerment efforts can be focused on amplifying the voice, visibility and participation of the poor and marginalised in service delivery, as well as through strengthening structures for accountability. This includes targeted activities to strengthen social accountability for WASH services both within low-income communities and between community groups and service providers. In addition, UNICEF can help poor and marginalised households address financing constraints that can often be their key barrier to accessing WASH services. Finally, UNICEF can provide added value particularly in sanitation and hygiene promotion in both development and humanitarian settings.

The programme thematic areas for user-level support are explored below. More detail on the priority activities and suggested entry points by thematic area are outlined at **Annex 3.**

Evidence generation and analysis

Effective community engagement and behavioural change in urban areas require the collection and analysis of local social data, to increase understanding of barriers that may prevent poor urban communities participating in WASH programming. In all urban contexts, UNICEF can work with other stakeholders to conduct rapid behaviour analyses, which can be helpful in understanding existing community structures, norms and practices in a specific urban environment**.** This could then help the identification and development of appropriate community engagement and behaviour change approaches that meet the needs and aspirations of the poor and marginalised urban populations.[58]

Box 12:
Partnership with Drexel University, United States on urban WASH behaviour review and analysis

At global level, UNICEF partnered with Drexel University, to conduct a review of documented behaviour change communication interventions for water, sanitation and hygiene in urban environments with the aim of having better understanding and programming for WASH related behaviours.

The review concluded that:

- The evidence for promoting handwashing in urban areas is abundant and strong;
- There is substantial evidence for effective community-based approaches to promote vector control in urban areas; and
- Evidence supporting the uptake of behaviours related to water treatment and purification and the safe storage of water, food hygiene and sanitation related to the safe disposal of excreta in urban areas is limited.

UNICEF can use its experience to support the documentation and dissemination of urban WASH behaviour change approaches for learning and scaling up of successful models.

Empowering communities

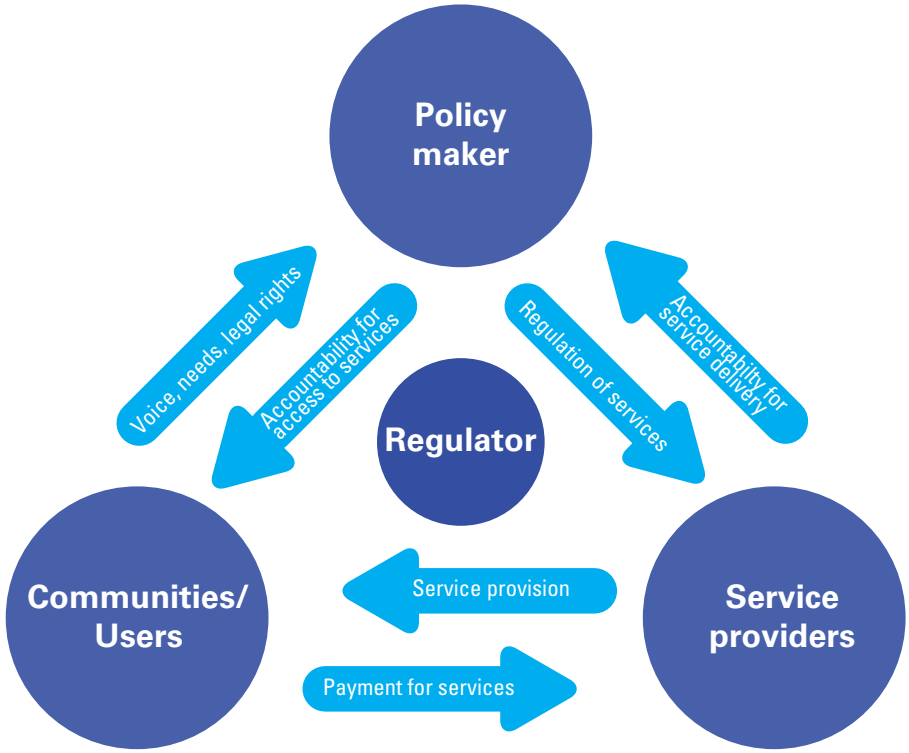
There are specific mechanisms UNICEF can focus on to strengthen and reinforce the accountability links between users, policy makers, service providers and regulators in urban

58 For more information on behaviour change interventions in urban settings, see the Drexel University 2019 report on *Systematic Review of Interventions and Evidence: Behaviour Change Interventions for Water, Sanitation and Hygiene in Urban Settings*. Available at: Systematic review of urban WASH behaviour

contexts. The ultimate aim should be ensuring equitable, affordable and sustainable WASH services to the poor and most marginalised population.

The voice and participation of poor communities in the provision of basic services is often particularly lacking in urban areas, where 'traditional' community structures may not exist. UNICEF can empower users and help government become more responsive to the voices of the poor through strengthening government's capacity on accountability, and improving the enabling environment for pro-poor service delivery (see Figure 10 below[59]).

Figure 10: The accountability framework for sustainable services



From the user's perspective in urban slums and small towns, increased access to information and participation is critical to ensuring provision of reliable and affordable WASH services. This can be achieved through; improving the flow of information about service quality and tariffs; supporting *access* to information; and creating spaces for engagement and interaction with service providers and policy makers. Alternatively, this can be done through the establishment of tailored feedback structures, using mechanisms such as a complaints hotline or a community scorecard.

Another way to improve engagement is through outreach work of low-income units within water and sanitation utilities.[60] This will mean engaging the poorest and most marginalised communities, to establish agreed service-level benchmarks which are then tracked – increasing transparency, accountability and trust. This requires effective mechanisms of service provider monitoring and regulation, but also the communication of these benchmarks to low-income consumers, so that they have the knowledge needed to demand improved services where they are lacking.

The establishment and strengthening of user groups and accountability can be fairly complex in urban settings, both in development and humanitarian settings. To effectively engage on urban WASH issues, UNICEF will need to work through local community-based partners to assess possibilities for increased engagement, including women's groups, youth groups and organisations representing persons with disabilities. As part of wider community engagement strategies, children and young people should be acknowledged and supported so that they can lead and encourage positive social and behaviour change for themselves, amongst their peers, and within their communities – and ultimately influence the decisions of policy makers.

The use of technology can also be explored to enhance accountability. Mechanisms for real-time monitoring and service interruptions using smart technology and mobile applications can be

59 UNDP Water Governance Facility and UNICEF, *Accountability in WASH: Explaining the Concept*. UNICEF, New York, 2015. Available at: https://www.unicef.org/wash/files/Accountability_in_WASH_Explaining_the_Concept.pdf

60 See example from WSUP here: https://www.wsup.com/insights/a-journey-of-institutional-change-extending-water-services-to-nairobis-informal-settlements/

put in place to strengthen users' voices and to increase transparency. For example, UNICEF country offices can take advantage of large youth populations in urban areas to engage them as 'U-reporters', to highlight urban WASH challenges and other child development issues[61] to illustrate urban WASH inequities, as experienced by young people who are being directly affected.

Working with CBOs and user groups, UNICEF can also explore ways to strengthen user participation in urban development and spatial planning processes,[62] and local budgeting processes. This could include looking at ways to encourage neighbourhood groups to play a role in the planning, provision, management and operation of urban WASH facilities and service delivery.

In humanitarian and protracted crisis settings, UNICEF can support mechanisms for engaging communities in preparedness, response and recovery in humanitarian action. This could mean engaging them in participatory vulnerability and risk analyses, the design and adaptation of planned responses, enhancing community capacities for emergencies, building resilience of affected populations for future adversities, and seeking their feedback on ongoing or past response and recovery efforts.

