



Ministry of Housing
and Urban Affairs
Government of India



Guidelines for Swachh Bharat Mission - Urban

Revised as on 5th October 2017

**HARDEEP S PURI**

Hon'ble Minister of State
(Independent Charge)
Ministry of Housing & Urban
Affairs

MESSAGE FROM HON'BLE MINISTER OF STATE (INDEPENDENT CHARGE)

The past two and a half years has witnessed a historical journey for India along the path of 'swachhata'. With the launch of the Swachh Bharat Mission (Urban), the issue of urban sanitation was for the first time brought to the forefront of the Central government's developmental agenda.

I am happy to see the revised guidelines issued by the SBM-Urban Mission Directorate, which not only is a testament to how far we have travelled in our quest for a clean India but also provides Urban Local Bodies and State governments with comprehensive directions to fast track their journey towards becoming "Swachh cities" within the Mission period of October 2019.

Jai Hind!



DURGA SHANKAR MISHRA

Secretary

Ministry of Housing & Urban
Affairs

MESSAGE FROM SECRETARY- HOUSING AND URBAN AFFAIRS

When the Swachh Bharat Mission (Urban) was launched by the Hon'ble Prime Minister on 2 October 2014, the MoHUA had brought out a set of guidelines to inform states and Urban local bodies regarding various components of the Mission, including fund release and utilisation, mission monitoring etc.

In the last two and a half years that have elapsed since then, we have had to issue numerous advisories and amendments to the guidelines from time to time, in response to evolving ground realities and changing expectations of various stakeholders.

Having crossed the midway mark of the Swachh Bharat Mission (Urban), it is now time to revise the guidelines so as to reflect these changed realities and norms.

It is therefore my pleasure to release the revised Swachh Bharat Mission (Urban) guidelines, and I hope that states and Urban local bodies will find it enormously helpful to have all the separate advisories and communications collated together in one place, to facilitate speedier implementation.



VINOD KUMAR JINDAL

Mission Director –
Swachh Bharat Mission
(Urban)

MESSAGE FROM NATIONAL MISSION DIRECTOR – SWACHH BHARAT MISSION (URBAN)

The Swachh Bharat Mission (Urban) guidelines were brought out in October 2014 to provide states and cities with a road map for implementing the SBM-Urban components. Nearly three years have passed since then and the Mission directorate has taken a variety of initiatives to help cities to accelerate their progress of implementation. Hence, guidelines have been revised to provide more flexibility to states to decide their Mission targets, more funding has been made available to states and cities on SBM component, a stringent ODF protocol has been introduced and is being followed, a slew of facilitating partnerships have been entered into for helping in Mission implementation, and a variety of facilitating measures have been taken to ease the process of procurement by states and cities.

All of these changes till 5th October 2017 have now been collated together and incorporated in these revised guidelines. All the changes introduced have been highlighted in yellow for ease of reference.

I wish the states and cities all the best in their implementation, using these revised guidelines.

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1. Introduction

- 1.1.** According to Census 2011, India's urban population is 377 million or 31% of the total population. These numbers are expected to increase to 600 million by 2031. The Census 2011 also showed that in 4,041 statutory towns, close to eight million households do not have access to toilets and defecate in the open (7.90 million). Weak sanitation has significant health costs and untreated sewage from cities is the single biggest source of water resource pollution in India. This indicates both the scale of the challenge ahead of the Indian cities and the huge costs incurred from not addressing them.
- 1.2.** The Swachh Bharat Mission (SBM) emanates from the vision of the Government articulated in the address of The President of India in his address to the Joint Session of Parliament on 9th June 2014: "We must not tolerate the indignity of homes without toilets and public spaces littered with garbage. For ensuring hygiene, waste management and sanitation across the nation, a "Swachh Bharat Mission" will be launched. This will be our tribute to Mahatma Gandhi on his 150th birth anniversary to be celebrated in the year 2019."
- 1.3.** SBM is being implemented by the Ministry of Housing and Urban Affairs (M/o HUA) and by the Ministry of Drinking Water and Sanitation (M/o DWS) for urban and rural areas respectively. These guidelines are for the implementation of Swachh Bharat Mission (Urban).



2. Swachh Bharat Mission (Urban)– Overview

2.1 Mission Objectives

- 2.1.1 Elimination of open defecation
- 2.1.2 Eradication of Manual Scavenging
- 2.1.3 Modern and Scientific Municipal Solid Waste Management
- 2.1.4 To effect behavioral change regarding healthy sanitation practices
- 2.1.5 Generate awareness about sanitation and its linkage with public health
- 2.1.6 Capacity Augmentation for ULBs to create an enabling environment for private sector participation in Capex (capital expenditure) and Opex (operation and maintenance)

2.2 Duration of the Mission

The Mission will be in force till 2nd October 2019

2.3 Mission Components

- 2.3.1 Household toilets, including conversion of insanitary latrines into pour-flush latrines
- 2.3.2 Community toilets,
- 2.3.3 Public toilets and urinals
- 2.3.4 Solid waste management
- 2.3.5 IEC & Public Awareness
- 2.3.6 Capacity building and Administrative & Office Expenses (A&OE)

By Public Toilets, it is implied that these are to be provided for the floating population / general public in places such as markets, train stations, tourist places, near office complexes, or other public areas where there are considerable number of people passing by.

