



CSR in Water, Sanitation and Hygiene (WASH)

What are India's top companies up to?





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EXECUTIVE SUMMARY

Executive Summary

620 million people or 50% of the population in India defecate in the open.¹ In order to address this critical situation and make sanitation a national priority, the Indian Government launched the Swachh Bharat Mission (SBM) with an ambitious goal to end open defecation in India by 2019.

Along with providing government funding, the Swachh Bharat Mission has also sought active participation from the corporate sector to tackle the issue. Companies have responded to this call-to-action with enthusiasm; many leveraging Section 135 of the Companies Act, 2013, which introduced mandatory Corporate Social Responsibility (CSR), to contribute to the campaign.

Despite this significant interest and participation from companies, little is known about their approach, the nature of their interventions and the barriers they face while implementing programs in the field of Water, Sanitation and Hygiene (WASH). In an attempt to generate evidence-based data that can guide companies and help them make informed decisions about such programs, this study analyses CSR efforts in WASH by the 100 companies with the largest CSR budgets on the BSE 500.

The main findings of the report are as follows:



Corporate India has responded enthusiastically to the Government's call-to-action on Water, Sanitation and Hygiene (WASH) issues.

90% of the 100 companies reported at least one CSR intervention in WASH over the last three years, with a

total of 164 programs carried out. Of these, 38% were public sector undertakings.



Industries with strategic interest in WASH lead the way

Heavy Engineering and Manufacturing and Fast-Moving Consumer Goods (FMCG) companies were more likely to support WASH programs than other industries. This higher level of interest can be explained by the strategic importance of WASH to both these industries – FMCG companies have products such as soaps, disinfectants and sanitizers that are closely aligned to the WASH agenda and were most likely to conduct programs aimed at influencing behaviour and attitude. Heavy Engineering and Manufacturing companies have an incentive to provide facilities for communities residing around their factories as well as the resources to construct these facilities.



CSR programs in WASH are broadly aligned to the needs of states, although North-East India has been ignored

Data indicated that the most popular states for CSR in WASH were Maharashtra, Uttar Pradesh, Rajasthan, Gujarat, Tamil Nadu and Karnataka. These states also reported high rates of open defecation. However, some states such as Jammu and Kashmir, Assam and Arunachal Pradesh were neglected, despite high open defecation rates. The North-East in general saw low levels of corporate interest.

¹WHO/UNICEF Joint Monitoring Program (JMP) Study on Water Supply and Sanitation (2011)



CSR programs in WASH focus more on rural areas

Of the 86 companies that published information on geographical coverage, 52% were focused exclusively on rural areas, compared to only 17% which focused on urban areas. The remaining 31% were spread across mixed geographies. In the face of a growing urban population, the lack of adequate facilities to support this rapid growth could result in serious health risks for urban populations if sidelined.



CSR in WASH is focused on the creation of infrastructure, but discounts software aspects such as behaviour change

Despite compelling evidence that the construction of toilets alone cannot eliminate open defecation, 75% companies were supporting programs related to creating infrastructure, such as the construction of toilets and water facilities, with little focus on programs aimed at influencing behaviour. Underlying reasons for this could include perceiving behaviour change programs as high-risk due to difficulties quantifying and measuring impact, the long gestation period required and a lack of knowledge combined with construction-oriented targets defined by the Government.



The operation and maintenance of toilets is neglected

The operation and maintenance of sanitation facilities is essential to ensure that there is no 'functionality' gap due to poor conditions that render these facilities unusable. However, only 15% of companies reported incorporating the repair and maintenance of toilets as part of their CSR initiatives.



Programs on influencing behaviour appear tokenistic

20% of companies reported integrating behaviour change communication (BCC) into their programs. Data on existing programs suggests that a majority were

implementing awareness programs on the importance of good WASH practices and organizing cleanliness drives. While creating awareness is a necessary part of any program that aims to influence behaviour, this forms only one component of an effective behaviour change communication program. This trend indicates that even the few companies that are conducting BCC programs could be doing so as a token gesture or from a lack of understanding of BCC.



The way forward

Companies: Companies should consider addressing existing gaps in the WASH lifecycle, such as the operation and maintenance of sanitation facilities and influencing the behaviour and attitude of communities. Companies can also collaborate with other key stakeholders on the WASH agenda through collective impact models which reduce risk and encourage sustainability.

Government and NGOs: Non-Government Organisations (NGOs) could work to boost community participation and ownership in WASH interventions. Central, State and local Governments should encourage holistic sanitation models and ensure that the political environment is conducive for corporate participation.

The sanitation ecosystem: For a well-functioning WASH market, gaps in the ecosystem need to be addressed. There needs to be more attention given to financing solutions for stakeholders, innovations should be encouraged across the value-chain, actionable knowledge produced and disseminated and stakeholders supported through capacity building initiatives.

EXECUTIVE SUMMARY

 *The Swachh Bharat Mission has catalysed the conversation around sanitation, right from the streets to the boardrooms of corporate India. However, despite substantial support from the corporate sector, the road ahead remains challenging. We need to recognise that tackling this issue is as much about changing ingrained behaviour and social norms as it is about infrastructure. To address these gaps and move forward we need to bring together key players in the sanitation ecosystem and drive collective efforts towards ending open defecation in India. We must engage in the full cycle of 'Build, Use, Maintain and Treat.' The India Sanitation Coalition aims to do this by creating a dynamic platform for companies, civil society groups, government, financial institutions, media and multilateral organizations and experts to find sustainable solutions for sanitation.* 

- Naina Lal Kidwai
Chair, India Sanitation Coalition

Background

Understanding the critical need for access to water, sanitation and hygiene practices in India.

Of the 1.1 billion people in the world who defecate in the open, 59% live in India.²

67% of rural Indian households still do not have access to proper sanitation facilities.³

Inadequate sanitation facilities causes India economic losses of US\$53.8 billion a year.⁴

The vital need for people living in India to access safe drinking water, utilize toilets and practice good hygiene cannot be underestimated. Of the 1.1 billion people in the world who defecate in the open, 59% live in India.

Global development agencies use the acronym WASH to refer to the three interrelated public health areas that require urgent attention – water, sanitation and hygiene (WASH). It is the neglect of these three areas that has led to the current sanitation crisis in the country.

Poor sanitation, water and hygiene can have serious repercussions on healthcare, education and the economy. The inability to access improved sources of drinking water leaves 97 million people in India vulnerable to many communicable diseases that are spread through ingesting unsafe water. 88% of diarrhoeal deaths globally are due to a lack of access to proper sanitation facilities.⁵ An emerging body of research on malnutrition also suggests that the root cause of stunting in India may be due to an

abundance of human waste polluting soil and water, rather than food scarcity.

Such problems are compounded in urban slums, where the close proximity of living spaces, open drainage and poor maintenance of existing facilities cause significant health-risks for those residing in such areas. While 63% of urban populations have access to improved sources of sanitation,⁶ the quality of these services remain inadequate and unequally divided amongst citizens. Meeting the increased sanitation requirements of a rapidly growing urban population is a cause for concern.

Poor WASH services contribute to significant economic losses as well. India loses up to \$600 million on medical treatment and lost production and 73 million working days are lost each year due to water-borne diseases.⁷

² WHO factsheet, 2010

³ Census 2011

⁴ The Economic Impacts of Inadequate Sanitation in India, WSP

⁵ Safer water, better health: costs, benefits and sustainability of interventions to protect and promote health. [PDF - 60 pages] World Health Organisation, Geneva.

⁶ WHO/UNICEF Joint Monitoring Program (JMP) Study on Water Supply and Sanitation (2015)

BACKGROUND

“ *Equitable access to clean water, safe sanitation and hygiene are essential to sustain life. 560 million people in the country continue to defecate in the open, and nearly 76 million do not have access to improved water sources. Looking at the extent of the problem, India in the next few years will probably play the most important role of achieving Sustainable Development Goal 6 to ensure availability and sustainable management of water and sanitation for all. It won't be an easy task but given the political commitment towards the cause, it is certainly achievable.*

- Neeraj Jain
CEO, WaterAid India

However, increasing the number of toilets or promoting better infrastructure is not the only solution to the problem – in North India over 40% of rural households with a working latrine have at least one family member who continues to defecate in the open,⁸ suggesting the need for an equal focus on changing behaviour and attitudes towards open defecation.

Realizing the critical need for action, the Swachh Bharat Mission (SBM) was inaugurated on 2nd October 2014. It put India's sanitation crisis at the forefront of national priorities by setting itself an ambitious goal of eradicating open defecation by 2019. One of the key differentiators from previous sanitation campaigns like the Nirmal Bharat Yojna and the Total Sanitation Campaign, is the SBM's proactive engagement with the corporate sector, which leverages corporate social responsibility opportunities created by Section 135 of the Companies Act, 2013. Despite significant corporate interest and participation

in WASH, very little is known about a company's approach, the nature of their interventions and the barriers they face. In an attempt to generate evidence-based data that can guide companies and help them make informed decisions about CSR programs, this study analyses existing Water, Sanitation and Hygiene (WASH) programs undertaken by companies. The report aims to understand major trends, highlight gaps and suggest potential solutions for stakeholders involved in the sanitation ecosystem.