UNICEF has extensive experience in WASH-related behaviour change communication (BCC) and communication for development (C4D) programmes, which can be adapted for urban WASH programmes. Behaviour change techniques include community-based approaches but also encompass social marketing approaches, sanitation and hygiene messaging and approaches based on elements of psychosocial theory.

In urban contexts, these approaches need to consider specific urban characteristics, such as limited social cohesion, lack of land and house tenure, high population density, and multi-story dwellings – as well as the complex social, community and political dynamics which characterise urban environments.

Approaches in urban contexts should also consider what is often a more diverse population, ensuring that all women, men, boys and girls, and those with disabilities are able to participate in and benefit from behaviour change and communication for development programmes.

UNICEF's focus can be on social and behaviour outcomes in both development and humanitarian contexts, and may include:

- Increasing awareness / demand for inclusive WASH services;
- Promotion of hygiene and other WASH behaviours;
- Supporting new social norms (for example towards ending open defecation, the effective disposal of solid waste, or vector control);
- Community and adolescent / youth engagement and empowerment.

UNICEF's engagement in this area is to support the improvement of knowledge, awareness creation, motivation and skills, and to help people make informed decisions about key WASH behaviours and practices. This can involve many different topic areas, such as handwashing, safe excreta disposal, safe water handling and treatment, or menstrual hygiene management. It can be aimed at addressing knowledge gaps, raising awareness of risks, changing perceptions of health workers, dispelling myths and misconceptions, and tackling imbalanced gender roles and social stigma – all of which can hamper efforts to improve community hygiene, sanitation and health.

Achieving results will require collaboration, between UNICEF's WASH and C4D sections, and other external partners who have a track record with behaviour change specifically in urban environments, with a view to sharing experience and expertise and an effective harmonisation of approaches.

UNICEF can also support schools, health care facilities and public institutions to improve the WASH behaviours of users, through appropriate BCC approaches.

Box 13:
Urban Community-led Total Sanitation (U-CLTS)

U-CLTS is a participatory, equity based and pro-poor development approach. It aims to mobilise poor urban communities to take collective actions and work with other stakeholders to achieve sanitation and hygiene outcomes.

61 More information is available at: https://ureport.in/
62 For more guidance see the UNICEF handbook for child responsive urban planning here: https://www.unicef.org/publications/files/UNICEF_Shaping_urbanization_for_children_handbook_2018.pdf

Some sanitation and hygiene approaches which focus on behavioural change outcomes rather than technologies have proved successful in some urban contexts – such as U-CLTS.[63]

In small towns, the U-CLTS approach may be similar to conventional CLTS used in rural areas, though the approach may require more adaptations in larger urbanised contexts and any adaptations should look for opportunities to strengthen gender and disability inclusion.

It should be noted that a community-led approach that addresses all sanitation and hygiene needs across the sanitation value chain in urban areas will always be a challenge. Multiple approaches might have to be used to engage with all the actors across the sanitation value chain to provide the required services. However, U-CLTS or similar approaches can still support community ownership, demand creation and collective action for improved sanitation and hygiene practices – as well as helping government and service providers to understand how and why to provide services to marginalised urban communities.

Financing

UNICEF can explore financing mechanisms to support household owners / occupiers in accessing financing for water and sanitation services, to alleviate financial barriers for poor and marginalised households. This may include helping households access micro-finance loans to upgrade their sanitation facility or connect to water or sewerage networks. Types of intervention may include:

- Supporting small- and medium-scale 'revolving fund' schemes. These types of schemes can take many forms, but the aim is to provide a funding pool to lower the risk for lenders, which in turn lowers required securities and interest rates charged to borrowers for developing and accessing WASH services. In its simplest form, UNICEF can support the establishment of neighbourhood groups, which can then link to such a sanitation revolving fund. Although these types of interventions tend to be fairly limited in scope and scalability, they can be effective in small town contexts where existing community structures still exist, and users can pool their resources and borrowing power.

  In cities, UNICEF can support the establishment of larger-scale funds**.** UNICEF Ghana, for example, is working with a local Ghanaian bank to set up a revolving fund of US$ 300,000, to be used exclusively for loans to local sanitation service providers and poor households looking to construct a toilet. As UNICEF provides the initial capital at lower than market rates, the local bank is then able to lend that money at discounted rates to users and businesses and is also able to relax its lending criteria.

- Sensitising micro-finance institutions to the potential market for water and sanitation lending, and encouraging households to access these finance mechanisms, where appropriate and affordable.

  The lack of maturity in both micro-finance and sanitation markets, as well as socio-economic barriers often constrain or undermine WASH micro-finance initiatives, particularly in sub-Saharan Africa. Where appropriate and based on a good understanding of the micro-finance landscape,[64] UNICEF could look at options to sensitise and support micro-finance institutions to provide loans for sanitation good and services, while ensuring interest rates are provided at affordable level for target households.

- Exploring possibilities of offering payment options in monthly instalments with service providers.

- Supporting the design and implementation of targeted subsidies to low-income households. Any such targeted subsides for the poorest households must consider different vulnerabilities when establishing criteria for selection, such as the elderly, female-headed households and households with persons with disabilities.

- Advocating for pro-poor financial mechanisms to ensure equitable financing of WASH projects that benefit both the rich and the poor. For example, governments could consider projects where utilities pay for the water connection charges instead of the poor, as part of ensuring equitable access to water sources by the poor and most marginalised population.

- Based on evidence and analysis of local markets, UNICEF can advocate and support the use of cash transfer programming (or 'CTP') for humanitarian assistance, with mechanisms put in place to ensure strict compliance with quality, due diligence and adherence to 'do no harm' principles.

63 More on how rural behaviour change approaches may be adapted to urban contexts, including a series of case studies on the U-CLTS is available here: https://www.developmentbookshelf.com/doi/pdf/10.3362/9781780447360

64 For example, see WaterAid's 'step by step' policy brief on embedding sanitation microfinance in sanitation programming, available at: https://www.pseau.org/outils/ouvrages/share_tremolet_consulting_wateraid_embedding_access_to_finance_into_sanitation_programmes_a_step_by_step_approach_2014.pdf

3

Implementing the Global Framework for Urban WASH

3.1 Support from UNICEF headquarters and regional offices

UNICEF's *Global Framework for Urban WASH* is meant to be a flexible tool, and is intended to form the foundation for a common vision on urban WASH for the organisation. The Framework is designed so that regional and country offices can use it as the basis for forming their own more localised, context-specific urban WASH framework and strategy for increasing UNICEF's engagement on urban WASH.

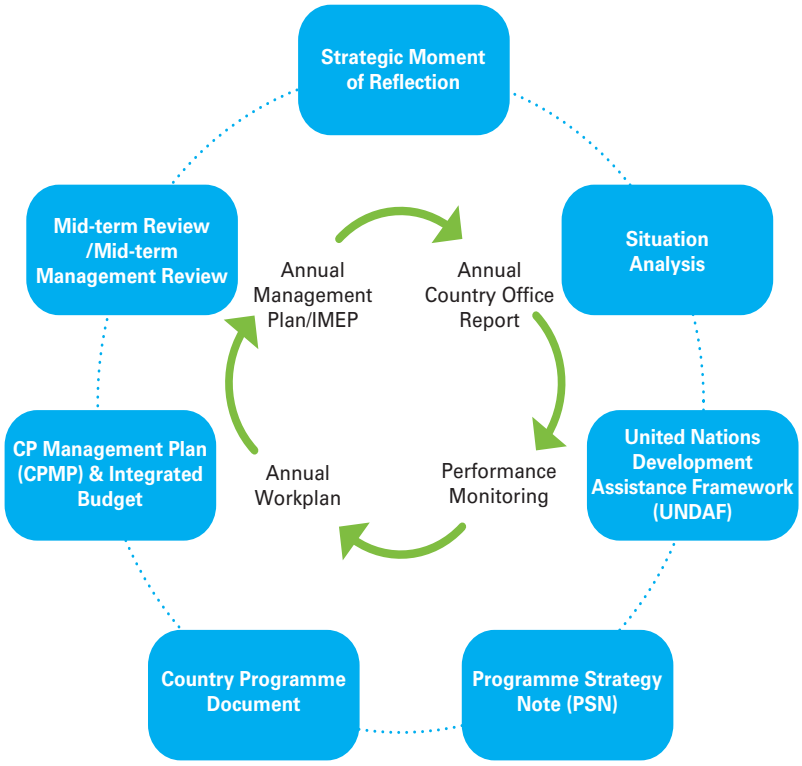
UNICEF headquarters will work with regional offices to provide technical support and advice for the development of country-specific urban WASH strategies, and the incorporation of urban WASH into country programme cycles. To support the implementation of the Framework, headquarters and regional offices can:

