

# Swachh Bharat Mission (Urban) [SBM (U)]

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**Manual for District- Level Functionaries**

**2017**

## PREFACE

The purpose of this Development Manual for Swachh Bharat Mission (Urban)[SBM (U)] is to create an enabling mechanism for improved implementation of the Centrally Sponsored Scheme (CSS) at the cutting edge, leading to enhanced outcomes in nature and extent. Accordingly, it is a guide for implementation by the **District Collector and key District-level functionaries**, and enables quick learning, implementation modalities, roles and responsibilities of the various functionaries as well as stakeholders etc.

This Manual is prepared with inputs from a combination of sources, including interaction with the Ministry of Housing and Urban Affairs (MHUA), Government of India (GoI), review of extant scheme guidelines and circulars issued by MHUA(till 25 August 2017) and discussions with the key personnel involved in implementation of the Scheme.

For greater direction, the guidelines cited must be referred to along with the SBM (U) website (<http://www.swachhbharaturban.in/sbm/home/>) for guidance and clarification on implementation from time to time.

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## 1. Swachh Bharat Mission (SBM-U)

### 1.1 About the Scheme

The Government of India (GOI) launched the Swachh Bharat Mission (Urban) [SBM (U)], with the vision of ensuring hygiene, waste management and sanitation across the nation, as a tribute to Mahatma Gandhi on his 150<sup>th</sup> birth anniversary, to be celebrated in the year 2019. SBM (Urban) is being implemented by the Ministry of Housing and Urban Affairs (MHUA)<sup>1</sup>.

Key thrust areas of the mission include,

- Elimination of open defecation
- Eradication of Manual Scavenging by converting insanitary toilets to sanitary
- Modern and Scientific Municipal Solid Waste Management
- Effecting behavioural change regarding healthy sanitation practices
- Awareness generation about sanitation and its linkage with public health
- Capacity Augmentation for Urban Local Bodies (ULBs) to create an enabling environment for private sector participation

The mission also focuses on improving the levels of cleanliness through Solid Waste<sup>2</sup> Management activities.

The mission targets coverage of all statutory towns<sup>3</sup>.

It is important to note that the Open Defecation Free (ODF) city/ward is the ultimate outcome envisaged under SBM (U). A city / ward can be notified/ declared as ODF city/ ODF ward if, at any point of the day, not a single person is found defecating in the open.

ODF is the termination of faecal-oral transmission, defined by

- a. No visible faeces found in the environment/surroundings; and
- b. Every household as well as public/community institutions are using Safe option<sup>4</sup> for disposal of faeces.

### 1.2 Goal

To achieve “Swachh Bharat” by 2019

### 1.3 Key components of SBM (U)

The Mission has the following key components (Figure 1)



Figure 1: Key Components of SBM (U)

## 1.4 Implementation Strategy of SBM (U)

Key strategic elements in implementing SBM (U) are as follows (Figure 2)

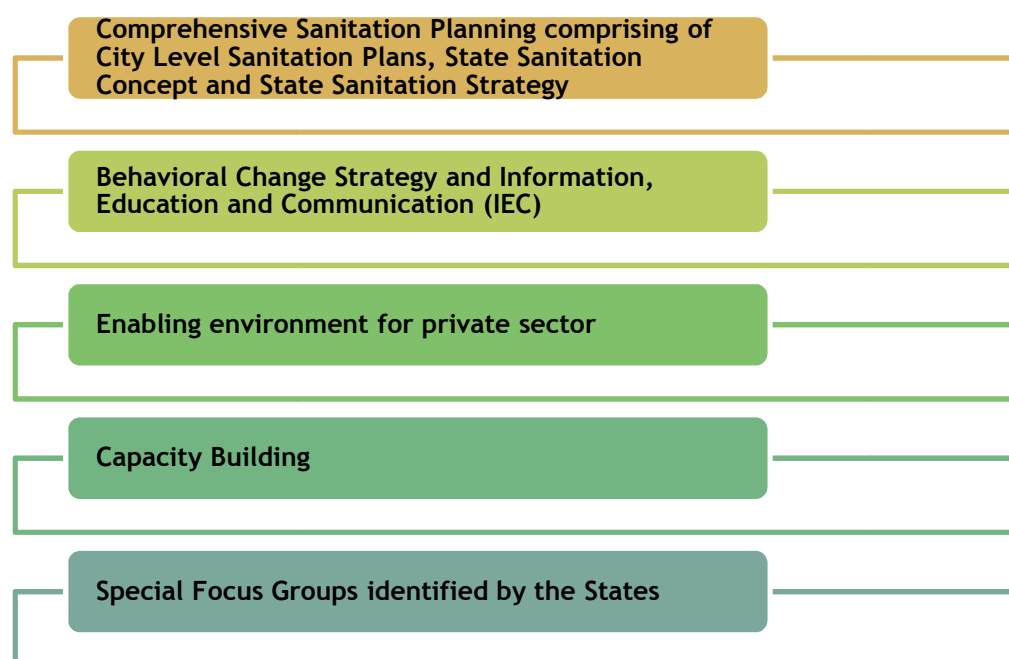


Figure 2: implementation Strategies of SBM (U)

*\*State Sanitation Concept comprises of state sanitation profile, institution mechanism for implementation, component wise action plan along with financial targets.*

*\*Special Focus Groups include Rehabilitation of manual scavengers in urban areas, Migrant accommodation for migrants to have provision for toilets, Mandating the construction labour to be provided with access to toilets in all the construction sites, Informal sector workers in waste management to be integrated with formal sectors in cities and, Priority to be given to cover households with vulnerable sections including pensioners, girl children, pregnant and lactating mothers.*

## 1.5 Key activities and financial assistance

Major activities under each key components of SBM (U) and the corresponding financial assistance is provided in the Table 1.

### 1.5.1 Household Toilets

The component under SBM (U) aims to ensure that

- No households engage in the practice of open defecation,
- No new insanitary toilets<sup>5</sup> are constructed during the mission period and
- Single pit latrines are converted to sanitary latrines/ sanitary cleaning

Target group for construction of household units of toilets, thus, is  
 80% of the urban households engaging in open defecation  
 All households with insanitary latrines  
 All households with single-pit latrines