RESEARCH METHODOLOGY

The study selected 100 companies with the largest CSR budgets on the BSE 500.⁹ These companies were chosen based on their position as leaders of Indian industry whose decisions are likely to set trends for the CSR initiatives of other companies. Their influence on the CSR space is also significant due to their large budgets.

Information on the CSR programs of these companies was also easier to obtain, as large companies are required to publish detailed information on their budgets and CSR activities in their Business Responsibility Reports, which is not mandated for smaller companies.¹⁰

Using information published in the public domain from sources such as Business Responsibility Reports, Annual Reports, company websites and media announcements, the study charted corporate interventions against several aspects of the WASH value chain. Data from the most recent year (FY15) was preferred. However, to get a critical mass of data points and account for a delay in the publication of reports, data from FY14 was used in the absence of data from FY15, and from FY13 if data from FY14 was not available.

⁷ USAID Factsheet: <http://populationfoundation.in/wp-content/uploads/2015/09/Water-For-Health-and-CSR.pdf>

⁸ SQUAT survey

⁹ The CSR budget was calculated using Profit Before Tax for three years – FY13, FY14 and FY15

¹⁰ According to a SEBI regulation, top 100-listed entities based on market capitalisation at BSE and NSE are mandated to submit Business Responsibility reports.



Limitations

The following analysis is based on data and information published in the public domain. Therefore, the quality of the analysis may be limited by the quality of information available in the disclosure documents of companies. It is important to note that commitments made by companies towards sanitation do not include data on the actual on-ground implementation and utilization of budgets.

While we believe that this data is representative of corporate sector strategies and approaches in WASH, it is possible that companies may have conducted WASH programs and not reported such activities. Such data has not been incorporated into the study as Samhita has not approached companies for any further details on their activities.

Data for this study was collected from September 2015 – January 2016. Information published by companies after this period has not been taken into consideration.

THE SANITATION ECOSYSTEM: A CONCEPTUAL FRAMEWORK

In order to implement effective and holistic WASH programs that identify current needs and address gaps, it is helpful to examine the issue of sanitation from the perspective of the ecosystem. This conceptual framework highlights critical components within the sanitation ecosystem - the value chain, the lifecycle of a WASH program and the stakeholders involved.

THE VALUE CHAIN

The sanitation value chain identifies the main components that need to be addressed in order to provide safe and sustainable WASH services for communities. They include ensuring the availability and storage of water, the design and construction of toilets for specific target groups and creating systems of disposal and treatment for solid and liquid waste.

LIFECYCLE OF A WASH PROJECT

The lifecycle of a WASH project includes processes that ensure any program implemented across the value chain follows a comprehensive process to ensure efficiency and impact. Such planning will ensure that solutions are developed keeping in mind local contexts, best practices and relevant technologies.

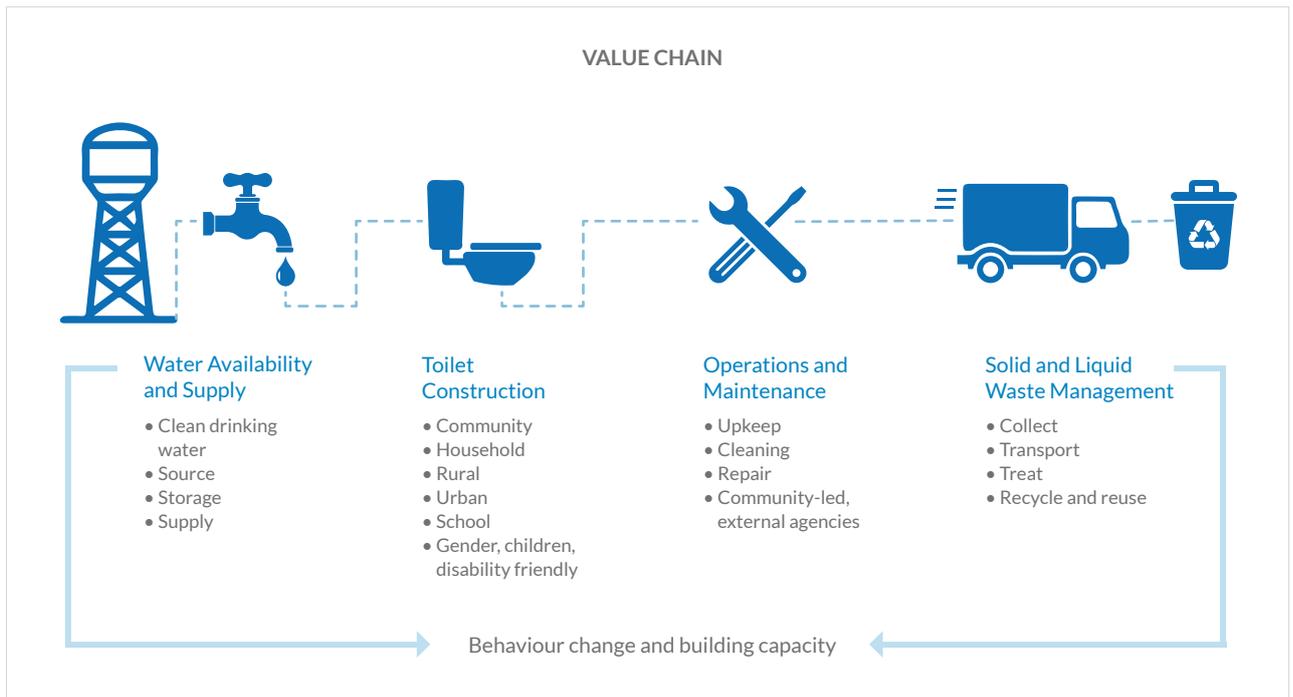
KEY STAKEHOLDERS

Stakeholders include groups directly or indirectly affected by WASH. These include government bodies, communities that require sanitation services, social organisations and companies. It is critical that stakeholders are provided with the right tools and information to make decisions, take action and participate effectively in the ecosystem. Such capacity building of stakeholders needs to be incorporated into individual WASH projects across the value chain.

User behaviour also needs to be influenced in order to ensure that communities adopt new practices and that infrastructure created is appropriately utilized. For this to occur, behaviour change communication (BCC) components also need to be integrated across the value chain.

BACKGROUND

THE SANITATION ECOSYSTEM: A CONCEPTUAL FRAMEWORK



↓
Each component within the value chain needs to follow a comprehensive lifecycle



2. Main Findings

2.1 OVERALL CORPORATE PARTICIPATION IN WASH

Corporate India responded enthusiastically to the Government’s call-to-action on WASH. 90% of companies reported at least one CSR intervention in WASH over the last three years with a total of 164 programs being implemented – indicating a high level of interest from corporate India in addressing the sanitation crisis. 25 companies (nearly a third), reported an exclusive focus on sanitation.

Of the 90 companies that supported WASH programs, 45 companies belonged to the Heavy Engineering and Manufacturing industry, 19 to Banking, 11 to IT & Finance,

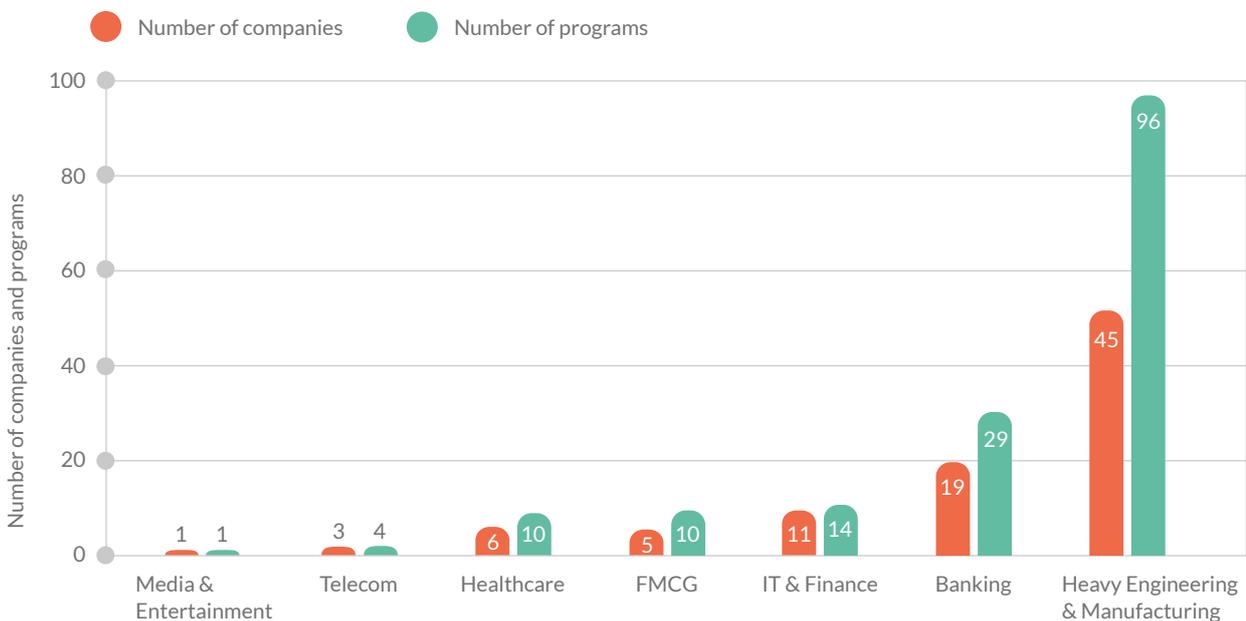
6 were Healthcare companies, 5 were from the Fast-Moving Consumer Goods (FMCG) sector, 3 from the Telecommunication industry and 1 was a Media and Entertainment undertaking.