- Develop and support the implementation of an urban WASH capacity building plan.
- Develop training packages in urban WASH, particularly aimed at closing gaps in the organisation's knowledge identified by UNICEF, such as urban sanitation solutions and urban WASH financing.
- Support the documentation and dissemination of UNICEF's urban WASH experiences using the Framework, and help promote learning exchanges among regions and countries.
- Support global advocacy for country-level investment in urban WASH programming.
- Develop guidance notes for implementation of the various thematic areas of urban WASH programming, as required.
- Provide tools and checklists for urban WASH analysis and technical assistance for evidence-based, inclusive urban WASH programming.

3.2 Incorporating urban WASH in UNICEF country programme cycles

Increasing engagement in urban WASH requires recognition at a strategic level in country offices to allocate the necessary financial and human resources. Urban WASH can be introduced at any stage of the country programme cycle, using the *Global Framework for Urban WASH* as a guide for possible areas of intervention. Suggestions on how to bring in urban WASH at different stages of the country programme cycle are indicated and illustrated below.

Figure 11: The UNICEF country programme cycle and urban WASH



Mid-term Review /strategic Moment of Reflection:
For country offices that do not have ongoing urban WASH programme, incorporate urban WASH as part of mid term review and strategic moment of reflection of the country programme based on evidence

CPMP:
Incorporate urban WASH in CPMP and integrated budget of the office for mobilization of internal resources (both financial and human resources)

Country Programme Document:
Urban WASH should be incorporated in the CPD based on situation analysis either as a standalone programme or part of the country urban programme

Situation Analysis:
A dedicated specific urban situation analysis should be conducted drawing on MICS, Demographic Health Survey, JMP report and other sources for better understanding of tne situation in urban contexts and to determine the multiple vulnerability being faced by children.

UNDAF:
Based on UNCEF´s role within the wider UN systems and detailed Urban WASH situation analysis, Country Offices can advocate for incorporation of urban WASH in UNDAF

Programme Strategy Note:
Based on the provision in the CPD, urban WASH should be incorporated in the WASH programme strategy note with more detailed information on the scope and implementation strategy

Annual Management Plan/ IMEP:
Based on evidence on situations of children in urban areas incorporate urban WASH in the country Annual Management Plan.

Performance Monitoring:
Focus on monitoring urban WASH programme based on country-level agreed indicators with emphasis on strengthening systems for monitoring the urban WASH SDG targets

Annual Workplan:
Incorporate urban WASH in the WASH programme annual workplan based on approved CPD

Annual Country Office Report:
Urban WASH should be incorporated in the annual Country office report to highlight urban WASH challenges and progress

It should be noted that final decisions on how and where to incorporate urban WASH in the country programme lies with the country office, based on emerging issues and other priorities for child survival, growth, protection and participation. Each country needs to monitor 'triggers' for urban WASH engagement, to ensure that the country programme is addressing the needs of the most vulnerable children. Such potential triggers include: high urbanisation rates; the present urban population especially of children in poor urban environments; declining trends in level of access to improved WASH services and towards achieving SDG targets; high percentage of urban children and their families without access to WASH services; urban WASH emergencies; and public health risks such as a cholera outbreak or effects of climate change.

Just as UNICEF's overall country programme is shaped by country specific context, strategies and approaches of the urban WASH component need to be similarly adapted. Diverse approaches may be needed even within the same country, as programming contexts and typologies will vary based on geographic diversity, conflict, inequality and migration. UNICEF country offices may adopt the Framework for any urban context, depending on their local context and available resources – but below are some ways of incorporating urban WASH into country programmes:

- Developing an urban WASH programme will require a detailed **urban-specific situation analysis** which is usually carried out as part of a 'multi-sector child well-being survey',[65] or an urban MICS to determine the multiple vulnerabilities being faced by children in a specific urban environment. Urban WASH can be incorporated within these surveys to obtain information on the challenges of children in accessing WASH services. In addition, and specifically for WASH, a broader sector situation analysis can be conducted, to understand factors in the enabling environment affecting urban WASH delivery.

- Incorporating urban WASH into the **Country Programme Document** can be used to advocate for UNICEF internal resources (both financial and human resources) for implementing the programme and then reflected in the **Country Programme Management Plan & Integrated Budget** of the office.

- Depending on the context and situation, incorporating WASH into the **country urban programme** provides the opportunity of using inter-sectoral programme approaches to address multiple vulnerabilities being faced by children and their families in the urban environment. Equally, the **Programme Strategy Note** should be prepared incorporating urban WASH as a major component of the WASH programme, for visibility and contributing to the achievement of the overall programme objectives.

- Based on the provision in the **Country Programme Document**, urban WASH can be incorporated in the **WASH programme strategy note**, which includes more detailed information on the scope and implementation strategy.

- Based on evidence generation and in addition to **incorporating urban WASH in UNDAF**, UNICEF country offices can join other United Nations organisations to advocate for sustainable urban development, with a specific focus on meeting the needs of the poorest and most marginalised children and their families.

- Based on evidence informed by detail analysis of urban WASH coverage, trends, vulnerabilities, urbanisation rate and public health risks, country offices with no urban WASH programme can advocate for the inclusion of urban WASH in the **mid-term review of the country programme**, or during the office's strategic moment of reflection. This requires sustained internal advocacy and sensitisation on urban WASH challenges.

- Once urban WASH has country office approval, provision is needed in the WASH programme **Annual Workplan**; with separate indicators for urban WASH in the performance monitoring and annual management review processes.

- Irrespective of the status of urban WASH programming in each country, the **Country Office Annual Report** can be used to highlight urban WASH challenges and progress – and the efforts made by the UNICEF country WASH team to address urban WASH issues affecting children in urban areas.

65 For an example, see UNICEF's *Child well-being survey in urban areas of Bangladesh*, available at: Child wellbeing survey in urban areas of Bangladesh

3.3 UNICEF capacity for implementing the Global Framework for Urban WASH

Although UNICEF's engagement in WASH interventions in the urban context is relatively new, many country offices already have extensive involvement in successful urban WASH programming. The urban WASH knowledge and experience they have gained is a valuable resource which can be built upon. The need for upgraded skills and more in-depth experience in certain areas of urban WASH programming is acknowledged across the organisation.

A capacity assessment of UNICEF staff specifically looking at urban WASH was carried out in 2018.[66] It suggested that knowledge and capacity on some of the urban WASH issues and programming areas was generally low, especially compared to UNICEF's institutional experience and capacity on more 'traditional' rural WASH programming.