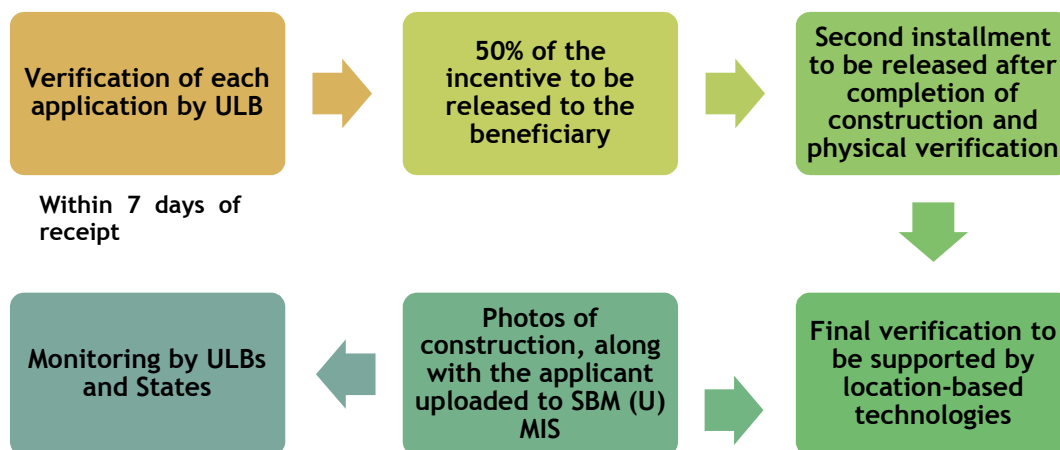
Selection of beneficiaries shall be as per the strategy of Urban Local Bodies (ULBs) and State specific guidelines need to be followed for the same. Final target households are decided at the ULB and the State level.

**Technology options for Individual Household Toilets<sup>6</sup>**

- (a) Twin pit Toilet/ Leach pit
- (b) Septic Tank System with soak pit
- (c) Bio-digester toilets (Anaerobic - developed by Defense Research and Development Organization (DRDO))
- (d) Bio- Tank/ Bio Toilet (Aerobic - approved by Department of Science & Technology)
- (e) Any other safe and sanitary toilet

| Financial Assistance   |
|--|
| <p><b>States - Unit cost is Rs. 16,000/- to Rs. 20,000/-</b><br/>States to contribute a minimum of 25% funds (Rs 1,333/- per IHHL) towards individual toilets to match 75% Central Share (Rs. 4,000/- per IHHL)</p>  |
| <p><b>UTs - Unit cost is Rs. 5,333/-</b><br/>For UTs without legislature, Central share will be 100% (Rs 5,333/- per IHHL) and UT share will be nil.<br/>For UTs with legislature, Central share will be 80% (Rs 4,000/- per IHHL) and UT share will be 20% (Rs 1,333/- per IHHL).</p> |
| <p><b>North East and Himalayan States</b><br/>For North Eastern and Himalayan States, the Central share will be Rs 10,800/- per IHHL (90% of Rs 12,000/-), and state share will be Rs 1,200/- per IHHL.</p>  |

For additional information on the selection of beneficiaries, technology options and financial assistance, operational guidelines<sup>7</sup> may be referred to.



**Figure 3: Work flow of activities for Household Toilets under SBM (U)**

### 1.5.2 Community Toilets (CTs)

20% of the urban households engaging in open defecation are likely to use community toilets due to land and space constraints in constructing individual toilets. However, the number of CTs are decided by ULBs and States.

For community toilets, beneficiaries shall be defined as groups of households (“beneficiary household group”) in urban areas whose members practice open defecation and who do not have access to household toilet, and for whom the

construction of individual household toilets is not feasible. Beneficiary household groups under this component of SBM (Urban) shall be identified by the procedure as designed by the ULB. Beneficiary household groups will be targeted under this scheme irrespective of whether they live in authorized/unauthorized colonies or notified / non-notified slums.

| Financial Assistance   |
|--|
| <p style="text-align: center;"><b>States - Unit cost is Rs. 98,000 per seat</b></p> <p>States will contribute a minimum of 25% share towards community toilet projects to match 75% of Central Share (Rs 39,200/- per seat) including North East States and Special Category States</p>                  |
| <p style="text-align: center;"><b>UTs - Unit cost is Rs. 52,267 per seat</b></p> <p>For UTs without legislature, Central share will be 100% (Rs 52,267/- per seat)<br/>For UTs with legislature, Central share will be Rs.39,200/- (80%) per seat while UT share will be Rs 13,067/- (20%) per seat.</p> |

Suggested technical specifications, technologies and tentative cost of community toilets and additional information on financial assistance are available at Annexure II of SBM (Urban) guidelines<sup>8</sup>.

### 1.5.3 Public Toilets

Under this component, all places within the city attracting floating population should be covered.

Care should be taken to ensure that these facilities have adequate provision for men, women and facilities for the disabled (e.g. ramp provision, Braille signage, etc.) wherever necessary. ULBs should ensure that all Public Toilets being constructed under SBM (Urban) are built in tandem with water supply arrangements in ULBs.

The Projects will be prepared, sanctioned and implemented by ULBs. In the entire project approval and procurement process, all provisions and procedures as prescribed by respective State Governments for ULBs must be followed in their entirety. The entire approval procedure should end at the ULB level. To this end, the States are required to empower the ULBs if not already done so. This includes the delegation of powers to allot land (for this purpose) to ULBs and mechanisms to leverage this land to make the Public Toilet a viable project. All community and public toilets under SBM (U) must have a minimum 5 years of maintenance contract.



**Financial Assistance:**

| Component      | Financial Assistance  |
|----------------|---|
| Public Toilets | States - Unit cost is Rs. 98,000/-per seat<br>States will contribute a minimum of 25% funds of Central Share towards public toilets projects to match 75% of central share (Rs. 39,200 per seat) including North East States and Special Category States. |
|                | UTs - Unit cost is Rs. 52,267/- per seat<br>For Uts without legislature, Central share will be 100% (Rs 52,267 per seat). For Uts with legislature, Central share will be Rs 39,200/- (80%) per seat while UT share will be Rs 13,067- (20%) per seat.    |

**Financial Assistance**

| Component | Financial Assistance   |
|-----------|--|
| Urinals   | States - Unit Cost is Rs. 32,000/- per seat<br>States will contribute a minimum of 25% funds of central share towards urinal seat projects to match 75% of Central Share (Rs. 12,800/- per seat) including North Eastern States and Special Category States. |
|           | For UTs without legislature, Central share will be 100% (Rs 17,067 ).<br>For UTs with legislature, Central share for urinals will be Rs 12,800/- (80%) per seat while UT share will be Rs 4,267/- (20%) per seat.  |

Suggested technical specifications, technologies and tentative cost of public toilets are available at Annexure II of SBM (G) guidelines<sup>9</sup>.