38%, or 34 out of the 90 companies were public sector undertakings.

Of the 10 companies that did not have a WASH program, 4 belonged to the IT & Finance industry, 2 each to Healthcare and Banking, 1 to Media and Entertainment and 1 to Heavy Engineering and Manufacturing.

Fig 1: Corporate Participation in WASH

Reflecting the overall nature of the sample, the Heavy Engineering & Manufacturing industry dominates the number of companies and CSR programs in WASH



90 companies supported programs in Water, Sanitation and hygiene (WASH).

MAIN FINDINGS

2.2 INDUSTRY-SPECIFIC TRENDS

Heavy Engineering and Manufacturing and FMCG companies were more likely to support WASH programs.

45 out of 46 Heavy Engineering companies and all 5 FMCG companies on the top 100 list reported having at least one WASH program.

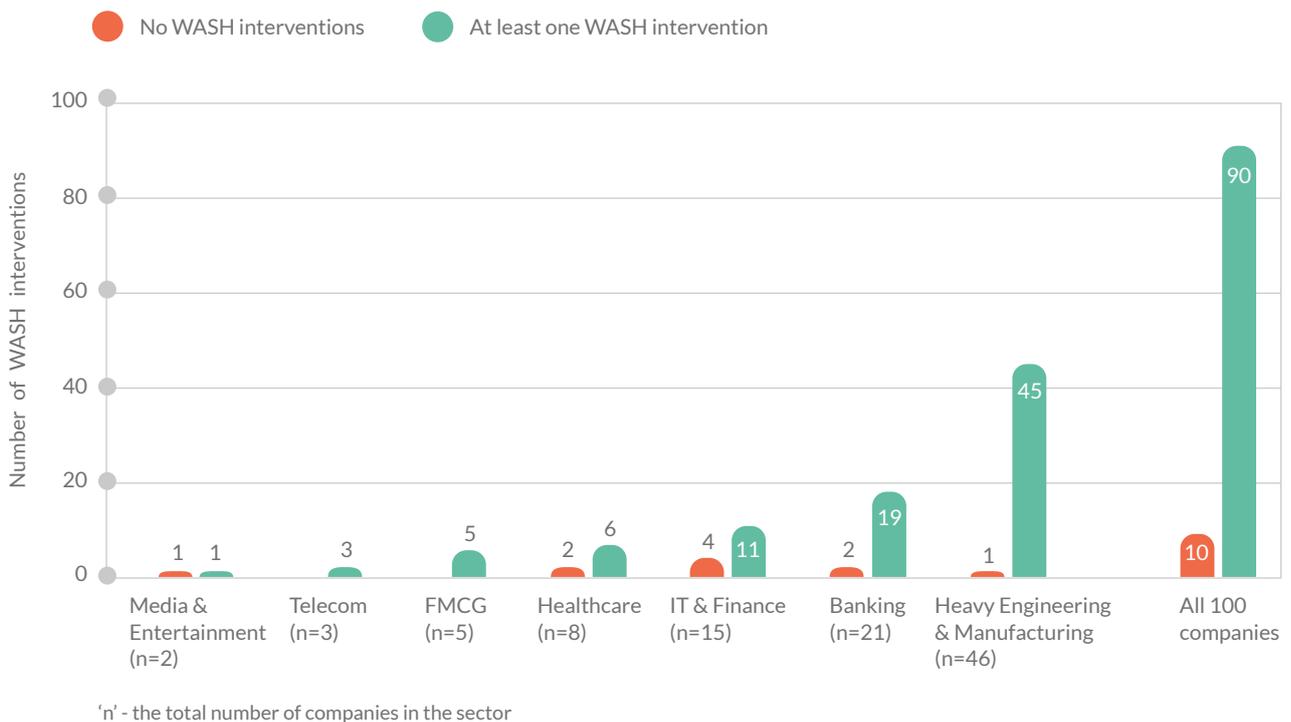
The IT & Finance and Healthcare industries were less likely to support WASH initiatives – about a quarter of companies from each of these industries did not report any WASH programs in the last three years.

(See graph below)

This industry trend can be explained to an extent by the strategic importance of WASH to industries such as FMCG and heavy engineering. FMCG products like water purifiers, soaps, disinfectants and cleaning solutions are aligned to specific issues within WASH, such as access to clean drinking water and good hygiene practices – which explain their interest. Similarly, for Heavy Engineering and Manufacturing companies, the communities surrounding their factories are key stakeholders and WASH forms an important part of their community development initiatives.

Fig 2: Corporate Participation in WASH

Overall, 90% of the companies reported at least one intervention in WASH, though certain industries were more likely to support WASH than others





MAIN FINDINGS

2.3 CSR BUDGETS FOR WASH PROGRAMS

The median CSR WASH budget was ₹ 4.65 crore.

Only 33 companies published information on the financial outlays and budgets of their CSR programs. Based on this data the median allocation to WASH programs was approximately ₹4.65 crore.

However, there were wide variations in the budgets of companies - 8 companies (24%) had a budget of less than ₹1 crore, the lowest reported amount being ₹55,000. 11 companies (33%) had budgets ranging from ₹1 to 5 crore, 6 companies (18%) reported spending between ₹5 to 15 crore and 8 companies (24%) had a budget of more than ₹15 crore - the highest being ₹235 crore, reported by a heavy engineering and manufacturing company.

Given below is a table of the variations in the budgets of the 33 companies that published information as well as a list of the top five public and private sector companies with the largest WASH budgets.

2.4 GEOGRAPHICAL DISTRIBUTION OF CSR IN WASH

Geographically, the CSR effort in WASH was aligned to needs, although parts of North-East India were left out.

Data indicated that the most popular state for CSR in WASH was Maharashtra with 17 companies reporting a program in the state, followed by 16 companies working in Uttar Pradesh and 15 in Rajasthan. Around 13 companies were working in Gujarat, Tamil Nadu and Karnataka. Most of these states also reported a high rate of open defecation.

The maps on the following page chart the rate of open defecation in India against the number of programs companies reported in each state.

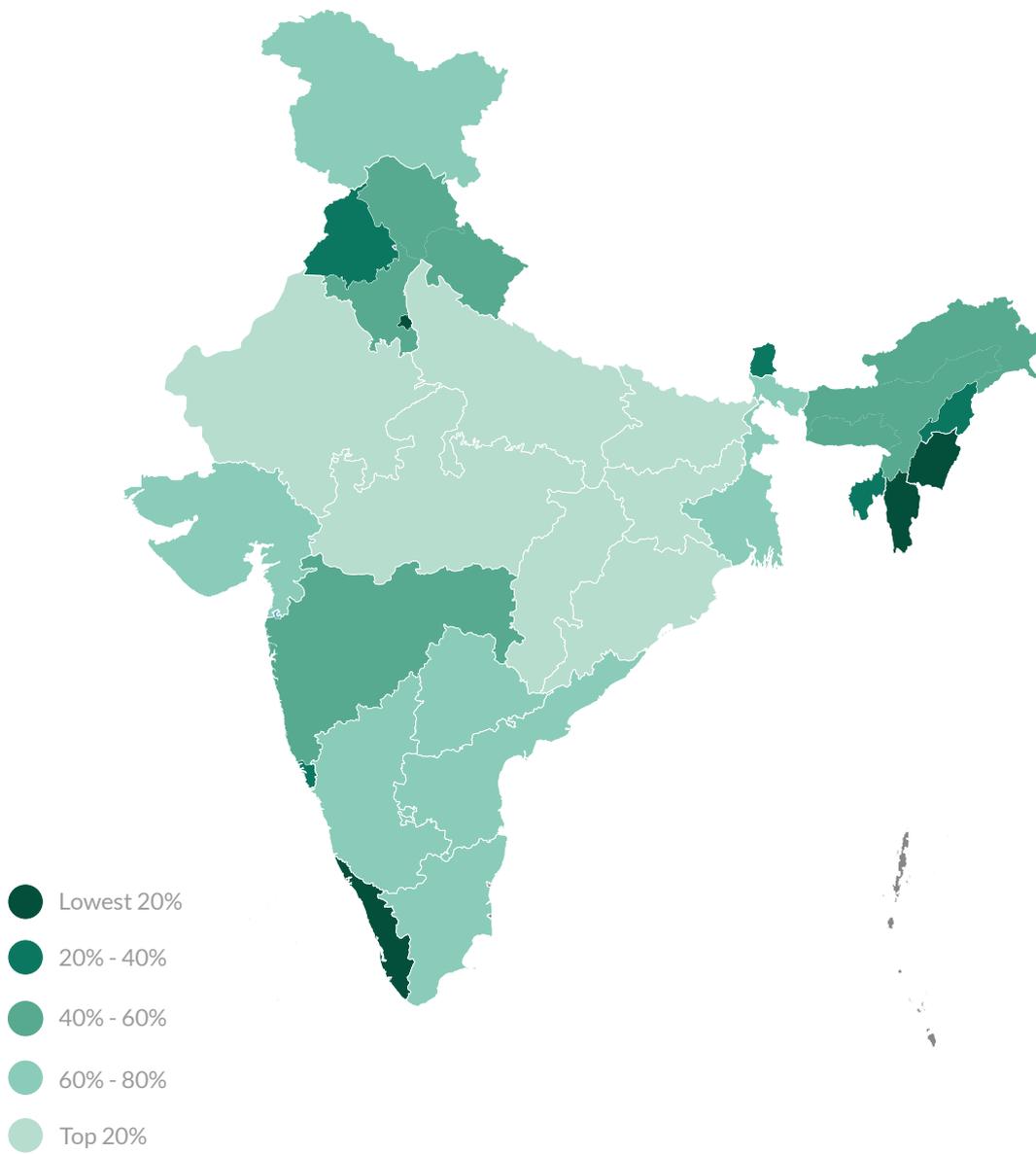
The maps reveal that certain states with very high open defecation rates such as Orissa, Jharkand, Chhattisgarh and Jammu and Kashmir did not see high participation from companies.