On ***urban sanitation*** knowledge and experience, the assessment highlighted that there was a desire for increased institutional UNICEF knowledge and experience on almost every subject area considered, such as: WASH behaviour change; pro-poor approaches to FSM / on-site sanitation; the regulation of urban sanitation services; and monitoring sanitation services to the poor. Staff expressed the strongest need for more knowledge and experience in the area of shaping sanitation markets for the poor, and sanitation financing mechanisms.

On ***urban water*** knowledge and experience, the assessment suggested that UNICEF knowledge and experience is more varied. Responses from UNICEF staff showed a relatively good knowledge of pro-poor service delivery, water regulation, water quality testing and monitoring. However, they also suggested there is a much more limited understanding of WASH financing mechanisms and pro-poor accountability.

As a result of the assessment and UNICEF's broader work on identifying its knowledge and experience gaps, the following priority areas have been identified, to support UNICEF capacity building for increasing its engagement in urban WASH:

- **Increasing basic knowledge of urban WASH.** Clearly, this will be critical for increased engagement by UNICEF in urban WASH programming. A general course on urban WASH programming will be developed at a global level, to provide basic knowledge and information to all UNICEF WASH staff on planning, implementation, monitoring and reporting of urban WASH programming, in both development and humanitarian settings. The course will cover urban planning and all the major urban WASH thematic areas identified as gaps in the capacity assessment, including: pro-poor WASH service delivery models; WASH finance; institutional development; advocacy; co-ordination and regulation; market shaping; capacity development; evidence generation; accountability; behaviour change; monitoring and reporting; risk informed programming; and water quality.

- **Increasing knowledge on urban WASH financing.** Understanding the possible mechanisms and options to support WASH financing in urban contexts will also be crucial. UNICEF has already taken some steps to improve its internal capacity on issues of sector financing through the roll-out of its public financial management for children (or 'PF4C') training and the ongoing development of a WASH financing course. The urban WASH component of the WASH financing course will be strengthened to reflect the complexities of urban WASH, drawing on the experience of staff from UNICEF country and regional offices, as well as other sector agencies working on sector financing, such as the World Bank.

- **Increasing knowledge on urban sanitation service delivery:** The scale of the SDG challenge on urban sanitation – for example of ensuring safe faecal sludge removal, transport and treatment – is huge. It will require the co-ordinated action of a number of sector players. As UNICEF increases its engagement in this area, there is a lot of emerging work and resources that can be used to build internal knowledge and capacity, including the city-wide inclusive sanitation initiative[67] supported by the Bill and Melinda Gates Foundation and the World Bank; emerging work on container-based sanitation;[68] open access academic resources;[69] and DFID-supported initiatives by Water and Sanitation for the Urban Poor and the Toilet Board Coalition.[70] UNICEF can build on these and its own experience to develop additional short and tailored training packages on pro-poor sanitation approaches, regulatory framework, FSM and sanitation financing as part of the overall capacity development plan for urban WASH.

- **Updating existing resources, to include guidance on urban WASH programming:** There are a number of examples where UNICEF can build on existing broader WASH knowledge products to better support urban programming at country level. UNICEF has already developed detailed guidance documentation and training

66 UNICEF's 2019 Urban WASH Capacity Assessment and Mapping report. Available at: Urban WASH capacity assessment report
67 More on CWIS is available at: https://citywideinclusivesanitation.com/
68 More on container-based sanitation available at: https://www.gsma.com/mobilefordevelopment/mgrantee/cbsa-container-based-sanitation-alliance/
69 For example, see Eawag has many examples of urban WASH resources. Available at: https://www.eawag.ch/en/department/sandec/e-learning/moocs/
70 For example, strengthening the enabling environment for FSM, available at: https://www.wsup.com/insights/a-guide-to-strengthening-the-enabling-environment-for-faecal-sludge-management/. Or design and methodology for water and sanitation at https://www.wsup.com/insights/citywide-surveys-of-water-and-sanitation-service-levels-design-and-methodology/. Or broader insights into the sanitation economy at: http://www.toiletboard.org/media/30-Sanitation_Economy_Final.pdf

materials on supporting the WASH enabling environment, as well as promoting accountability in WASH service delivery. UNICEF will update and adapt these knowledge products and materials to include how these concepts and approaches may be best applied in urban settings, in line with its *Global Framework for Urban WASH*.

While these are the identified priority areas for UNICEF as an organisation, each region and country office may have different areas of existing expertise and experience, and a sense of their own specific capacity gaps on urban WASH programming. Developing and organising regional and country-specific urban WASH trainings to meet local requirements will be a critical element of the organisation's aim to expand its capacity on urban WASH.

UNICEF has a number of different mechanisms to increase its capacity in urban WASH programming. Given the wide-range of capacity gaps UNICEF has identified, it is likely that a combination of all of these mechanisms will be required:

- Designing and implementing internal training courses for WASH staff;
- Engagement of urban WASH specialists / focal points within country and regional offices as required;
- Contracting experienced consultants to support in programme design, evidence generation and implementation;
- Establishing programme co-operation agreements (or 'PCAs') and memoranda of understanding (or 'MoUs') with reputable and experienced organisations to support urban WASH programming, based on identified needs;
- Participating in national and international urban WASH conferences for learning and exchange of experiences;
- Promoting 'South-South' learning exchanges for sharing of experiences and technical assistance;
- Promoting peer-to-peer learning by leveraging on the existing urban WASH knowledge and experiences within the organisation and establishment of global and regional platforms for knowledge exchange.

3.4 Partnerships and stakeholders for urban WASH

A key tenet of the *Global Framework for Urban WASH* is that UNICEF engagement in urban areas must be predicated on a detailed analysis of local stakeholder context. This sub-section provides a summary mapping of major urban WASH stakeholders at national and global levels and areas of potential engagement for UNICEF. Some key potential stakeholders are explored below and further described in Table 3.[71] The mapping and table are not intended to represent an exhaustive list of stakeholders operating in all contexts; rather, they are examples for analysis of the largest and most influential stakeholders across the sector. It is recommended that country and regional offices undertake their own stakeholder analysis.

Potential areas for UNICEF engagement and partnership with urban WASH stakeholders include governments and parastatal agencies, with **core government ministries responsible for provision of WASH services**[72] at country level being the most obvious example of these. Some potential areas of partnership here include: strategy and policy development for developing better services to the poor; influence planning and budgeting for inclusive WASH services; and strengthening monitoring systems for services to the poor.

Engaging with **different ministries, departments and agencies related to urban development** is important – such as ministries of housing or finance, chambers of commerce, etc. Many of these ministries and departments may not be traditional partners for UNICEF, but finding integrated solutions to urban WASH challenges requires building new relationships. Short- and medium-term engagement should be targeted on the issues identified in country programme documents and local stakeholder analysis, and relationships can be developed and built through the establishment of new, cross-cutting collaborations, such as urban WASH co-ordination platform.

Regulatory bodies are another set of stakeholders where UNICEF engagement can help to improve the quality of urban WASH services. Areas of engagement might include the regulation of private sector providing sanitation and water supply services (providing a voice for the private sector to improve market conditions) or providing guidance on setting tariffs (especially in small town / low capacity contexts). UNICEF could also engage with regulatory bodies in supporting the development of pro-poor key performance indicators (or 'KPIs').

71 UNICEF (2019): Urban WASH stakeholders' analysis. Available at: Urban WASH stakeholders analysis report

72 These would usually be the ministries of water and sanitation; health; education; environment, local government. See Table 3 for more detail.