**Case Study on Namma Toilet by Tamilnadu<sup>10</sup>**

Namma Toilet is a Modular Toilet solution that has been designed to eradicate open defecation, keeping in mind the requirements of Indian sanitary practices. A series of user studies, interviews and follow up presentations have resulted in a specific set of requirements based on which Namma Toilet has been designed. It is a total sanitary solution with a Universal Design. Namma Toilet is made of Composite Fibreglass Sandwiched material, which has excellent durability and strength. It is designed to withstand the extreme harsh conditions one can expect outdoors in our country and the high usage. Namma Toilet can be configured to many different complexes based on the requirement at the site, as they are modular. One is the basic toilet module. This is available in 4 options. Male Physically Challenged (EWC), Ladies Physically Challenged (EWC), Male Regular (IWC) and Ladies Regular (IWC). There is a Urinal Module (2 People can use at same time), stand-alone modules for Handwash, Partitions for separating the Women section from the Men's, End Partitions designed to keep stray animals away, Overhead Water tank structure and Canopies (Privacy Screens) for the individual toilet modules. In addition to these, the Solar based lighting module varies according to the design or size of the toilet complex. In rural areas where power is a problem or remote areas an additional option is available for having the bore motor run of solar power. A toilet complex can be designed with a combination of these individual modules to best fit the requirements of the site selected. In Urban areas where Underground drainage connections are available, we can connect the waste to these lines. In areas where this option is not available we can have a septic tank with a bio-enzyme based treatment system. This helps control the COD/BOD levels and Ecoli in



the waste. Additionally, in areas which have a very sensitive ecological system, we can provide a batch waste treatment system which totally controls the waste water let out and this water can be used for watering nearby trees.

Due to the construction and philosophy behind Namma Toilet, it is suitable for all kinds of areas from remote locations to Villages, Towns and Cities. The design is modern and appealing and blends into the local landscape. The most common water source for Namma Toilet is a bore well sunk near the site. In most cases, this is preferred to ensure continuous supply of water to the toilets. There are many locations where existing water sources are available and have been made use of. These modular toilets are designed with the end user's requirements in mind. Our effort has been on creating infrastructure that will be sustainable and the public will use happily, unlike many low cost toilets which become unusable within few months of deployment. The material used right from the Booth material, Interior surface finish quality, Ceramic Pans, to Stainless steel taps, Fittings and handles, modern LED lighting and Solar Power all enhance the end user appeal. Elements like Polycarbonate roofs for natural light ventilation and abundant SS louvers for good air ventilation are provided. Flush tanks are provided in every module and an overhead tank of sufficient capacity (2000 Litres) is provided. We thereby ensure availability of water at all times in the complex.

The overhead water tank is designed in such a way that there is a room at the bottom with locking arrangement to house the cleaning material and also doubles as shelter for the maintenance team during heavy rainfall. The privacy screens are made from Stainless steel and provide the right level of privacy for the user, while also ensuring that the complex is not misused by antisocial elements. The whole complex is fixed on a platform with attractive tiling. When all these extras are added on and calculated, the per seat cost appears higher but in the end when you take the life cycle costs and facilities provided as compared to regular toilets, the costs are very much comparable and also the purpose for which it is built is served, which is of the most importance. We have had fantastic response from the public and have lots of feedback from end users on how good the toilets are. In public places like bus stands, more than 200 persons use each toilet per day. In tourist places like Ooty, people from all over India and even foreigners have given good comments on the quality of the toilets. In community toilet, we have seen steady increase in the number of people using toilets from the initial installation. On further investigation, it was found that people from neighbouring areas are travelling long distances to use this facility. We are constantly listening and evolving the design to ensure we stay abreast of the latest developments in materials and production processes and also upgrade the design for more comfort.

#### 1.5.4 Solid Waste Management

Coverage or Target under the component is all Statutory ULBs

ULBs are to prepare bankable Detailed Project Reports (DPRs) for Solid waste management of their city in consultation with state governments. Smaller cities can form clusters to become viable entities to attract private investment.

**Financial Assistance:** Central assistance is upto 35% of the project cost for all States/ UTs including North Eastern and Special Category States.

For additional information on the component, the SBM (U) operational guidelines<sup>11</sup> and the Manual on Municipal Solid Waste Management Systems published by the MHUA in 2016<sup>12</sup> may be referred to.

Case Study on Decentralized Waste Management System for Apartment Complexes - A Public-Private initiative in Cochin<sup>13</sup>

Cochin Municipal Corporation (CoC), Kerala Builders Forum, now called Confederation of Real Estate Developers' Associations of India (CREDAI), are the main players in this initiative. To manage the solid waste, the following approach was adopted in high rise apartments to implement an eco-friendly solid waste management system:

A suitable technology was identified and approved by Clean Kerala Mission, Government of Kerala and the implementation of this decentralized system of waste management in few apartment complexes on a trial basis was started in 2007. In addition, the following activities were undertaken -

- Planning and formulation of strategy and a dedicated team for implementation of the decentralized system for the high rise apartments.
- Setting up of source segregated door to door collection system of waste in each of the apartment complexes.
- Establishment of the Bio-Bin system to process the bio-degradable waste to produce and utilize the compost on site within the apartment complex.
- Establishment of a recycling and plastic shredding unit by Corporation of Cochin and managed by CREDAI.
- Collection of dry/ recyclable material is sold to generate revenue for the CREDAI workers.
- Regular skill development and awareness programs through the print and mass media for the workers and citizens.

**Outcome:**

- Currently 350 apartment complexes in Kochi are covered under this initiative.
- Decentralized system in apartment complexes led to employment opportunities foreconomically weaker sections, especially women for operationalizing and monitoring of the unit.
- Effective monitoring and timely complaint redressal at the time of any failure of the unit.

**Overall Sustainability:**

Onsite operation and maintenance of the composting system as well as other expenditures are being met by the collection of user charges at the rate of Rs. 100-150/- as well as sale from the recyclables. In order to further strengthen and ensure sustainability of the system, Local Self Government Department (Govt. of Kerala) issued an order in 2012 for making it mandatory for the apartments through the building associations/ firms to manage the waste within the apartment complexes through different technologies for composting and sale of recyclable material.



### **1.5.5 Information, Education and Communication (IEC) activities and Public Awareness**

A key strategy under SBM (Urban) is behaviour change communication to ensure that sanitation as an issue is mainstreamed with the general public at large and should cover issues of open defecation, prevention of manual scavenging, hygiene practices, proper use and maintenance of toilet facilities (household, community or otherwise), etc., and its related health and environmental consequences.

Target is general public at large covering issues such as open defecation, prevention of manual scavenging, hygiene practices, proper use and maintenance of toilet facilities and its related health and environmental consequences.

**Financial Assistance:** A total of 15% of the total central allocation will be earmarked for this component. Of this, 12% will be earmarked for States to undertake massive public awareness campaigns on sanitation and establishing its link to public health, hygiene and the environment through various means including - radio, social media, documentaries, plays, workshops, etc. The remaining 3% will be earmarked for the MHUA to draw a national media campaign and developing standard campaign tools for effective awareness and communication on sanitation.

Detailed IEC material available on SBM (Urban) website <http://www.swachhbharaturban.in:8080/SBMDrive/drive/folders> may be useful to the ULBs to undertake IEC activities.