Companies also reported implementing very few sanitation programs in the North-East. Sikkim, Nagaland, Mizoram and Tripura did not report any CSR programs. While some states in the North-East do not have high open defecation rates, states such as Assam and Arunachal Pradesh have high open defecation rates but show low levels of corporate interest.

CSR budget range	No. of companies
Less than ₹1 crore	8
₹1 - 5 crore	11
₹5- 15 crore	6
More than ₹15 crore	8
Total	33

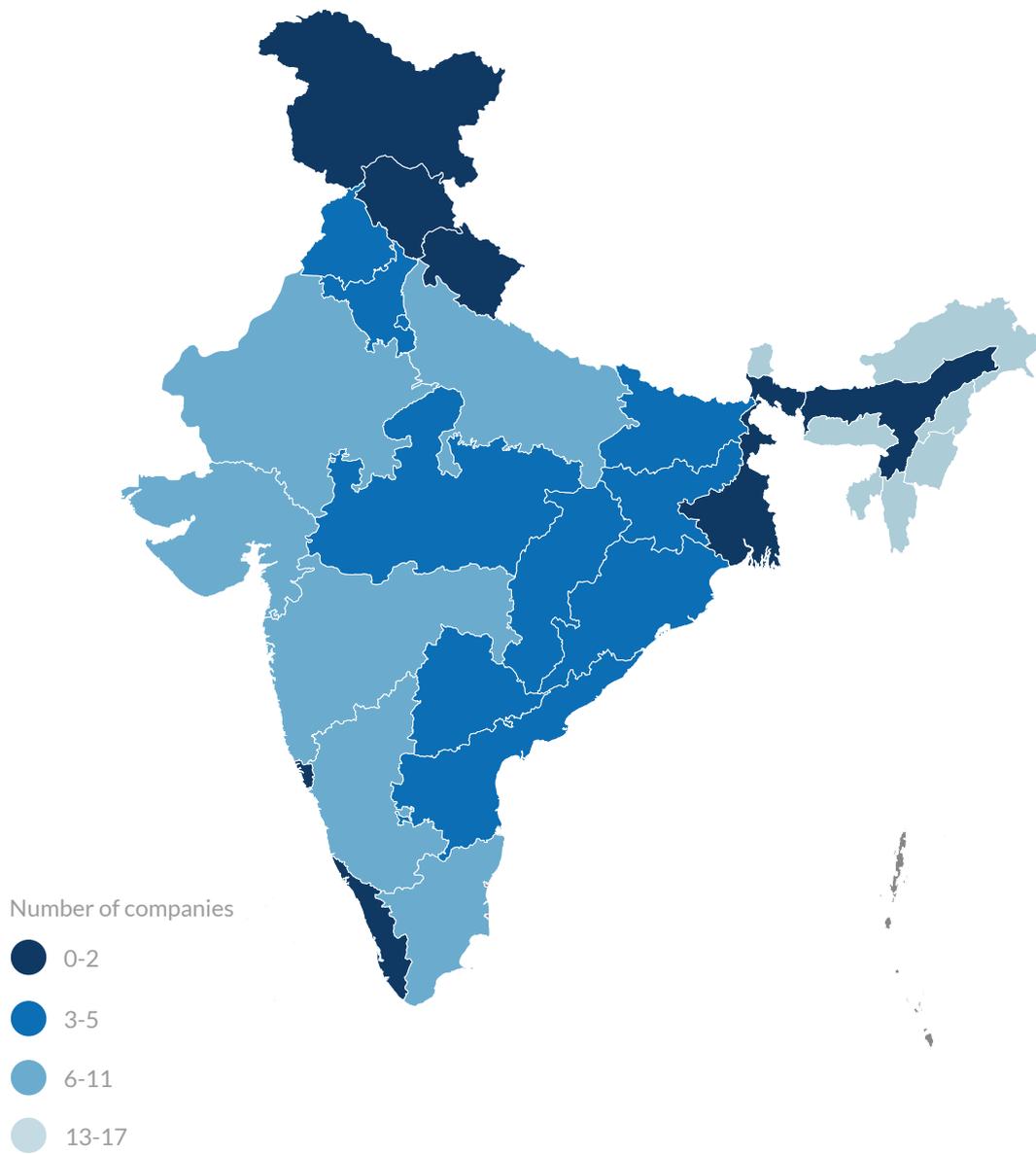
Top 5 companies with the largest budgets in WASH	
Top 5 PSUs	Top 5 Non-PSUs
Coal India	Tata Consultancy Services
Power Finance Corporation	Bharti Airtel
ONGC	Bharti Infratel
GAIL India	Tata Steel
State Bank of India	Mahindra & Mahindra

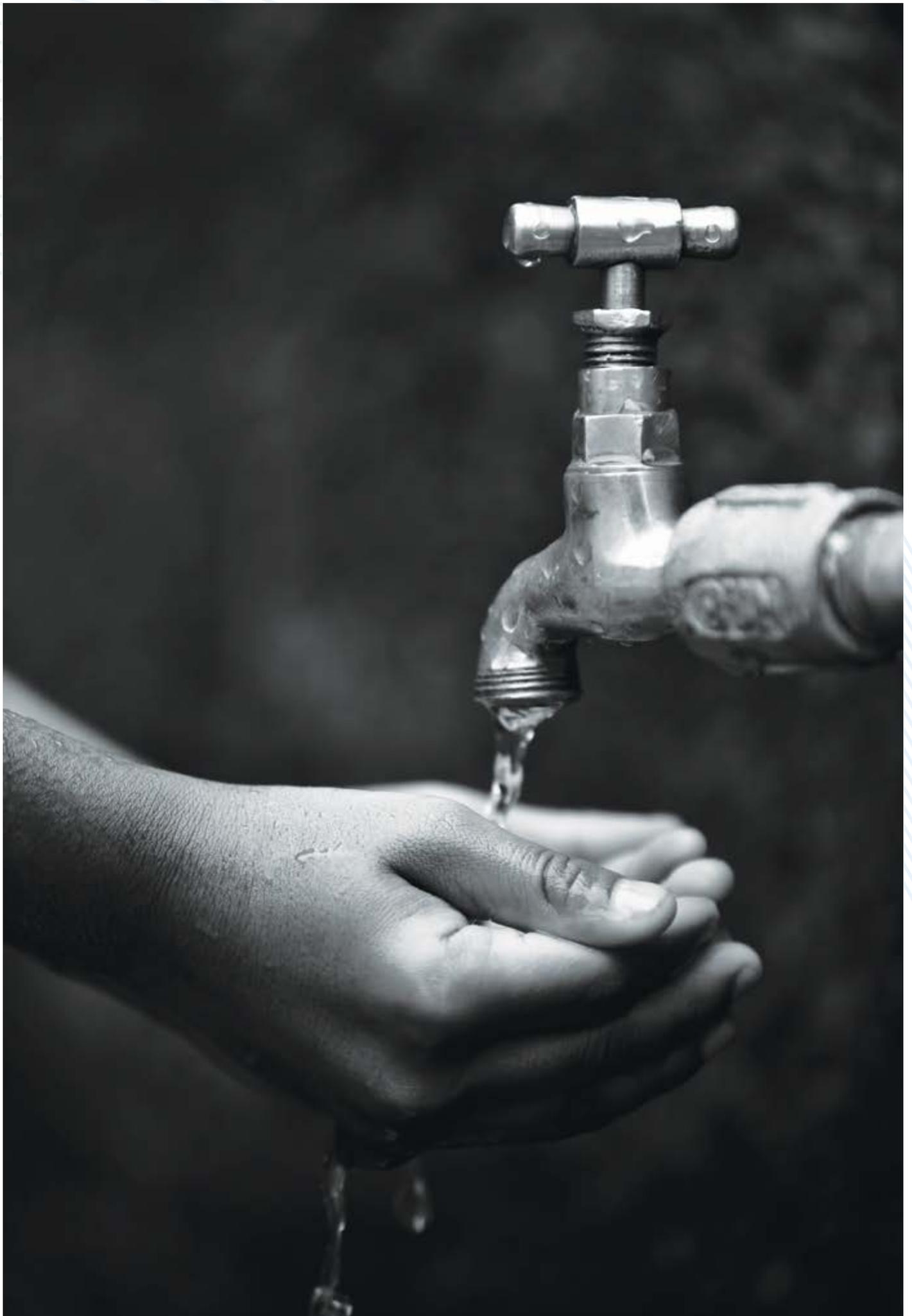
Rate of open defecation in India



MAIN FINDINGS

Geographical distribution of CSR programs reported by companies





MAIN FINDINGS

2.5 LOCATION-SPECIFIC DISTRIBUTION OF CSR IN WASH

CSR in WASH was concentrated in rural areas.