Municipal and town authorities often play the pivotal role in the practical provision of urban WASH services. Local government and city authorities are key stakeholders in urban WASH service provision and are a natural partner for UNICEF. On sanitation, for example, UNICEF can: partner with local authorities on 'information, education and communication' (IEC) and BCC programme development; help set appropriate and realistic standards for toilets and FSM; and develop legal frameworks for the enforcement of sanitation standards. On water supply, UNICEF can work with authorities to advocate and influence utilities to provide services in low-income areas, help plan those services and set appropriate tariffs for these areas, and can support the regulation of water vendors.

Engaging big WASH service providers will be key. For water supply, UNICEF can partner with **city and national utilities** in the areas of research and evidence generation, to increase an understanding of the plight of marginalised urban poor communities, but also with a view to building a business case for increased engagement. For small-town operators, technical assistance and support can be provided by UNICEF to help improve service performance of the utilities. For sanitation, UNICEF can support the utilities in understanding FSM service options, as well as exploring how to develop and increase demand for sanitation services through IEC and BCC initiatives. In addition, UNICEF can provide technical assistance to utilities to explore different management models that could improve water and sanitation service delivery and develop sustainable financing strategies.

Partnerships with **NGOs** will continue to be a crucial element of UNICEF's engagement on urban WASH; they are often critical to supporting implementation, especially in areas where government partners have weaker capacity. Depending on existing capacity, NGOs can contribute to UNICEF country offices as they develop urban WASH strategy and implementation plans, as well as supporting joint planning for better co-ordination and complementary implementation. NGOs can also work with UNICEF on the effective scaling up of successful urban WASH models and approaches.

Financing for urban WASH is a specific area where UNICEF can engage relevant stakeholders, to open up new avenues for funding, share experience and learning, and influence policy and programming.

Development banks, for example, are often the major in-country funders of urban WASH – particularly for infrastructure. Funds are generally managed by government institutions, which provides an opportunity for UNICEF to influence spending for more inclusive programming. Potential areas of partnership include seeking involvement in planning processes, where UNICEF can use its experience and expertise to provide technical guidance, helping to avoid duplication and ensure better co-ordination. Development banks are often well represented in donor co-ordination and sector working groups, and many of them have similar policy priorities to UNICEF. Brokering effective partnerships with development banks can therefore present the organisation with strong allies to help improve sector co-ordination and influence sector priorities. Partnerships between UNICEF and development banks can benefit both parties: UNICEF can help development banks understand how to make infrastructure investments more effective in reaching the poor, but the organisation can also learn much from development banks; they often have a wealth of experience in urban WASH developments, including useful innovations such as city-wide inclusive sanitation.

Apart from being an important source of funding for UNICEF, **bilateral development partners** can also be hugely influential in government plans and priorities. Potential areas of partnership include on sector co-ordination; development partners are often well represented in sector working groups, and can be a useful partner in supporting specific issues related to inclusion – particularly when it aligns with their funding priorities. Development partners' experience can play an important role in programming co-ordination and learning – for example facilitating the sharing of information from other donor-funded projects and providing opportunities to understand and incorporate development partners' best practice from other countries.

Foundations (such as the Bill and Melinda Gates Foundation) provide similar opportunities for learning and innovation, as well as being a potentially important source of funding for urban WASH. Although foundations do not always have country-level presence, their approach is often based on rigorous research and is strongly experience- and evidence-based. They are therefore often valuable partners for joint working with UNICEF, especially when innovative service delivery modalities need to be developed and tested.

Some other critical stakeholders UNICEF will need to engage in their urban WASH programming include research institutes, the private sector, and other UN agencies. Partnerships with **research institutes** can support applied research and learning, evidence generation as well as provide additional human resources for urban WASH through internship. Engagement with the **private sector** (small/medium/large; national/international) is also crucial as it can provide additional capacity for urban WASH delivery – and can support innovation and evidence generation.

With the ongoing UN reform, UNICEF can work closely with other **UN agencies** on joint planning, sector co-ordination and learning exchanges to promote better co-ordination, harmonisation of approaches and leveraging of resources for inclusive urban WASH services.

A detailed stakeholder mapping for urban WASH including examples, main roles and expertise is outlined in Table 3 below.

Table 3: Major urban WASH stakeholders mapping

CATEGORIES	EXAMPLES	MAIN ROLES / EXPERTISE
Government and parastatal agencies		
WASH ministries	Ministries of water and sanitation; health; education; environment, local government	Policy and strategy; institutional and legal frameworks; sector planning and budgeting; sector lead and co-ordination; sector oversight and monitoring; support to implementation
Ministries related to urban development	Ministries of finance; planning; urban development; and housing	Diverse depending on the ministry, but includes: housing – sanitation standards / enforcement; environment – solid waste management, sludge containment and disposal, water security (city level); finance – mobilisation of public finance for water / sanitation; urban development – city planning, infrastructure development
Regulatory bodies	Regulatory agency; environmental agency; bureau of standards	Regulatory bodies for tariff, public-private partnerships, licensing, consumer protection; monitoring effluent, water supply and other standards; Sets standards for effluent, water supply and FSM
Municipal and town authorities	City corporations; city authorities; town council	Public health; on-site sanitation and environmental regulation; solid waste management; oversight of water supply (implementation delegated to utility or other service provider)
City or national utilities	Water supply and sewerage authorities / corporations; water corporations; waste management authorities	Provision of water supply, sewerage and treatment facilities mainly in big cities, but may extend to small towns; most utilities are responsible for wastewater transport and treatment for networked customers. Some utilities (e.g. in Lusaka) have taken responsibility for on-site sanitation
Private sector and consumers		
Small to medium scale sanitation private sector (local, national and international)	Small enterprises: mechanical/ manual toilet emptiers; community-based entrepreneurs (e.g. masons) National / international sanitation businesses: e.g. Sanergy / Sanivation (Kenya); Pivot works (Kenya / Rwanda); Clean Team (Ghana)	Meeting market demand for on-site sanitation and FSM especially in unconnected areas
Water private sector (local, national and international)	Small enterprises: water vendors and truck owners; (some) water utilities; bottled water providers	Meeting market demand for water services especially in low income areas underserved by the utility
Local finance institutions	Local commercial banks and micro-finance institutions	Finance for private sector providers to expand their operations; Finance to users to access basic WASH services / connect to network
International / national consulting firms	Various working across sectors and the policy cycle	Across the policy cycle – i.e. research, diagnostics, design, implementation, monitoring and evaluation
User groups / CBOs	CBOs; user / housing associations; traditional leadership	Providing a voice for the poor for lobbying; co-ordinating project activities; consultation / participation