### **1.5.6 Capacity Building and Administrative & Office Expenses**

3% of the total Central Government allocation under the mission will be earmarked for capacity building, administrative and office expenses of States and ULBs.

States shall propose extensive capacity building activities to be implemented in a mission-mode manner, enabling the progressive achievement of objectives of SBM (Urban) in a time-bound manner. These will be specified in the comprehensive annual action plan prepared by each state. This will be approved by State High Power Committee (SHPC) after sharing and considering suggestions from MHUA. At least 50% of this fund, in each annual plan, as approved by State HPC, must go to the ULBs for activities at the ULB level.

States and ULBs identify relevant officials (both senior level officials and field-level functionaries) for training and draw up a calendar of training for them. It will be the responsibility of the State Mission Director to ensure that identified officials undergo adequate capacity building / training to ensure the success of SBM (Urban) in the state. Additionally, states also identify relevant officials /persons capable of spreading the training on sanitation under SBM (Urban) as “master trainers” who can attend central government training on SBM (Urban) and then organize subsequent training to diffuse the message of SBM (Urban) in the states.

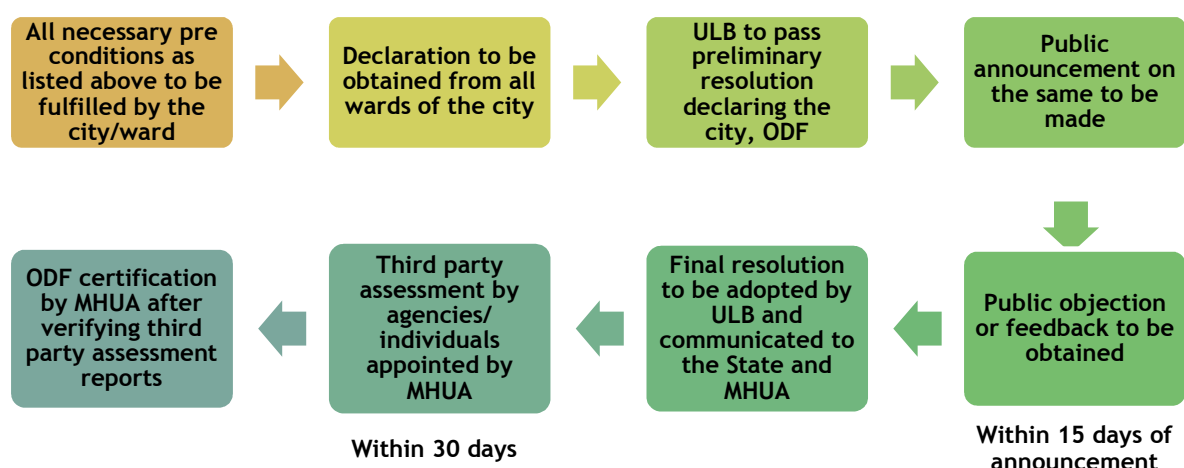
All ULB staff will be required to mandatorily register for and complete with certification the e-learning training modules that have been compiled on the e-courses portal.

## **1.6 ODF Declaration Protocol by ULBs and Certification by MHUA**

A city may be notified as ODF city/ward, if at any point of the day, not a single person is found defecating in open.

## Pre-conditions for ODF Declaration of the City

1. All households that have space to construct toilet have constructed one
2. All occupants of the households who do not have space to construct toilet have access to community toilets with in distance of 500 mts
3. All commercial areas have public toilets within a distance of 1 km
4. Details of all Individual House-hold toilets (IHHL) constructed from 2011 onwards will have to mandatorily be uploaded on the SBM-Urban portal
5. Pictures of all functional community and public toilets in the city, irrespective of the date of construction, will have to mandatorily be uploaded on the SBM-Urban portal.



**Figure 4: Protocol for ODF Declaration**

*\*Declarations by Wards also must constitute sub-declarations by schools and self-help groups<sup>14</sup>*

For initial ODF certification, the Service Level Status (Preliminary data on select indicators) and independent observations would be made by the Third Party Assessors. Once the certificate is issued by MHUA, the certificate is valid for a period of six months and for recertification, the cities have to communicate a request to MHUA and third party assessment would be conducted for re-certification too. For re-assessment, only independent observations are required.

## 1.7 Institutional framework

National Advisory and Review Committee (NARC) headed by the Secretary, MHUA is responsible for overall monitoring and supervision of SBM (U) at the National level. SBM (U) National Mission Directorate headed by an officer not less than the rank of a Joint Secretary (JS) to the Government of India will be overall in-charge for implementation. The Directorate is duly supported by a Project Management Unit (PMU).

State High Powered Committee (SHPC) under the chairpersonship of the State's Chief Secretary, and with members drawn from concerned departments (including a MoHUA representative) shall be responsible for the management of SBM (Urban) at the State / UT level. State Mission Directorate (SMD) of SBM (U) would be the implementation agency at the State level, headed by the Member Secretary of

SHPC. The SMD will create / notify a uniform structure across the state for the planning, designing, project preparation, appraisal, sanction and implementation of sanctioned projects under the mission at the ULB level.

At the district level, District Level Review and Monitoring Committee (DLRMC) has been constituted to monitor the SBM (U) activities. The guidelines issued for by MoHUA dated 24 June 2016 on functioning of District Level Advisory and Monitoring Committee (DLAMC) shall be applicable for implementation of SBM (U)<sup>15</sup>.

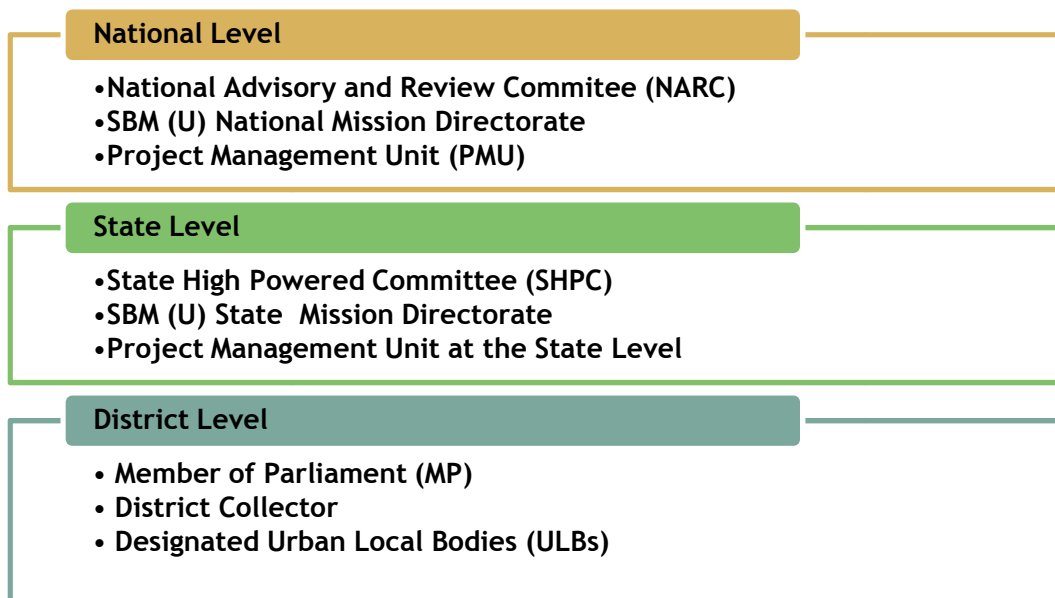


Figure 5: Institutional Framework - SBM (U)

## 1.8 Monitoring & Evaluation

States need to submit Monthly Progress Report (MPRs) and Quarterly Progress Reports (QPRs) to the National Mission Directorate in the prescribed formats. Continuous monitoring of the progress of SBM (U) is critical to keep a check on the achievements of the mission.