Data indicated that CSR in WASH was concentrated in rural areas. Of the 86 companies that published information on geographical coverage, 52% were focused on rural areas alone compared to only 17% which reported working exclusively in urban areas. The remaining 31% companies were spread across mixed geographies, indicated in the table below.

The same pattern held true across industries. The gap between rural and urban coverage among Heavy Engineering and Manufacturing industries was 17 percentage points, while the gap between Banking, FMCG, IT & Finance and Healthcare companies was lower but still positive.

An analysis of the types of interventions conducted according to location also depicted a strong preference for rural areas. 11 of the 12 types of interventions were conducted in rural vicinities. Only Swachhta Saptah (cleanliness week) drives were conducted in urban areas,

possibly owing to the fact that they are mainly organised in the vicinity of regional headquarters of companies or offices which tend to be located in urban or semi-urban regions.

This bias could be due to the relative ease of operation in such areas - easy availability of construction space, the sense of community in villages, a clear leadership (the Panchayat and sarpanch) and so on.

These findings indicate a critical need to address urban WASH issues. The current neglect could be a result of the complex technical, operational and administrative issues associated with implementing WASH programs, further compounded by the high population density and limited space in urban areas.

In the face of growing slum populations, with over 50 million people forced to defecate in the open,¹¹ slums lacking toilet facilities and community toilets rendered unusable due to poor maintenance,¹² the lack of adequate WASH facilities in urban areas could pose serious health-risks to urban populations in India if sidelined.

WASH in Rural vs Urban areas

		Urban coverage		
		No	Yes	Total
Rural coverage	No	-	17%	17%
	Yes	52%	31%	83%
	Total	52%	48%	100%

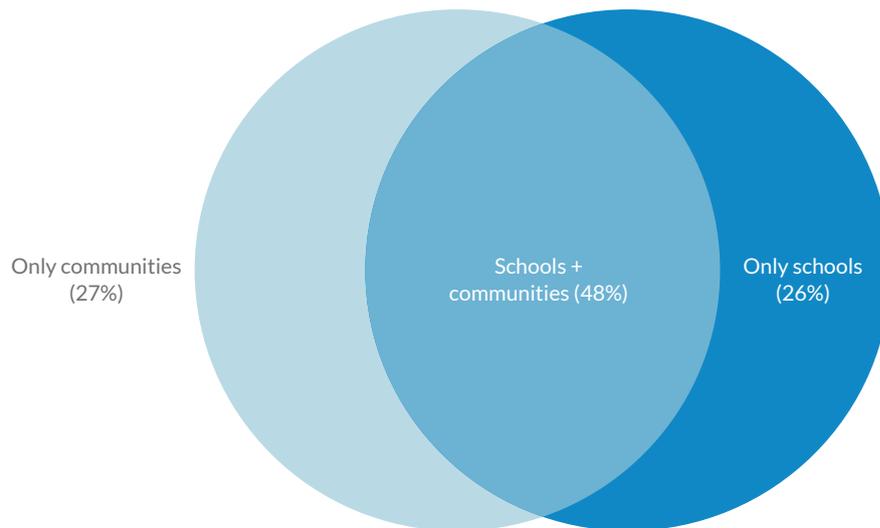
Valid sample = 86

¹¹ Squatting Rights - Access to Toilets in Urban India, A report by Dasra and Forbes Marshall

¹² NUSP Overview by Leonellha Barreto Dillon

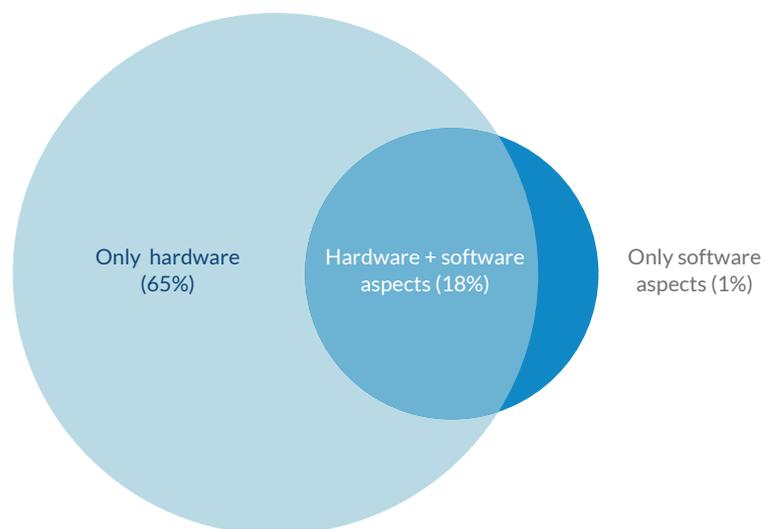
WASH in Schools vs Communities

Almost half of the companies focussed on integrated projects that benefited both schools and communities



Hardware vs Software programs

There was a stark imbalance between hardware and software aspects of WASH



The total adds up to 84, as 2 companies reported contributing to the Kosh, which was not been factored into hardware or software

MAIN FINDINGS

2.6 WASH IN SCHOOL VS COMMUNITIES

There was an equal focus on WASH in schools and communities.

Data indicated that distribution of companies across schools and communities was equitable - 48% of companies implemented CSR programs in both schools and communities,¹³ while a significant minority reported supporting either school-based (26%) or community-based (27%) sanitation programs.

The pattern is more skewed for different types of industries. A majority of Banking companies (61%) and IT & Finance companies (60%) in the sample reported programs designed to benefit only schools. On the other hand, 61% of Heavy Engineering and Manufacturing companies were engaged in sanitation programs for schools as well as communities. This large majority influenced the overall findings on the distribution of programs.

2.7 DISTRIBUTION OF CSR ACROSS THE WASH LIFECYCLE

CSR in WASH promoted hardware interventions, but neglected software-related programs.

While the overall corporate participation rate in WASH is encouraging at 90%, underlying patterns reveal a skew in the type of WASH programs reported by companies. This study divides the various components of WASH into two broad buckets –hardware and software interventions. Government schemes¹⁴ are highlighted as a separate category.

Hardware interventions include creating or supporting the construction of toilets or water storage facilities, the operation and maintenance of sanitation facilities

and other related activities, while software-related programs look at creating awareness and undertaking activities that influence socio-cultural attitudes and behaviour.

Of the 84 companies that published information on their programs,¹⁵ 83 supported hardware components compared to only 19 that supported programs related to software.¹⁶ While 18 companies had programs relating to both aspects, further analysis revealed that 65 companies reported implementing hardware programs without any focus on software.

Interactions with companies revealed a few possible reasons for this imbalance which are outlined below:

- Lack of usable knowledge on various aspects of the sanitation value chain
- Perception that implementation partners or NGOs for certain software programs are difficult to identify
- Difficulties in quantifying and measuring impact, especially in terms of changing habits and attitudes
- The long gestation period required before impact can be realized for interventions related to behaviour change
- Lack of clarity on what constitutes CSR, especially for companies whose products are aligned to WASH
- Narrow reading of SBM, which is perceived as a 'toilet-building' program, combined with the construction-oriented targets set by the Government

¹³ Programs may or may not have been conducted in the same location

¹⁴ Government's guidelines - namely Swachh Bharat Kosh and Swachhata Saptah - have been included as interventions, the former being a corpus created exclusively for financial contributions from companies, and the latter, an awareness exercise undertaken mainly by PSUs in December 2014.

¹⁵ Of the 90 companies, 4 companies did not publish any details of their programs and hence have been excluded from this analysis. Another 2 companies published information only on their contribution to the Kosh.

¹⁶ Companies could be supporting both aspects and hence the total of companies supporting hardware and soft aspects adds up to more than 100%.