CATEGORIES	EXAMPLES	MAIN ROLES / EXPERTISE
Global actors		
Development banks	World Bank (WB); African Development Bank (AfDB); Asian Development Bank (ADB); Inter-American Development Bank (IADB); Kreditanstalt für Wiederaufbau (KfW); European Investment Bank (EIB)	Large concessional and commercial loans for at-scale investment Smaller grants for preparation or technical support Tend to have effective systems for managing large projects and institutional development Increasingly seeking new ways to address city-wide sanitation and to be poor inclusive in both water and sanitation investments
Bilateral development agencies	DFID; Japan International Cooperation Agency (JICA); EU; GIZ, Swiss Agency for Development Cooperation (SDC), The Netherlands Ministry of Foreign Affairs; USAID, Millennium Challenge Corporation (MCC) / Millennium Challenge Account (MCA)	Grants and technical assistance, for country level projects through implementing partners (NGOs, UN agencies, contractor/ consultants, governments) Grants funding to various stakeholders enables more freedom to trial new approaches
Global actors		
Foundations	Bill and Melinda Gates Foundation (BMGF); Stone Family Foundation; Tata Foundation; Rockefeller Foundation	Large, medium, small grants to projects which align with their strategic objectives Increasing focus on applied research, dissemination of new, existing knowledge, teaching, consulting. Approach tends to be rigorous and evidence based
UN agencies	UN Development Programme (UNDP); UN Refugee Agency (UNHCR); UN Human Settlement Programme (UNHABITAT); United Nations Office for Project Services (UNOPS)	UN specialised agencies to support vulnerable people such as poor women, children, refugees; advocacy, long-term presence, specialist target groups, etc.
National / international technical specialists		
Research institutions	Technical colleges and Universities - including Water, Engineering and Development Centre (WEDC), IHE Delft Institute for Water Education (IHE); Swiss Federal Institute of Aquatic Science and Technology (Eawag), International water management institute (IWMI), Centre for Sustainable Energy (CSE)	Development of tools to help diagnose urban WASH challenges & identify solutions; applied research of water and sanitation technologies; applied research to inform water and sanitation standards; dissemination of knowledge
NGOs (national and international)	Urban WASH services for the poor: WSUP; Global Communities; WaterAid (increasingly focused on urban) Sanitation / private sector focused: Toilet Board Coalition; PSI; Borda Humanitarian / emergency: Oxfam; Red Cross / Red Crescent / ICRC	Implementation of sanitation and water supply services for the poor; capacity building of private sector in sanitation and water supply services; innovation in service delivery

3.5 Monitoring the implementation of the Framework

In collaboration with the UNICEF's regional WASH advisors, headquarters will monitor the use of the Framework in influencing urban WASH programming at regional and country levels, as part of the annual programme review. Specific urban WASH indicators have been incorporated in the WASH programme annual reporting which will be closely reviewed for monitoring the use of the Framework and the overall progress being made in urban WASH programming.

Specific indicators for monitoring the implementation of the *Global Framework for Urban WASH* will include:

- Number of UNICEF country offices including urban WASH as part of their situation analysis of children;
- Number of UNICEF country and regional offices with an urban WASH strategy/framework;
- Number of countries that have urban WASH policies and strategies in place.

Each country office is expected to develop specific indicators for monitoring the implementation of their urban WASH programme. The indicators should align with the WASH sector indicators for monitoring urban WASH SDG targets in the country.

The Framework will be reviewed and adapted every five years, as part of the overall revision of the global WASH strategy, based on lessons learned and emerging programmatic issues.

Annex 1: Sector-level support – priority activities and entry points

The table below outlines potential entry points and priority activities by programme thematic area, for **sector-level support**, for engaging in urban WASH.

PROGRAMME THEMATIC AREAS	PRIORITY ACTIVITIES & ENTRY POINTS
Evidence generation	*Urban WASH situation analysis,[73] including the following:* 1. Assessment and review of urban WASH situations, trends, progress and challenges in achieving urban WASH SDG targets. 2. Assessment of policy, regulatory, institutional arrangements and co-ordination mechanisms for service delivery to the poorest, for both development and humanitarian settings. 3. Analysis of urban WASH systems and service providers (utilities, private sector, CBOs, NGOs etc), particularly those serving the poorest. 4. Sector-wide analysis of urban WASH stakeholders, their roles, capacities and ongoing programmes. 5. In humanitarian and protracted crisis settings, UNICEF is encouraged to develop vulnerability maps based on MICS, population density, human displacement public health risks, etc. The maps should apply an entire population approach, including host community, IDPs, refugees and migrants. 6. Assessment of city absorptive capacity for humanitarian crisis towards meeting the needs of IDPs, migrants and refugees. *Knowledge generation and dissemination* 1. National-level market assessment of the demand and supply for sanitation goods and services for the entire sanitation value chain (including tariffs and affordability). 2. Rapid behaviour analysis to better understand existing community structures, norms and practices in urban areas. 3. Assessment of market-based programming in urban WASH humanitarian response. 4. Advocacy to government using existing evidence, as well as new evidence generated by UNICEF and other partners, to inform policy, strategies, and government allocation - with a focus on the urban poor and marginalised populations, for both development and humanitarian settings.

73 More detail on the components of an urban WASH situation analysis can be found at Annex 4.

PROGRAMME THEMATIC AREAS	PRIORITY ACTIVITIES & ENTRY POINTS
Policy and strategy development	*Engagement on national and local policy and strategy development* 1. Support government to address policy gaps related to the urban poor. For example, service delivery to informal areas, arrangements for small town service provision, and helping authorities to better define the boundaries of service areas. 2. Seek to strengthen areas of regulation which impact poorer people. For example, technology standards for on-site sanitation and FSM, oversight of public toilets, and strengthening poor-inclusive key performance indicators for service providers. 3. Ensure the SDG WASH agenda ('universal access' to basic / safely managed services) are mainstreamed into policy goals and national strategies, and are reflected in investments. 4. Advocate for promotion of CWIS approaches for comprehensive and holistic solutions of addressing urban sanitation challenges. 5. Ensure that WASH service provision for vulnerable populations such as refugees, IDPs and migrants and hosting communities are included in policy and strategy development, prioritising the concept of peaceful co-existence of displaced populations with host communities. 6. Advocacy to development banks and bilateral donors. Use existing evidence (as well as relevant new evidence generated by UNICEF and others) to help shape development bank / donor operations and policy engagement in poor-inclusive aspects of urban WASH service delivery.
Institutional arrangement & co-ordination	1. Support institutional capacity assessment for implementation of poor-inclusive urban WASH. 2. Advocate for strengthening / establishment of an effective regulatory framework for urban WASH. 3. Participate in and support existing urban WASH co-ordination efforts. For example, explore options for engaging in urban WASH co-ordination mechanisms as an entry point for more targeted advocacy and influencing of urban WASH stakeholders. 4. Support city-level regulation and co-ordination. For example, support the design and implementation of appropriate, poor-inclusive by-laws for sanitation - including technology selection and legal enforcement. 5. Strengthen national humanitarian coordination and look for opportunities to exit from the WASH cluster, where relevant and possible. 6. Support stronger inter-sectoral collaboration and linkages with other relevant sector co-ordination platforms (e.g. health etc.), for more effective and co-ordinated public health responses.
Sector financing	1. Analysis of WASH sub-sector financing, focused on financing sources, quantity, equity and 'gaps'. 2. Evidence-based advocacy for mobilising investments and funding for improved WASH services for the urban poor, both in development and humanitarian settings. 3. Provide support for the development of innovative financing mechanisms for urban WASH. 4. Advocate for prioritising SDG WASH investments for cholera hotspots, in cholera-endemic countries.