Progress of implementation to be regularly updated by ULBs.

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## 2. Roles and Responsibilities of key functionaries - District level

At the district level, major stakeholders engaged in implementation of SBM (U) include the following (Figure 6)

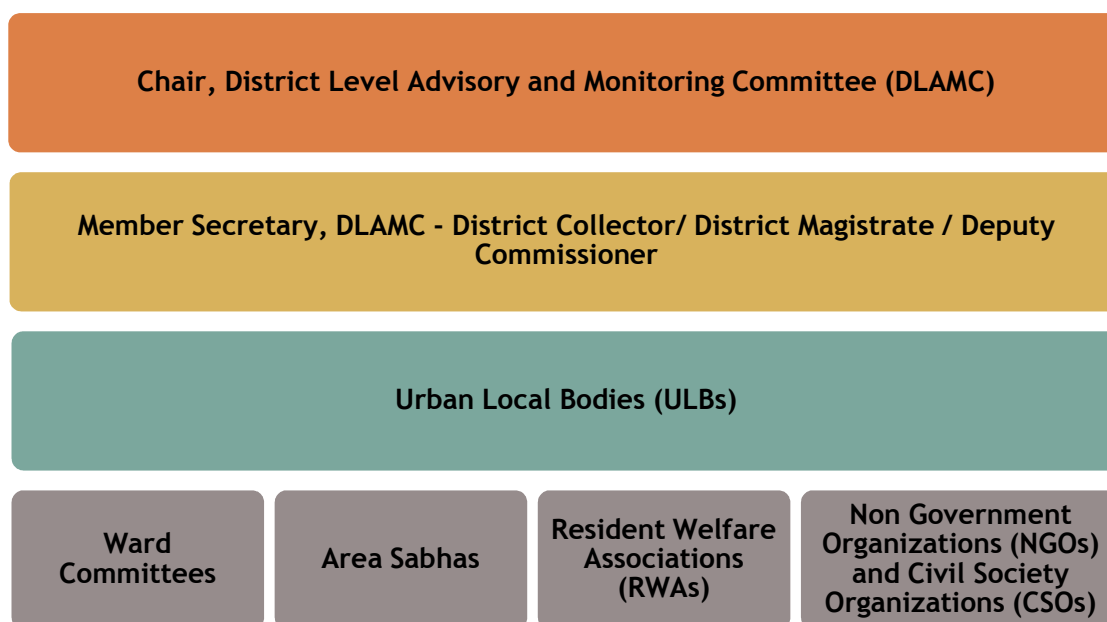


Figure 6: Key district functionaries in implementing SBM (U)

### 2.1 District Level Advisory and Monitoring Committee (DLAMC)

DLAMC shall oversee the implementation of SBM (U), ensure that the beneficiaries are properly selected, manual scavenging is eliminated and scientific disposal of solid and liquid waste is done. Major role is to see that the objective of Open Defecation Free (ODF) cities is achieved and sustained.

Table 1: Composition of DLAMC

|                                     |   |
|-------------------------------------|---|
| <b>Chairperson</b>                  | • Nominated by the State Government (Senior most elected representative of the district, representing the maximum geographical area)  |
| <b>Co Chairperson (Lok Sabha)</b>   | - • All Elected Members of Parliament (Lok Sabha) of the District having full or part of one or more of an Urban local Body (ULB) of the district falling in their constituency, to be designated as Co-Chairperson |
| <b>Co Chairperson (Rajya Sabha)</b> | - • Each Member of Parliament (Rajya Sabha) representing the State may exercise the option to be associated with anyone District Level Advisory and Monitoring Committees (DLAMC) of choice as Co-Chairperson       |
| <b>Member Secretary</b>             | - • District Collector/ District Magistrate/ Deputy Commissioner<br>• In case of metropolitan cities, the Municipal Commissioner shall be the Member Secretary  |

## 2.2 Member Secretary- District Level Advisory and Monitoring Committee (DLAMC)

**Table 2: Roles & Responsibilities of Member Secretary - DLAMC**  
(District Collector/ District Magistrate/ Deputy Commissioner)

| Role           | Responsibilities  |
|----------------|---|
| Planning       | <ul style="list-style-type: none"> <li>Facilitate demand assessment and house - to - house surveys at the district level</li> </ul>   |
|                | <ul style="list-style-type: none"> <li>Ensure ULBs prepare City Level Sanitation Plans/ Swachh Bharat City Plans<sup>16</sup> for approval by States</li> </ul>   |
| Implementation | <ul style="list-style-type: none"> <li>Facilitate coordination amongst various agencies</li> </ul>  |
|                | <ul style="list-style-type: none"> <li>Promote inter-sectoral convergence of resources</li> </ul>   |
|                | <ul style="list-style-type: none"> <li>Promote citizen engagement and participation</li> </ul>  |
| Monitoring     | <ul style="list-style-type: none"> <li>Oversee and monitor the progress of implementation of SBM (U) at the district level</li> </ul>   |
|                | <ul style="list-style-type: none"> <li>Convene DLAMC meetings, once in three months</li> </ul>  |
|                | <ul style="list-style-type: none"> <li>Review improvements in service level indicators of each ULB of the district</li> </ul>   |
|                | <ul style="list-style-type: none"> <li>Review implementation of SBM(U) from the perspective of e-Governance and ease of doing business</li> </ul>   |
|                | <ul style="list-style-type: none"> <li>Obtain district login from the SBM (U) portal; <a href="http://swachhbharaturban.gov.in/">http://swachhbharaturban.gov.in/</a> and update the details of review meetings of DLAMC</li> </ul> |