2.8 INTERVENTION-SPECIFIC DISTRIBUTION OF CSR IN WASH

There was a significant imbalance between the types of interventions carried out within hardware and software programs, shown in the graph below.

(See Appendix 1 for a detailed description of the types of interventions).

Within hardware, a large majority – 81% (70 out of 86

companies) – were supporting the construction of toilets, while other aspects such as the operation and maintenance of toilets and waste management were overlooked. Similarly, for software interventions, while behaviour change programs received some attention, corporate interventions encouraging community participation or programs focused on building the capacity of stakeholders were non-existent.

These findings are explained in further detail below.

Intervention-specific distribution of CSR in WASH

CSR in WASH was skewed towards hardware and neglected software

- Hardware
- Software
- Contribution to Kosh



MAIN FINDINGS



2.8.1 Operations and maintenance (O&M)¹⁷

Companies that reported implementing O&M programs were:

Tata Consultancy Services (TCS), NTPC, Coal India, NMDC, Hindustan Zinc, Rural Electrification Corporation, GAIL India, Punjab National Bank, Cipla, Bosch Petronet LNG, Bajaj Finance and Titan Industries

The importance of regular maintenance to ensure the usability of toilets cannot be overstated. Poor maintenance gives rise to what the Government describes as a 'functionality gap,' which prevents the usage of existing toilets and results in a loss of investment. Supporting the upkeep and maintenance of sanitation facilities is also a cost-effective strategy for companies with limited budgets to scale their CSR interventions as one could maintain four toilets for the same cost as building one.

Yet only 15% of companies incorporated the repair and maintenance of new or existing toilets in their CSR programs. Of the 13 companies that supported this, 8 were Heavy Engineering and Manufacturing companies, 2 belonged to IT & Finance and Banking, Healthcare and FMCG had 1 each.

A similar trend was observed with the provision of water. 41% of companies focussed on providing facilities for clean drinking water, though only 19% provided water storage facilities. Evidence from the field has shown that

water purifiers donated by companies to schools and communities as part of their CSR are often non-functional due to inadequate maintenance.



2.8.2 Waste management

14% or 12 companies reported programs in waste management. Data indicated that the effort was directed towards solid waste management, which includes the distribution of dustbins, building soak pits and the construction of bio-digester toilets. There was almost no report of activities like emptying pits and septic tanks, transportation to sewage treatment facilities and disposal/reuse of waste, either in rural or urban areas.

Ambuja Cement Foundation, GAIL, Hindustan Zinc and BHEL were some of the companies that reported interventions in waste management.



Sanitation has to be invested in holistically or it can do more harm than good. An investment in a toilet has to be preceded and succeeded by pro-active and consistent efforts at behaviour change to ensure continued usage by all members – for which adequate water is a necessity. Finally there has to be a strong imagination for how the waste will be managed since completely networked and sewer connections will take time and money. Investments have to be made in decentralised models for fecal sludge management.



- Mala Subramaniam
CEO, Arghyam

¹⁷ "Operation" and "maintenance" are different in nature. Operation refers to the direct access to the system by the user (e.g. operating the hand pump), to the activities of any operational staff and to the rules or by-laws, which may be devised to govern who may access the system, when, and under what conditions. Maintenance, on the other hand, is to do with the technical activities, planned or reactive, which are needed to keep the system working (Carter, 2009).



2.8.3 Menstrual management facilities

Studies have shown that around 28% of Indian girls do not attend school during menstruation due to the lack of sanitation facilities in schools.¹⁸ Several taboos and myths around the subject inhibit clear factual discussions of the topic, perpetuating half-truths that can have serious implications on a girl's physical and mental health.

Unfortunately, CSR support for menstrual management facilities was non-existent. Only 5% or 4 companies (2 from Heavy Engineering, 1 from FMCG and 1 from IT & Finance) on the list supported the issue by providing a package of services that could be availed by female students to ensure their regular experience in school remained unhampered through the course of menses.



2.8.4 Behaviour change

A vast body of research exists to prove that one of the key reasons for high open defecation rates, particularly in rural India, is the attitude of individuals.

Despite the evidence, only 20% of companies reported integrating behaviour change communication (BCC) into their WASH programs. Data and anecdotal evidence both suggest that FMCG companies were more likely to implement BCC with three out of the five companies, reporting a program targeted towards inducing behavioural change. This was possibly because BCC was of strategic importance to these companies, given their product lines which include soaps, disinfectants etc. These companies also have other enabling competencies such as deep consumer insights, BCC material and existing campaigns that they can leverage.

Information published by companies about BCC programs and their effectiveness was inadequate. Data indicated that a majority of companies implemented awareness programs at the community level, taught school students the importance of good WASH practices and held

Some companies that reported behaviour change programs were:

ITC, Hindustan Unilever (HUL), Titan Industries, Jindal Steel and Power, and Hindustan Zinc.

cleanliness drives. In response to Government guidelines, around 14% (mostly PSUs) reported organizing a 'Swachhta Saptah' (cleanliness week) which included special cleanliness drives around offices and branches and raising awareness through competitions, walkathons and workshops. While creating awareness is a necessary part of any program that aims to influence behaviour, conducting such programs is not an adequate response to the need for behaviour change. It is not clear whether companies and other key stakeholders involved in the wider sanitation ecosystem have taken cognizance of this.

“As India makes progress on the Swachh Bharat Abhiyan, the role of Behaviour Change assumes significance. It takes a few days to build a toilet, but years to sustain its usage, as deeply ingrained beliefs come in the way of adoption of toilets. This massive drive in sanitation infrastructure creation has to be supported by an equal effort in popularising Behaviour Change. This calls for research into understanding the barriers towards adoption of toilets. The entire eco-system – government, private sector, NGOs, academics – must work together to create programs that enable communities to overcome these barriers. Such programs need a thrust which will enable every member of every community to change behaviours and ultimately achieve the goals of Swachh Bharat Abhiyan.”

- Krishnendu Dasgupta
Marketing Head, Brand Unilever and
Consumer Services, Hindustan Unilever

¹⁸ WaterAid Source, 2009 <http://njpc.goonj.org/disturbing-facts/>

MAIN FINDINGS



2.8.5 Community participation

Communities or beneficiaries have been viewed for what they lack and not what they can contribute.

Programs with components such as building capacity, encouraging community-level ownership and undertaking activities like knowledge-sharing, received support from less than 5 companies. This limited support from companies with the largest CSR budgets indicates that this is not due to a lack of funding but a failure to see community participation as a priority.



2.8.6 Swachh Bharat Kosh

The Swachh Bharat Kosh is a fund set up by the Central Government to facilitate philanthropic contributions

and CSR funds towards the Government's sanitation programs.¹⁹

10% or 9 out of the 86 companies contributed a total of ₹118.25 crore to the Kosh. The table below lists the 12 companies (in alphabetical order) that contributed to the Kosh.

According to government data, the Kosh constructed 14,050 toilets, under the Swachh Vidyalaya scheme. 34% of these were in Jammu and Kashmir, an otherwise neglected state, followed by Odisha and Madhya Pradesh. 16 states received funds through this initiative.

Leading the group in terms of contribution was L&T with ₹60 crore and BHEL and the Bajaj Group (Bajaj Auto and Bajaj Finance) with ₹20 crore each.

Company	Contribution to Kosh (₹Cr)
Bajaj Group (Auto and Finance)	20
Bank of Maharashtra	1.25
BHEL	20
Hindustan Aeronautics (HAL)	20
IDBI	20
ITC	10
Indian Farmers Fertiliser Cooperative (IFFCO)	10
Larsen & Tubro (L&T)	60
LIC Housing Finance	02
Nuclear Power Corporation	10
Nestle	05
Total	178.25

* Nuclear Power Corporation, HAL and IFFCO were not among the top 100 companies but also contributed to the Kosh.

¹⁹ http://www.finmin.nic.in/the_ministry/dept_expenditure/swachhbharat/SWK_Operational_Guidelines2014.pdf

3. Way Forward

The SBM succeeded in making sanitation a topic of interest in public discourse and boardroom discussions. However, despite the interest, support and action by the public and private sector, WASH in India continues to be a multi-dimensional challenge that affects almost half the population in the country. In order for the SBM to reach its target of an open-defecation free India, solutions need to address social, economic and cultural barriers and require a systematic effort from stakeholders in the space – government, companies, NGOs, social enterprises and other intermediary organisations.

“Solutions need to address social, economic and cultural barriers and requires a systematic effort from stakeholders”

3.1 RECOMMENDATIONS FOR COMPANIES

The first step towards maximizing impact through CSR is to understand how companies can effectively support and execute WASH interventions. The following table outlines Samhita’s approach on how to engage different types of companies in effective WASH strategies.

This framework can guide companies and other stakeholders in aligning their goals to effective strategies in order to ensure maximum impact.