PROGRAMME THEMATIC AREAS	PRIORITY ACTIVITIES & ENTRY POINTS
Capacity development	1. Support the development, implementation and co-ordination of a sector capacity building plan for urban WASH. 2. Advocate with governments to incorporate assessment of city absorptive capacity for humanitarian crises and fast urbanisation, towards meeting the needs of host communities, IDPs, migrants and refugees in national and sub-national plans (including city plans). 3. Support sector capacity development in the areas of human rights approach to WASH; gender-sensitive, accessible and inclusive WASH in urban contexts. 4. Promote South-South co-operation for technical assistance from other countries with relevant experience. 5. Advocate for appropriate reforms, strengthening the capacities of utilities for poor-inclusive WASH delivery. 6. Support institutional and system strengthening for humanitarian preparedness and response.
Planning, monitoring and review	*Planning* 1. Collaboration with other UN agencies and relevant stakeholders to better integrate WASH into city planning and urban development initiatives. 2. Use of sector bottleneck analysis tools and dissemination of results to inform programme planning and budgeting processes, ensuring both humanitarian and development needs are considered. 3. Use of WASH vulnerability mapping by both UNICEF and partners, to advocate to government on inclusive urban planning processes that address the right to water and sanitation. Should cover humanitarian and development phases for the entire community, with a specific focus on the needs of women, girls and persons with disabilities. 4. Provide support for the development of area-based WASH plan (e.g. district ODF plan) integrating small towns and rural areas for promotion of urban-rural continuum in service provision. 5. Advocate for the inclusion of WASH requirements in urban planning standards and adoption of international standards (or 'ISOs') related to sanitation, occupational health and hygiene. 6. Advocate to government and other relevant stakeholders to strengthen systems for emergency preparedness and response. Should include host communities, IDPs and migrants as vulnerable populations while planning for provision of WASH services. 7. Provide support for multi-year combined humanitarian and development planning and budgeting processes. 8. Advocate for integrating emergency preparedness and risk informed programming in the government annual and long-term planning and budget processes. 9. Support systematic market analysis as part of preparedness planning in countries under protracted crises. *Monitoring and review* 1. Design and institutionalise national and local WASH monitoring indicators for both development and humanitarian interventions which measure service delivery to the urban poor and most marginalised populations (e.g. IDPs, migrants and refugees). 2. Dedicated support to city and town authorities to strengthen their systems and processes for monitoring and reporting WASH services, leveraging existing relationships from other areas of UNICEF programming. 3. Advocate and support government to institutionalise WASH sector review for monitoring SDG 6 progress.

Annex 2: Service-level support – priority activities and entry points

The table below outlines potential entry points and priority activities by programme thematic area, for **service-level support**, for engaging in urban WASH.

PROGRAMME THEMATIC AREAS	PRIORITY ACTIVITIES & ENTRY POINTS
Evidence generation	*Operational research and analysis to help support urban service provision / service providers* 1. Review and analysis of existing poor-inclusive urban WASH service delivery models and approaches. 2. Assessment of sanitation situation in the cities for mapping the areas that are worst affected, using 'Shit Flow Diagram' tools or similar. 3. City or town-level market assessment of existing demand and supply for sanitation goods and services. 4. Surveys and analysis to understand communities' willingness and ability to pay. 5. Multiple vulnerability / service-level mapping with equity approach for planning and delivery of inclusive WASH services. 6. Assessment of WASH service delivery in urban schools, healthcare facilities and public institutions (markets, public transport hubs/motor parks etc.) 7. Research and evidence generation to help utilities increase their understanding of poor-inclusive urban WASH services. 8. Market assessment in emergency settings, to consider if cash transfer programming may help. 9. Supporting the collection and analysis of epidemiological data, and vulnerability and risk analyses for mapping hotspots for epidemics, and the planning and implementation of appropriate response.
Delivering services & supplies	1. Support city and town authorities to assess and develop WASH service delivery plans that incorporate the needs of the poor and most vulnerable. 2. Support the promotion of evidence-based innovative and affordable solutions and approaches for poor urban populations. 3. Support the delivery of services and supplies in urban emergencies when children are most affected. 4. Support the delivery of services to reach the poorest and most marginalised populations where no one else is able to do so.

PROGRAMME THEMATIC AREAS	PRIORITY ACTIVITIES & ENTRY POINTS
Building sustainable markets	1. Analysis of context-specific situations to design appropriate strategies for supporting sustainable markets for WASH. 2. Building links to industry, for example by convening consultation events to help forge links between the private sector, government and development partners, and to discuss market opportunities identified through the research of UNICEF and others. 3. Support strengthening of the demand creation activities through partnership with governments, civil society organisations, and other development partners for the implementation of appropriate and context-specific interventions. 4. Support strengthening of the supply-side. In collaboration with government partners, on building supportive business environments and regulatory framework on strengthening markets for delivery of affordable goods and services. 5. Support sustainable small and medium-sized enterprise WASH service delivery models. For example, explore public-private partnerships and renewable energy options to provide sustainable and resilient WASH services in both humanitarian and development contexts, especially where state control of systems has gradually deteriorated.
Financing	*Support small- to medium-scale service providers to access finance to expand their business and/or improve the quality of services* 1. Business plan development**.** Support SMEs to develop a business or investment plan for provision of WASH services. This might include for FSM, public or community toilets, poor-inclusive sanitation and water services as well as sustainable energy options for water and wastewater installations. 2. Mapping finance options. Support SMEs to understand the options which may be available to them to access capital, aggregate demand and guarantee prices. This may be through existing channels, or new mechanisms supported by UNICEF. 3. Provide technical assistance to service providers to improve their operational performance in humanitarian settings *Support and influence the development of an inclusive city / service provider financing strategy* 1. Develop poor-inclusive financing strategies. Advocate for poor-inclusive components to urban WASH investment plans which make specific provisions for the poor, for example, removing water connection fees for poor households, or developing a more pro-poor tariff design. 2. Explore innovative financing options. In collaboration with financing experts and institutions, explore innovative financing mechanisms such as blended financing and development investment bonds, to finance sustainable and inclusive urban WASH service delivery models.

Annex 3: User-level support – priority activities and entry points

The table below outlines potential entry points and priority activities by programme thematic area, for **user-level support**, for engaging in urban WASH.

PROGRAMME THEMATIC AREAS	PRIORITY ACTIVITIES & ENTRY POINTS
Evidence generation and analysis	• Collection and analysis of social data for better understanding of barriers that prevent the participation of urban poor in WASH programming and adoption of WASH behaviours. • Support rapid behaviour analyses, which can be helpful in understanding existing community structures, norms and practices; and support harmonisation of strategies and designing of appropriate interventions in urban environment
Empowering communities	***Community engagement and accountability*** Strengthen and amplify the voice of poor / vulnerable users with the service provider, through: • Promoting accountability for WASH service providers – for example through the establishment of feedback mechanisms such as hotlines, community scorecards etc. Strengthen mechanisms to enable effective low-income community participation in service planning and design, through: • Strengthening user participation in urban development and spatial planning processes, and in local budgeting processes; • Adapting tools such as community-led urban environmental sanitation (CLUES) and urban community-led total sanitation (U-CLTS), which are related to participatory planning and process in urban contexts; • Supporting mechanisms in humanitarian settings for engaging communities in preparedness, response and recovery, and in participatory vulnerability and risk analyses. • Empowering communities to get involved – for example through engaging user groups to explore options for proactive community engagement with local WASH services, to foster solidarity and accountability amongst WASH users themselves.

PROGRAMME THEMATIC AREAS	PRIORITY ACTIVITIES & ENTRY POINTS
Empowering communities	***Behaviour change:*** Creating demand for urban WASH services, through: • Supporting the improvement of knowledge, awareness creation, motivation, skills and social support for WASH behaviours and practices; • Implementing tailored marketing and behaviour change campaigns in low-income communities for enhanced sanitation services, primarily focused on safe excreta disposal and management; • Support integration of community-based demand creation and sensitisation activities with utility outreach to low-income areas. Improving sanitation and hygiene practices through community engagement and behaviour change, through: • Strengthening community engagement and implementation of BCC approaches in low-income communities, schools, health care facilities and public institutions to support users to improve behaviours; • Supporting documentation and dissemination of urban WASH behaviour change approaches for learning and scaling up of successful models.
Financing	Supporting household owners / occupiers in financing their own access to sanitation services, through: • Supporting and advising micro-finance institutions where possible and appropriate, to reduce the interest they charge to low-income households, and exploring ways to support households to access this lending; • Exploring options for neighbourhood loans schemes (for example, small-scale 'revolving funds') – particularly in small town contexts; • Supporting the design and implementation of targeted subsidies to low-income households; • Advocating for pro-poor financial mechanisms to ensure equitable financing of urban WASH projects; • Based on evidence, advocate and support the use of cash transfer programming for humanitarian assistance with mechanisms for reaching the poor and most marginalised families.