## 2.3 Urban Local Bodies (ULBs)

**Table 3: Roles & Responsibilities of Urban Local Bodies (Municipal Corporation/ Municipality / Notified Area Council or City Council)**  
(Municipal Commissioner/ Director/ Executive Officer/ Designated Nodal Officer)

| Role                                   | Responsibilities   |
|--|--|
| Planning/<br>Preparatory<br>Activities | <ul style="list-style-type: none"> <li>Conduct house - to - house survey for demand assessment for Household toilets</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>Carry out demand assessment for community toilets, public toilets and urinals</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>Undertake Baseline analysis and Service Level Gap Analysis in Sewerage / Septage management as prescribed by the State</li> </ul>   |
|  | <ul style="list-style-type: none"> <li>Prepare bankable Detailed Project Reports (DPRs) for solid waste management of their city in consultation with the State and form cluster of cities for small cities</li> </ul> |
|  | <ul style="list-style-type: none"> <li>Prepare City Level Sanitation Plans (Swachh Bharat City Plan) under Comprehensive Sanitation Planning for approval by State</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>Develop Faecal Sludge and Septage Management (FSSM)<sup>17</sup> Plan at the ULB level according to FSSM National Policy, 2017</li> </ul>                                       |
| Community<br>Engagement <sup>18</sup>  | <ul style="list-style-type: none"> <li>Foster linkages with frontline workers such as Mahila Arogya Samithi (MAS) members, ASHA Workers and community mobilizers appointed by ULBs</li> </ul>                          |
|  | <ul style="list-style-type: none"> <li>Create learning sites and train SHGs and Women forums on community engagement for SBM (U)</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>Appoint master trainers to train communities in waste segregation, both at households and collection sites.</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>Constitute a Community Management Committee (CMC) for community engagement activities</li> </ul>  |

|                       |   |  |
|-----------------------|---|--|
| <b>Implementation</b> | <b>Component 1 - Household Toilets</b>  |  |
|                       | <ul style="list-style-type: none"> <li>• Create awareness and motivate beneficiaries for construction of household toilets</li> <li>• Accept applications and undertakings from beneficiaries. Online applications may be accepted via the portal, <a href="http://swachhbharaturban.gov.in/ihhl/">http://swachhbharaturban.gov.in/ihhl/</a></li> <li>• Verify applications and approve within 7 days of receipt of applications</li> <li>• Ensure that the beneficiary households have functional water connections</li> <li>• Promote usage of household toilets through IEC campaigns and behaviour change communication activities</li> </ul> |  |
|                       | <b>Component 2 - Community Toilets</b>  |  |
|                       | <ul style="list-style-type: none"> <li>• Ensure that all community toilets being constructed under SBM (U) are built in tandem with water supply arrangements</li> <li>• Identify suitable piece of land adjoining houses/dwelling</li> <li>• Involve Non Government Organizations (NGOs) and Civil Society Organizations (CSOs) in construction and maintenance, wherever possible</li> </ul>  |  |
|                       | <b>Component 3 - Public Toilets and Urinals</b>   |  |
|                       | <ul style="list-style-type: none"> <li>• Ensure that every public place (banks, post offices, bus stops, petrol pumps, metro stations, hospitals, restaurants, schools, health centres, anganwadis, citizen centres) has access to public toilet(s)</li> <li>• Ensure that the facility is functional and kept open for public use</li> <li>• Identify land for public toilets</li> <li>• Encourage the private sector to construct and manage public toilets through a PPP agreement</li> <li>• Put up mobile toilets wherever required</li> </ul>   |  |
|                       | <b>Component 4- Solid Waste Management (SWM)</b>  |  |
|                       | <ul style="list-style-type: none"> <li>• Attract private investments and promote PPP in Solid Waste Management</li> <li>• Dovetail Corporate Social Responsibility (CSR) for SWM. For additional information Swachhata Augmentation through Corporate helping hands available at <a href="https://swachh.org.in/">https://swachh.org.in/</a> may be referred to.</li> </ul>   |  |
|                       | <b>Component 5 - Information, Education and Communication Activities (IEC)</b>  |  |
|                       | <ul style="list-style-type: none"> <li>• Undertake IEC activities and behaviour change campaigns at the grass-root level as per the instructions from the State Mission</li> </ul>  |  |
|                       | <b>Generic activities</b>   |  |
|                       | <ul style="list-style-type: none"> <li>• Promote direct transfer of funds to the beneficiary accounts in a timely and hassle-free manner</li> <li>• Obtain active participation of ward committees, area sabhas, resident welfare associations, NGOs and CSOs</li> <li>• Update wards master list in SBM (U) portal</li> <li>• Develop training programmes for masons to build requisite skills in construction of quality septic tanks as per BIS / NBC norms</li> <li>• Focus on revenue streams that can support Operations and Maintenance costs of Community Toilets / Public Toilets</li> </ul>   |  |
|                       | <b>Monitoring</b>   | <ul style="list-style-type: none"> <li>• Undertake physical verification after construction of Household toilets, for release of second installment of grant in aid to the beneficiaries (Household Toilets)</li> <li>• Ensure that the construction complies with the technical standards</li> <li>• Support third party assessment for ODF certification</li> <li>• Enact the services of Swachhata app to facilitate redressal of cleanliness related grievances of Citizens</li> </ul> |



|  |   |
|--|---|
|  | <ul style="list-style-type: none"> <li>• Monitor the uploading of geo-tagged photographs of sites onto SBM (U) portal</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• Ensure that the wards enter details and load geo tagged photos of Planned/ Completed Public &amp; Community Toilet Blocks. They can also use mobile app that can be downloaded at <a href="http://mSBMUrban.gov.in">http://mSBMUrban.gov.in</a></li> </ul> |
|  | <ul style="list-style-type: none"> <li>• Follow ODF protocol provided in Annexure V of the guidelines for self declaration, certification and recertification of ODF status</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• Hold quarterly meetings with stakeholders including Ward committees, Self-Help Groups, Area Sabhas, RWAs, etc.</li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• Prepare and provide data/ documents required as per Swachh Survekshan<sup>19</sup></li> </ul>  |
|  | <ul style="list-style-type: none"> <li>• Provide database of phone numbers for citizen feedback under Swachh Survekshan</li> </ul>  |

## 2.4 Ward Committees/ Area Sabhas/ Resident Welfare Associations/ NGOs/ CSOs

Ward Committees have an important role to play in realizing the goal of SBM (U). A ward level ODF plan is essential for effective monitoring of outputs. Following roles highlighted by a recent publication by MHUA and USAID, “A Ward -by-Ward Approach to Eliminating Open Defecation: Experience from Visakhapatnam<sup>20</sup>” may help in achieving the objectives of SBM (U). Major roles of ward committees identified are,

- To identify OD hotspots by sanitation mapping
- Formation of ward level ODF Coordination Committees
- Preparation of ward level ODF plan
- Surveillance of OD hotspots
- Self Declaration of ODF wards and Sub Declarations by Schools and SHGs as prescribed in the SBM (U) Operational Guideline