Strategic interest	Impact-oriented companies	Catalytic competencies
<p>There are two types of companies with strategic interest:</p> <ol style="list-style-type: none"> 1. Companies that have relevant products or services (FMCG, Pharmaceutical, Healthcare) – such as soaps, detergents, medicines and have a marketing or business goal in addition to on-ground impact. Such companies may be open to partnering with other players to create collaborative WASH programs. 2. Companies (Mining, Manufacturing, Oil & Gas) that invest in comprehensive programs which benefit communities around their areas of operation. 	<p>These include companies that may not have a direct stakeholder interest or a location interest such as Banking Financial Services and Insurance (BFSI) companies or those in the service industry.</p> <p>Such companies may have an interest in replicating or scaling existing programs that have reported high levels of impact. They may also wish to invest in innovative WASH models or follow the Government’s guidelines.</p> <p>These companies may need support to focus on long-term maintenance and behaviour change.</p>	<p>These include companies that seek to leverage their core competencies to execute strategies for change and include Media companies with specialized programming, IT companies developing products or monitoring tools etc.</p>



“Only 20% of companies supported programs that aimed to change the behaviour of individuals despite its critical role in eliminating open defecation.”



Support long-term approaches

Investment in sanitation requires a long-term approach and companies need to have the appetite to remain invested in order to ensure significant impact. However, some companies have raised concerns about their ability to implement long-term WASH projects.

Build the capacity of implementation partners

Despite conducting due diligence checks, ensuring a good standard of service from implementation partners is difficult. NGOs are often unable to meet the strict reporting and compliance requirements of companies. It is also difficult for companies to gain access to NGOs that are able to scale up their programs. Such issues need to be addressed through building the capacity of NGOs and developing mechanisms to ensure that the selection process is able to identify capable partners.

Invest in influencing behaviour and attitudes in addition to creating infrastructure

The study shows that only 20% of the sampled companies supported programs that aimed to change the behaviour of individuals despite its critical role in eliminating open defecation.

Companies could begin to focus on behaviour change programs that either seek to create a demand for the

construction of individual toilets or influence attitudes to enhance the usage of toilets.

While campaigns aimed at creating awareness about the ill-effects of open defecation or messages promoting good hygiene practices are important components of a behaviour change program, the following factors should also be considered to achieve desired outcomes:

- Investment in a context-specific strategy for BCC which ensures that the design and content of the campaign is based on needs and is relevant to existing socio-cultural realities
- A detailed understanding of the ‘triggers’ that motivate and influence individual communities
- Building follow-ups into the campaign to ensure that messages are entrenched
- The readiness of government systems to respond to the output created by the campaign
- Instituting incentives or penalties to reinforce desired behaviour
- Buy-ins from local stakeholders including the Gram Panchayat and school principals²⁰
- The timing of the campaign to ensure that it does not clash with other government priorities
- Ensuring an integrated solution where BCC programs are implemented along with other complementary interventions such as the construction and maintenance of toilets

Focus on operations and maintenance (O&M)

O&M has been identified as one of the key reasons for the non-usage of toilets, particularly those in schools and communities. According to the study, the maintenance and repair of toilets was underfunded, with very few companies focussing on this aspect of sanitation despite the fact that O&M can be implemented at scale with limited budgets.

²⁰<https://www.k4health.org/sites/default/files/BCCTools.pdf>

WAY FORWARD

“ To ensure long-term sustained benefits, programs need to be equitable and inclusive and should focus on behaviour change. Emphasis needs to be laid on educating people about the long-term health, economic and cultural benefits of building and more importantly, using, a toilet. In the end, to achieve this colossal target collaboration is critical. Multi sectoral engagement and commitment is imperative to deal with the challenge ahead. ”

- Neeraj Jain
CEO, WaterAid India

Companies could follow any of the following models for O&M interventions or implement a combination of the three:

- **The charitable model** - this relies on the charitable or philanthropic initiatives of companies where companies assume a bulk of the responsibility, which includes financing O&M, appointing maintenance personnel, monitoring the work undertaken by staff etc.
- **The enterprise model** - companies could finance O&M and hire an agency through an Annual Maintenance Contract (AMC) to deliver required services on a regular basis. Here, the responsibility for procuring supplies, everyday cleaning, necessary repairs and monitoring cleaning staff would lie with the agency, though the company would still have to invest in a high-level monitoring system.
- **The community-led model** - companies could leverage government funding to co-fund O&M through maintenance grants from the Sarva Shiksha Abhiyan. They could also involve communities in O&M by funding community-based organisations to deliver services and monitor the usage and maintenance of toilets.

Leverage Collective Impact models

The multiplicity of components within WASH makes it difficult for any single company to make a significant contribution. However, the ability to isolate and focus on individual components makes it ideal to explore Collective Impact models. Companies can join forces to support individual components of the sanitation lifecycle, leveraging each other's key competencies and skills. For example, an engineering company can leverage its employee resources to monitor technical aspects of construction; an FMCG company can utilize its products and advertising budgets for maintenance and behaviour change. The Government can facilitate access to schools and communities and NGOs can be responsible for the implementation of activities on-ground. Success is measured by one overarching outcome - a reduction in open defecation, though each stakeholder also defines individual metrics for measuring the impact of their interventions.

3.2 RECOMMENDATIONS FOR THE GOVERNMENT

It is clear that the Central Government's call for partners to implement the Swachh Bharat Mission (SBM) has led to an increased participation from companies. The level of response received is a huge opportunity for the Government to effectively engage with the corporate sector and leverage industry resources and expertise to tackle the multiple issues that lead to open defecation. However, the study indicated that the skew towards hardware programs could partly be due to the inadvertent positioning of the SBM as a 'toilet-building' program. Central, State and local governments need to ensure that government policy and procedures encourage corporate participation and collaboration across the lifecycle of a sanitation value chain.

The following actions could help ease the way:

- Provide reliable and updated data to relevant stakeholders about the state of sanitation in India. One of the key gaps in the sanitation space is a lack of accurate data on the status of toilet construction and usage rates.
- Streamline the process of approvals and sign-offs for projects at district and block levels
- Encourage partners to leverage government schemes and subsidies by providing accessible information and actionable guidelines.
- Encourage holistic programs within the SBM that are long-term and involve the entire WASH lifecycle instead of exclusively focussing on construction. One way to do this would be to make available resources for currently overlooked aspects. For example, some state governments such as Madhya Pradesh and Rajasthan have introduced an additional component in the Sarv Shiksha Abhiyan grant exclusively for the operation and maintenance of toilets in schools.

3.3 RECOMMENDATIONS FOR NGOS AND SOCIAL ENTERPRISES

Encourage community participation and ownership

As NGOs and implementation agencies are best placed to catalyse communities, in order to create sustained impact, it is important for them to approach communities and encourage their participation. NGOs can leverage their strong network and understanding of ground realities to encourage communities to act as co-owners and co-create the design and operating model of toilets.

Companies could work with NGOs to implement relevant models to encourage community participation. Some of these could include:

- Following a community co-pay model, where households contribute a fixed amount of money every month towards a sanitation fund for their village

- Introducing a school or community-based monitoring system with an equal representation of men and women to ensure democratic participation in decision-making processes
- Leveraging champions from the community, including children

Community-led models ensure sustainability as well as promote a sense of responsibility and ownership among communities.

3.4 RECOMMENDATIONS FOR THE SANITATION ECOSYSTEM

The sanitation ecosystem refers to interactions between key stakeholders and public or private systems that affect the issue of Water, Sanitation and Hygiene. Key stakeholders include government, NGOs, companies, foundations, social enterprises, communities, donor organisations and others. In order to create impact at scale, it is important to tackle the sanitation ecosystem as a whole, address gaps and build capacity within the system.

“ There is an urgent need to innovate and adopt solutions that serve today’s needs of sanitation especially in the context of limitations of available finance and more importantly water. Arghyam supports partners who work along all aspects of this value chain and models have emerged from the work that can be replicated with some customization. We would encourage everyone interested in sanitation to look at the interconnectedness in the chain and balance investments so that the intended benefits accrue as desired. ”

- Mala Subramaniam
CEO, Arghyam

WAY FORWARD

Boost the role of financing and create a conducive market

Evidence suggests that a key impediment to the construction of toilets at the household level is a lack of up-front money. While a government subsidy of ₹12,000-15,000 per household is available, this is disbursed only after the construction of the toilet is complete. Many households find it difficult to provide financing upfront and cannot risk the delay in the disbursement of subsidies that often occur due to bureaucratic bottlenecks.

Research shows that the provision of upfront financing, through loans, grants or as a revolving fund can directly influence a family's choice to invest in sanitation facilities and convert this demand into a purchase. Co-finance models also promote accountability among families. It is important to note that easy access to financial support needs to be combined with a significant amount of awareness and education to encourage communities to apply for and repay loans. It is also crucial for micro-finance institutions (MFIs) to identify capable groups to manage these funds at the grassroots level.

Foster industry collaboration and collective action

Collaborative platforms bring together multiple stakeholders in the sanitation ecosystem to create impact at scale. Such platforms produce enabling conditions for stakeholders operating alone to increase their reach or impact through collaboration while providing significant benefits to the ecosystem as a whole. Collaborative efforts reduce basic infrastructure costs by pooling resources, prevent duplication of work by fostering partnerships between NGOs and provide an avenue for implementation organisations to access funding opportunities.