Annex 4: Components of an urban WASH situation analysis

The table below outlines components of a situation analysis for urban WASH. It is not meant to be prescriptive; it may be expanded or narrowed depending on the context and what existing resources and analysis are already available.

PRIORITY ANALYSIS AND ASSESSMENT TOPICS	EXAMPLE RESEARCH THEMES / ANALYSIS TO CONSIDER	TOOLS / RESOURCES
National level		
Urban WASH coverage, as well as progress, trends & challenges for achieving SDG targets	Analysis of coverage/service level and trends by wealth quintile/gender/age for: • Sanitation (open defecation/unimproved/limited/basic/safely managed) • Water (surface water/unimproved/limited/basic/safely managed) • Handwashing (no facility/limited/basic) • WASH in schools (no service/limited service/basic service) • WASH in health care facilities (no service/limited service/basic service) What are the challenges for achieving SDG urban WASH targets? What and where are the gaps for urban WASH delivery?	**Key resource:** WHO/UNICEF JMP reports and data: Available at: https://washdata.org/ Other tools/resources: Other existing reports and initiatives from sector players

PRIORITY ANALYSIS AND ASSESSMENT TOPICS	EXAMPLE RESEARCH THEMES / ANALYSIS TO CONSIDER	TOOLS / RESOURCES
National level		
Policy, regulatory & institutional arrangements for service delivery to the poor, for both development & humanitarian settings	*Institutional arrangements* Are the functional roles (such as policy development, financing and service delivery) of urban water and sanitation sector agencies well-defined and operationalised across different urban contexts? What are the co-ordination and accountability mechanisms for urban WASH? How are WASH-specific roles co-ordinated within broader urban programming and policies? *Regulation* Are national or local regulation mechanisms in place for water and sanitation? Are they enforced? Are there any provisions for poor or marginalised households? Are there provisions for informal service providers? *Pro-poor policies* Are informal settlements addressed specifically in national or local policy? Are there dedicated national or local government agencies/departments focused on informal settlements – are arrangement for WASH specifically mentioned? What is the level of tenure security, is there risk of eviction? *WASH in emergencies* How adequate are the provisions for WASH in emergency preparedness, response and recovery in urban settings in existing policies and guidelines? Is there provision for urban resilience in the national/local policies/guidelines for coping with chronic stresses and acute shocks, including water crises?	**Key tool:** UNICEF WASH bottleneck analysis[76] Other tools/resources: • Service delivery assessment (or 'SDA')[77] • Global Annual Assessment of Sanitation and Drinking Water (or 'GLAAS')[78] Other existing reports and initiatives from sector players

74 For more information see; WASHBAT - Simple guide to the online platform
75 See Pathways to progress: https://www.wsp.org/sites/wsp.org/files/publications/CSO-Synthesis-Report.pdf
76 WHO's annual global assessment is available at: http://www.who.int/water_sanitation_health/monitoring/investments/glaas/en/

PRIORITY ANALYSIS AND ASSESSMENT TOPICS	EXAMPLE RESEARCH THEMES / ANALYSIS TO CONSIDER	TOOLS / RESOURCES
National level		
Performance of key urban service providers (e.g. government agencies, utilities, & the private sector)	*Private sector enablement* Are effective systems in-place to encourage private sector involvement in the urban WASH sector? If the private sector is active, are they reaching the poor? *Utility and municipal services* Are utility or municipal services pro-poor? Are there poor-inclusive and gender-sensitive WASH guidelines or strategies? *Equity in service delivery* Are there existing plans for provision of WASH services for the poor? Are these plans costed and financed? Is there evidence of clear differences in service quality or coverage or pricing within or between different urban areas or service providers? Are services accessible for persons with disabilities? Are there costed plans for provision of gender sensitive WASH facilities in schools, health care facilities and public institution? Are there plans and policies addressing existing gender inequalities in access to WASH services?	**Key resources:** • National- or utility-level WASH monitoring data • Annual regulator reports • Secondary reports and studies of informal service providers
Key urban WASH stakeholders, their roles, capacities & ongoing programmes	What are the roles and responsibilities of major stakeholders operating in the urban WASH sector – including government, multi-lateral development agencies, UN agencies, development partners, development banks and other financial institutions? What are the capacities of key actors to fulfil their functional responsibilities in urban WASH, both in humanitarian and development settings? How effective is the collaboration between the different stakeholders?	**Key resource:** A high-level stakeholder analysis can be found at Table 3, in section 3.4

PRIORITY ANALYSIS AND ASSESSMENT TOPICS	EXAMPLE RESEARCH THEMES / ANALYSIS TO CONSIDER	TOOLS / RESOURCES
City level		
Policy, regulatory, & institutional arrangements for service delivery to the poor	Most analysis will follow the same questions to consider as with the national-level above, but with a city focus. *Additional questions on sanitation* Sanitation is considered a priority due to particularly urgent need and lack of services to the urban poor. What is the extent of FSM services development at city level? What is the quality of the enabling environment for FSM services, and the level of commitment to FSM service sustainability?	**Key tool:** 'City Service Delivery Assessment' (or 'CSDA') for FSM[79]
Performance of informal & formal city level services providers	*Service providers in low income areas* Who are the service providers in slums, small towns, or crisis affected cities? If informal service providers exist, how do these compare and interact with formal city services and relevant authorities? *Service providers in protracted crisis areas* To break the vicious cycle of service degradation for urban water supply and sanitation, it may be useful to start an analysis based on benchmarking indicators and approaches using appropriate tools, such the World Bank's 'international benchmarking network' for water and sanitation utilities (or 'IBNET'), to inform and monitor action plans to help services begin to recover and resume commercial and technical operations. *City absorptive capacity for inclusive growth and humanitarian crises* What is the city planning capacity to anticipate future demand and to plan for environmental sustainability and equity? What absorptive capacity does the city have for needs of IDPs, migrants & refugees?	**Key resource:** The IBNET for water and sanitation utilities[80]

77 A full description of CSDA tool and methodology can be accessed via the World Bank website, available at: http://documents.worldbank.org/curated/en/461321468338637425/pdf/106805-REVISED.pdf

78 The World Bank tool for IBNET is available at: https://www.ib-net.org/

Annex 5: Additional resources

THEMATIC AREA	RESOURCE	LINKS
Global Urban WASH Framework additional resources		
Case studies on urban WASH	United Nations Children's Fund, *Urban WASH Programming in Megacities: Supporting Low-income Communities of Dhaka, Bangladesh*, UNICEF, New York, 2019.	Link
	United Nations Children's Fund, *Urban WASH in Small Towns: The 'ONEWASH Plus' Programme in Ethiopia*, UNICEF, New York, 2019.	Link
	United Nations Children's Fund, *Urban WASH Programming in Protracted Crisis contexts: Aleppo's Experience, Syria*, UNICEF, New York, 2019.	Link
Stakeholder analysis	UNICEF 2019 Urban WASH Stakeholder Analysis report	Link
Capacity assessment	UNICEF 2019 Urban WASH Capacity Assessment report	Link
Additional resources		
Regional urban WASH framework	United Nations Children's Fund, UNICEF's Regional urban WASH strategic framework for South Asia, UNICEF Regional Office, South Asia, 2019.	Link
Urban WASH programming	Water & Sanitation for the Urban Poor, *The Urban Programming Guide: How to Design and Implement an Effective Urban WASH Programme*, WSUP, 2014	Link
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