Primary responsibility of other stakeholders including Area Sabhas, Resident Welfare Associations, NGOs and CSOs is to create awareness and execute behaviour change communication campaigns at the grass roots for successful implementation of SBM (G)

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**Suggested Monthly Progress Monitoring Formats for ULBs - SBM (U)**

**(a) Status of Toilet Infrastructure in the ULB**

|   |  |
|---|--|
| Total No. of Households (Census 2011)   |  |
| Total No. of Households (2016)  |  |
| Total No. of Households having Toilets (before 02.10.2014)                        |  |
| Total No. of In-Sanitary Toilets (before 02.10.2014)                              |  |
| Whether Under Ground Drainage system is available? (Y/N)                          |  |
| If Yes, No. of toilets connected to Under Ground Drainage system                  |  |
| No. of Slum households dependent on Community / Public Toilet (before 02.10.2014) |  |
| No. of Slum households resorting for Open defecation (before 02.10.2014)          |  |
| No. of Non-Slum households resorting for Open Defecation (before 02.10.2014)      |  |

**(b) Status of Construction of IHHL Toilets as on date**

|  |           |
|--|-----------|
| Total No. of IHHLs Applications Received (as on date):                 |           |
| No. of Applications for IHHLs Approved:                                |           |
| No. of Applications for IHHLs Rejected: brief the Reasons              |           |
| Total No. of toilets Stage I Completed (basement level)                |           |
| Total No. of toilets Stage-II Completed                                |           |
| Balance (yet to be grounded) IHHLs to be taken to Stage-1 (in numbers) |           |
| Stage I IHHLs to be taken to Stage -II (in numbers)                    |           |
| No. of Approved applications   | Phase - 1 |
|  | Phase - 2 |
|  | Phase - 3 |
| Total No. of Applications categorized                                  |           |
| Total No. of Applications yet to be categorized                        |           |

**(c) Status of conversion from Insanitary to Sanitary Household Toilets**

|   |           |
|---|-----------|
| Total No. of Insanitary toilet conversion Applications Received:                    |           |
| No. of Insanitary for IHHLs Approved:   |           |
| No. of Applications Insanitary Rejected:  |           |
| Total No. of toilets Completed (in numbers)   |           |
| Balance to be Completed (in numbers)  |           |
| No. of Approved Insanitary toilet conversion applications categorized into Category | Phase - 1 |
|   | Phase - 2 |
|   | Phase - 3 |
| Total No. of Insanitary Applications categorized                                    |           |
| Total No. of Insanitary Applications yet to be categorized                          |           |

**(d) Existing status and proposed community toilets in the ULB as on date**

|  | Location | No. of Seats |       | No. of Urinals |       | Remarks |
|--|----------|--------------|-------|----------------|-------|---------|
|  |          | Men          | Women | Men            | Women |         |
|  |          |              |       |                |       |         |

|                       |  |  |  |  |  |  |
|-----------------------|--|--|--|--|--|--|
| Existing              |  |  |  |  |  |  |
|                       |  |  |  |  |  |  |
| Under Progress        |  |  |  |  |  |  |
|                       |  |  |  |  |  |  |
| Proposed - New        |  |  |  |  |  |  |
|                       |  |  |  |  |  |  |
| Proposed - Renovation |  |  |  |  |  |  |

**(e) Existing status and proposed public toilets in the ULB as on date**

|                      | Location | No. of Seats |       | No. of Urinals |       | Remarks |
|----------------------|----------|--------------|-------|----------------|-------|---------|
|                      |          | Men          | Women | Men            | Women |         |
| Existing             |          |              |       |                |       |         |
|                      |          |              |       |                |       |         |
| Under Progress       |          |              |       |                |       |         |
|                      |          |              |       |                |       |         |
| Proposed- New        |          |              |       |                |       |         |
|                      |          |              |       |                |       |         |
| Proposed- Renovation |          |              |       |                |       |         |

**(f) Status of Sanitation in Institutions and Commercial areas**

| Name of Institution | No. of Toilets seats existing for Men | No. of Toilets seats existing for Women | Total no of Toilet seats | No. of Functional Toilets seats | No. of Toilets need to be repair/ constructed | Remarks |
|---------------------|---------------------------------------|---|--------------------------|---------------------------------|---|---------|
| Govt Schools        |                                       |   |                          |                                 |   |         |
| Hospitals           |                                       |   |                          |                                 |   |         |
| Markets             |                                       |   |                          |                                 |   |         |
| Hostels             |                                       |   |                          |                                 |   |         |
| Graveyards etc,     |                                       |   |                          |                                 |   |         |

**(g) Mapping of Sanitation hot-spots in the town<sup>21</sup>**

| Location | Ward no | Residential | Commercial | Institutional |
|----------|---------|-------------|------------|---------------|
|          |         |             |            |               |
|          |         |             |            |               |
|          |         |             |            |               |
|          |         |             |            |               |
|          |         |             |            |               |

*\*Progress of implementation to be regularly updated by ULBs on SBM (U) portal accessible at [http://swachhbharaturban.gov.in/ULB\\_LOGIN.aspx?id=7cda9f71125dade355b42c30afe11abf](http://swachhbharaturban.gov.in/ULB_LOGIN.aspx?id=7cda9f71125dade355b42c30afe11abf)*

## Abbreviations

|         |  |
|---------|--|
| AS      | Area Sabha                                       |
| CSO     | Civil Society Organizations                      |
| CSR     | Corporate Social Responsibility                  |
| CT      | Community Toilets                                |
| DC      | District Collector                               |
| DLAMC   | District Level Advisory and Management Committee |
| DLRMC   | District Level Review and Monitoring Committee   |
| DM      | District Magistrate                              |
| DRDO    | Defence Research and Development Organization    |
| DPR     | Detailed Project Report                          |
| DST     | Department of Science and Technology             |
| GOI     | Government of India                              |
| IEC     | Information, Education and Communication         |
| IHHL    | Individual House Hold Latrine                    |
| MHUA    | Ministry of Housing and Urban Affairs            |
| MSWM    | Municipal Solid Waste Management                 |
| NARC    | National Advisory and Review Committee           |
| NGO     | Non Government Organization                      |
| OD      | Open Defecation                                  |
| ODF     | Open Defecation Free                             |
| PMU     | Project Management Unit                          |
| SBM (U) | Swachh Bharat Mission (Urban)                    |
| SHPC    | State High Powered Committee                     |
| SWM     | Solid Waste Management                           |
| RWA     | Resident Welfare Association                     |
| ULB     | Urban Local Body                                 |
| UT      | Union Territory                                  |
| WC      | Ward Committees                                  |