The corporate sector can benefit through the sharing of best practices and knowledge, champion the issue of sanitation, address operational issues collectively and present their opinions to the Government as a unified body. Such platforms significantly reduce administrative and participation costs for companies, provide access to large networks and connections to experts and leaders in the WASH ecosystem. These platforms also offer an

opportunity for different stakeholders to contribute their perspectives and ideas.

The India Sanitation Coalition (ISC), hosted under the Federation of Indian Chambers of Commerce & Industry (FICCI), is an example of one such collaborative effort. The Coalition aims to enable and support an ecosystem for sustainable sanitation by providing opportunities for collaboration between key stakeholders across the sanitation value chain. The four Task Forces of the ISC concentrate on key aspects that foster partnerships and build capacity within the sector. These include sharing knowledge and best practices, engaging with the Government on WASH policy and advocacy and providing a platform to support partnerships between funding partners and implementation organizations. The ISC aims to tackle the issue of open defecation through collective action and alignment with the goals of the Swachh Bharat Mission.

“There is a pressing need to encourage innovation across the lifecycle of a sanitation program”



Encourage innovation across the value chain

Innovation and the use of technology to lower costs or improve efficiency within WASH has so far focused only on the construction of toilets. However, there is a pressing need to encourage innovation across the lifecycle of a sanitation program - from designing BCC campaigns to developing effective tech-based monitoring systems and eco-friendly models for the management of solid waste. A conducive policy environment that permits corporate investment in such technologies could help catalyse such innovations.

Appendix 1

'Hardware' and 'Software' programs

Type of intervention	Category	Description
Infrastructure: construction	Hardware	Construction of toilets, doors, floors or washing stations.
Infrastructure: waste management	Hardware	Provision of dustbins, sewage links, pipes, pumps etc.
Infrastructure: provision of water	Hardware	Provision of overhead tanks, borewells, hand pumps under tanks etc. to draw water for cleaning and washing.
Infrastructure: repair and maintenance	Hardware	Repair and upkeep of toilets which include changing the flooring, changing the sinks, rebuilding structures, fixing taps, employing helpers to clean, provision of sinks, water pumps, brooms, mops and cleaning agents.
Infrastructure: menstrual management facilities	Hardware	Distribution of sanitary napkins or incineration facilities.
Drinking water	Hardware	Installation of water filters, purifiers etc to provide drinking water.
Behaviour change	Software	Executing hygiene education for the children, providing incentives to households to use the toilets, awareness camps/street plays at the school and/or community level on the spread of diseases
Capacity building	Software	Building the capacity of teachers to execute hygiene education programs, training the government officials, and community level organisations.
Community level ownership and monitoring	Software	Instituting community-level organisations to design and oversee the sanitation program
Ecosystem development	Software	Providing technical support to the government- designing curriculum at the national level, research and policy related support; building platforms to bring together different stakeholders such as the sanitation portal; advocacy and campaigns on sanitation at the national level.
Swachh Bharat Kosh	Government schemes	A fund set up by the Central government to facilitate channelization of philanthropic contributions and Corporate Social Responsibility (CSR) funds towards the government's sanitation programs. ²¹
Swachhata Saptah	Government schemes	Literally translated as cleanliness week, the Swachhata Saptah is a Government initiative which encourages companies to organize cleanliness drives in areas around their office premises and includes raising awareness through competitions, walkathons and workshops.

²¹ http://www.finmin.nic.in/the_ministry/dept_expenditure/swachhbharat/SWK_Operational_Guidelines2014.pdf

APPENDIX 2

Appendix 2

100 Companies on the BSE 500 with the largest CSR budgets*

Companies in alphabetical order	WASH program (Yes/No)
ACC	Yes
Adani Ports & Special Economic Zone	Yes
Allahabad Bank	Yes
Ambuja Cements	Yes
Andhra Bank	Yes
Asian Paints	Yes
Aurobindo Pharma	Yes
Axis Bank	Yes
Bajaj Auto	Yes
Bajaj Finance	Yes
Bank of Baroda	Yes
Bank of India	Yes
Bank of Maharashtra	Yes
Bharat Electronics	Yes
Bharat Petroleum	Yes
Bharti Airtel	Yes
Bharti Infratel	Yes
Bharat Heavy Electricals Ltd. (BHEL)	Yes
Bosch	Yes
Cadila Healthcare	No
Cairn	Yes
Canara Bank	Yes
Cipla	Yes
Coal India	Yes
Container Corporation of India	Yes
Cummins	Yes
Divi's Laboratories	Yes
Dr. Reddy's Laboratories	Yes
Federal Bank	Yes

*The CSR budget was calculated using Profit Before Tax for three years – FY13, FY14 and FY15.

Companies in alphabetical order	WASH program (Yes/No)
GAIL India	Yes
GlaxoSmithKline Consumer Healthcare	Yes
Grasim Industries	Yes
HCL Technologies	Yes
HDFC Bank	Yes
HDFC Ltd.	Yes
Hero MotoCorp	Yes
Hindalco Industries	Yes
Hindustan Petroleum Corporation	Yes
Hindustan Zinc	Yes
Hindustan Unilever (HUL)	Yes
ICICI	No
IDBI Bank	Yes
Idea Cellular	Yes
IDFC	Yes
Indiabulls Housing	Yes
Indian Bank	No
Indian Oil Corporation	Yes
IndusInd Bank	Yes
Infosys	Yes
ITC	Yes
Jammu & Kashmir Bank	No
Jindal Steel and Power	Yes
JSW Energy	Yes
JSW Steel	Yes
Kotak Mahindra Bank	Yes
Larsen and Toubro (L&T)	Yes
Life Insurance Corporation (LIC) Housing Finance	Yes
Lupin	Yes
Mahindra & Mahindra Financial Services	Yes
Mahindra & Mahindra	Yes
Maruti Suzuki	Yes
MRF (Madras Rubber Factory)	No

APPENDIX 2

Companies in alphabetical order	WASH program (Yes/No)
Muthoot Finance	Yes
Nalco	Yes
Nestle India	Yes
Neyveli Lignite Corporation	Yes
NHPC	Yes
National Mineral Development Corporation (NMDC)	Yes
NTPC	Yes
Oil India	Yes
Oil and Natural Gas Corporation (ONGC)	Yes
Oracle Financial Services	No
Oriental Bank of Commerce	Yes
Petronet LNG	Yes
Power Finance Corporation	Yes
Power Grid Corporation of India	Yes
Punjab National Bank	Yes
Reliance Industries	Yes
Reliance Infrastructure	Yes
Rural Electrification Corporation (REC)	Yes
State Bank of India (SBI)	Yes
Shree Cement	Yes
Shriram Transport Finance Company	Yes
SJVN Ltd.	Yes
State Bank of Bikaner and Jaipur	Yes
Steel Authority of India	Yes
Strides Arcolab	Yes
Sun TV Network	No
Syndicate Bank	Yes
Tata Power Company	Yes
Tata Steel	Yes
Tata Consultancy Services (TCS)	Yes
Tech Mahindra	No
Titan Industries	Yes
UCO Bank	Yes

Companies in alphabetical order	WASH program (Yes/No)
Ultratech Cement	Yes
Union Bank of India	Yes
Wipro	No
YES Bank	Yes
Zee Entertainment Enterprises	Yes

ABOUT SAMHITA

About



About Samhita

Samhita is a social sector consultancy that provides customized solutions for companies and foundations to deliver impactful initiatives, leveraging the strengths of diverse stakeholders in the social sector.

Our consulting practice has worked with leading companies to shape and implement their CSR strategies and assess the on-ground impact of such initiatives. An extensive grassroots network and strong relationships with social sector organizations across India, enable us to support the effective implementation and management of projects.

Since its establishment, Samhita has been involved in multiple causes including healthcare, sanitation, education, women's empowerment, skills and livelihoods and financial literacy.

Samhita also partners with donor organizations like The Rockefeller Foundation and Tata Trusts to facilitate multi-stakeholder collaborations and implement high-impact social programs at scale.

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About India Sanitation Coalition

The India Sanitation Coalition (ISC) was launched on June 25, 2015 under the aegis of FICCI, with the vision to enable and support an ecosystem for sustainable sanitation in alignment with the Swachh Bharat Mission (SBM). FICCI serves as the ISC's Secretariat.

The mission of the ISC is to be an aggregator of knowledge and networks with nationwide outreach, focusing on the four steps of sustainable sanitation - Build, Use, Maintain and Treat (BUMT). The coalition provides a platform for companies, civil society groups, government, financial institutions, media, donors, bilateral and multilateral organisations and experts to exchange ideas and collaborate their efforts to meet the SBM goals.

The ISC and its members are actively involved with the Ministry of Drinking Water and Sanitation and other relevant central ministries and state governments in the ongoing projects of the SBM.

Samhita is an active member of the Steering Committee of ISC and a Co-Chair of the Task Force on Identification and Dissemination of Best Practices which is mandated to collate best practices and other knowledge resources and disseminate knowledge through events, trainings and other communication channels.

The report has been facilitated by the India Sanitation coalition (ISC).