## Endnotes and References

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- <sup>1</sup>Extant operational guidelines of SBM (U) effective August 1, 2017 available at [http://www.swachhbharaturban.in:8080/sbm/content/writereaddata/SBM\\_Guideline.pdf](http://www.swachhbharaturban.in:8080/sbm/content/writereaddata/SBM_Guideline.pdf)
- <sup>2</sup>Solid waste can also be defined as the organic and inorganic waste materials produced by households, commercial & industrial establishments that have no economic value to the owner. Further, as per biodegradability, solid waste can be classified as “biodegradable” and “non-biodegradable” waste
- <sup>3</sup>Statutory towns are urban areas defined by administrative units that have been defined by ‘statute’ as urban such as municipal corporations, municipalities, cantonment boards, notified town area committees, town panchayats, or nagarpalikas
- <sup>4</sup>Safe technology option means no contamination of surface soil, ground water or surface water; excreta inaccessible to flies or animals; no handling of fresh excreta; and freedom from odour and unsightly condition
- <sup>5</sup>Insanitary latrine means a latrine which requires human excreta to be cleaned or otherwise handled manually, either in situ, or in an open drain or pit into which the excreta is discharged or flushed out, before the excreta fully decomposes. Construction of “insanitary latrines” as defined in “The prohibitions of Employment as Manual Scavenger and Rehabilitation Act, 2013” at Para 2. (1) (e) is not permitted in the rural areas. The existing “insanitary latrines” if any, should be converted to sanitary latrines and the sharing pattern for incentive for the targeted beneficiaries shall be identical to that of construction of individual house hold latrines.
- <sup>6</sup>Types of Toilets and Definitions :
- Flush / pour flush Toilet connected to piped sewer system: If a pour flush Toilet is connected to a system of sewer pipes that collect both human excreta and waste water and removed them from the household environment.
  - Flush / pour flush Toilet connected septic tank: If a pour flush Toilet is connected to a septic tank that collects both human excreta and wastewater and removes them from the household environment.
  - Flush / pour flush Toilet connected other system: If the pour or pour-flush Toilet is connected to any system other than a piped sewer system or septic tank e.g. excreta and waste water gets flushed into the street, yard / plot, drainage ditch or any other location.
  - Pit Toilets\*: defecation into pits dug into the ground for reception of night soil directly without flushing.
    - Pit Toilet with slab: A pit Toilet with a squatting slab or platform or set firmly Supported on all sides, and raised above the surrounding ground level to prevent surface water from entering the pit, and easy to clean.
    - Pit Toilet with ventilated improved pit: Pit Toilets with slabs that are ventilated by a pipe extending above the Toilet roof and the open end of the vent pipe is covered with mesh or fly-proof net.
    - Pit Toilet without slab / open pit: Pit Toilets without a squatting slab or platform or seat\* Census 2011 does not distinguish between single pit and twin pit Toilets. However, for SBM single pit Toilets will be considered insanitary and shall be converted.
  - Night soil disposed into open drain: Where a Toilet facility may exist, but the excreta and waste water is disposed directly into an open drain.
  - Service Toilet: where human excreta is collected in a bucket, or other container, or even allowed to collect in the open
    - With night soil removed by humans: where the human excreta is removed physically by human beings.
    - With night soil serviced by animals: where the human excreta is removed physically by animals
  - No. Toilet within premises - public Toilet: Households have no Toilets within the premises of the dwelling unit and use an available public Toilet
  - No. Toilet within premises - open: Households have no Toilet within the premises of the dwelling unit and defecate in the open in areas
- <sup>7</sup> Section 4 of Reference 1
- <sup>8</sup>Section 5 of Reference 1

<sup>9</sup>Section 6 of Reference 1

<sup>10</sup>Source : Presentation on Namma Toilet accessible at [http://swachhbharaturban.gov.in/writereaddata/NAMMA\\_TOILET\\_PPT.pdf](http://swachhbharaturban.gov.in/writereaddata/NAMMA_TOILET_PPT.pdf)

<sup>11</sup>Section 7 of Reference 1

<sup>12</sup>For additional information on Solid Waste Management Systems, SBM (Urban) manual available at <http://moud.gov.in/publication/manual-on-solid-waste-management-systems-cpheeo-2000.php> may be referred to

<sup>13</sup>Source : <http://www.urbansanitation.org/live/hrdpmp/hrdpmaster/hrdp-ase/content/e30293/e31169/e49836/e49818/e49819/1.KochiDraftCSP-Volumel-Main.pdf> and [http://swachhbharaturban.gov.in/writereaddata/Decentralized\\_waste\\_managementCochin.pdf](http://swachhbharaturban.gov.in/writereaddata/Decentralized_waste_managementCochin.pdf)

<sup>14</sup>Sub Declarations : (1) Every School in a ward provides self declaration that all students enrolled in it have access to, and are routinely using toilets at home and at school. (2) Every Self- Help Group in a ward gives a declaration that all residents of the ward have access to, and are routinely using toilets at home. Additional information on ODF declaration protocol and formats are available in Annexure V of Reference 1.

<sup>15</sup>Constitution and functioning of SBM (U) is accessible at [http://moud.gov.in/upload/uploadfiles/files/Guidelines\\_DistrictLevel03.pdf](http://moud.gov.in/upload/uploadfiles/files/Guidelines_DistrictLevel03.pdf)

<sup>16</sup>Format for Swachh Bharat City Plan available at [http://www.swachhbharaturban.in:8080/sbm/content/writereaddata/Template\\_for\\_Swachh\\_Bharat\\_City\\_Plan.pdf](http://www.swachhbharaturban.in:8080/sbm/content/writereaddata/Template_for_Swachh_Bharat_City_Plan.pdf)

<sup>17</sup>National Policy on Faecal Sludge and Septage Management, 2017 is available at [http://www.swachhbharaturban.in:8080/sbm/content/writereaddata/FSSM%20Policy%20Report\\_23%20Feb\\_Artwork.pdf](http://www.swachhbharaturban.in:8080/sbm/content/writereaddata/FSSM%20Policy%20Report_23%20Feb_Artwork.pdf)

<sup>18</sup>Community engagement guidelines are available at <http://www.swachhbharaturban.in/sbm/home/lib/content/Community%20Engagement%20Guidelines.pdf>

<sup>19</sup>Swachh Survekshan - Survey conducted to rank cities on various sanitation and cleanliness parameters. The survey is conducted every year.

<sup>20</sup>Report available at <https://www.issuelab.org/resources/27268/27268.pdf>

<sup>21</sup>**Residential Hotspots-** Areas where more number of households are resorting for open defecation

**Commercial Hotspots-** Areas where most of floating population and workers in commercial establishments openly urinate or defecate due to non- availability of toilets or public toilets or poor awareness. The areas include commercial localities, passage of buildings, bus alighting points and near railway stations etc.

**Institutional Hotspots -** Areas where the institutional lands are used by the citizens to defecate or urinate in open such as open areas in Govt Hospitals, Agriculture market yards, RTC bus stands, railway tracks, Govt lands etc.