By Community toilets, it is implied that a shared facility provided by and for a group of residents or an entire settlement. Community toilet blocks are used primarily in low-income and/or informal settlements / slums, where space and/or land are constraints in providing a household toilet. These are for a more or less fixed user group.

2.4 Mission Coverage: Cities and target population

All Statutory towns will be covered under the Mission. Definition of statutory towns is at Annexure I.

2.5 Mission Strategy

- 2.5.1 Comprehensive Sanitation Planning, which includes
 - (a) City level sanitation plans
 - (b) State Sanitation Concept as per Annexure IV
 - (c) State Sanitation Strategy

- 2.5.2 Behavioral Change Strategy and IEC
- 2.5.3 Enabling Environment for Private Sector Participation
- 2.5.4 Capacity Building
- 2.5.5 Special Focus Groups:

The State Governments shall pursue the following:

- i. All manual scavengers in urban areas are identified, insanitary toilets linked to their employment are upgraded to sanitary toilets, and the manual scavengers are adequately rehabilitated.
- ii. In their efforts to streamline and formalize SWM systems it shall be the endeavor of ULBs that the informal sector workers in waste management (rag pickers) are given priority to upgrade their work conditions and are enumerated and integrated into the formal system of SWM in cities.
- iii. All temporary accommodation for migrants and the homeless in urban areas have adequate provision for toilets either on the premises or linked to a public / community toilet.
- iv. Mandating that construction labour in urban areas have access to temporary toilets at all sites in urban areas, buildings, parks and roads where construction / maintenance work is taking place or where construction labour is temporarily housed.
- v. Priority shall be accorded pro-actively to cover households with vulnerable sections such as pensioners, girl children, pregnant and lactating mothers

2.6 Mission Funding

The estimated cost of implementation of SBM (Urban) based on unit and per capita costs for its various components is Rs. 62,009 Crore. The Government of India share as per approved funding pattern amounts to Rs. 14,623 Crore. In addition, a minimum additional amount equivalent to 25% of GoI funding, amounting to Rs. 4,874 Crore shall be contributed by the States as State/ULB share. The balance funds is proposed to be generated through various other sources of fund which are, but not limited to:

- a) Private Sector Participation
- a) Additional Resources from State Government/ULB
- b) Beneficiary Share
- c) User Charges
- d) Land Leveraging
- e) Innovative revenue streams
- f) Swachh Bharat Kosh
- g) Corporate Social Responsibility
- h) Market Borrowing
- i) External Assistance

3. Concept Sanitation Strategy

It is understood that without a proper city sanitation plan and resulting state sanitation strategy, as indicated in National Urban Sanitation Policy-2008, comprehensive planning cannot be achieved to attain the objectives of Swachh Bharat Mission. However, both the activities require time and wide consultation at various levels including citizen engagements. It is also understood that although many states and cities have prepared these plans and strategy, many more have not done so. In order to give a quick start to the Swachh Bharat Mission, it is, therefore proposed that all states may submit a brief concept note on state sanitation strategy, as given in the Annexure IV of these guidelines as a part of their initial proposal, in order to claim their first instalment for individual household toilets, IEC and Capacity Building as well as the revolving fund for other components. The concept note and proposal shall be submitted online to MoHUA by state governments by 30 January 2015. The states should however, simultaneously start preparing City sanitation plans for each city and State Sanitation strategy as per National Urban sanitation Policy 2008 as these will be required before any further release can be made to the states.

4. SBM (Urban) Component 1: Household Toilets

4.1 SBM (Urban) aims to ensure that

- a) No households engage in the practice of open defecation:
- b) No new insanitary toilets are constructed during the mission period, and
- c) Pit latrines are converted to sanitary latrines.

The Target Group for construction of household units of Toilets, thus, is:

- (i) 80% of urban households engaging in open defecation
- (ii) All households with insanitary latrines
- (iii) All households with single-pit latrines

These will be targeted under this component for the construction of household toilets or individual household latrines during the mission period. The remaining 20% of households practicing open defecation are assumed to be catered by community toilets due to constraints of space.

4.2 Household toilets constructed under SBM (Urban) will have two main structures – the toilet superstructure (including the pan and water closet), and the substructure (either an on-site treatment system, or a connection to existing underground sewerage system).

4.2.1 Whenever a sewerage system is available within 30 metres from the proposed household toilet, only the toilet superstructure may be constructed and connected to the existing sewerage system. ULBs must facilitate these connections for household toilets under SBM (Urban), wherever applicable and economical.

4.2.2 In the event that a sewerage system is not available within 30 meters from the proposed household toilet, in addition to the construction of the toilet superstructure, an on-site treatment system (such as twin pits, septic tanks, bio-digesters, or bio-tanks) should also be constructed for the collection, treatment and/or disposal of sewage at, or near the point of generation.

4.2.3 ULBs should ensure that all household toilets being constructed under SBM are built in tandem with water supply arrangements in ULBs. Beneficiary households will be responsible for the operation and maintenance of the household toilets. Suggested technical specifications, technologies and tentative cost of household toilets are available at Annexure II.

4.2.4 ULB will need to carry out periodic desludging of pits to minimize environmental and health problems to the community, and accelerate implementation of ODF strategies and initiatives to prevent slippage or slide back to OD practices.

- 4.3.** For this component, beneficiary shall mean any household that does not have access to an individual household toilet or has an insanitary toilet (dry / bahou and single pit latrine). No other criteria is to be applied.
- 4.3.1. Selection of Beneficiary Household shall be as per the strategy adopted by ULB under the guidance of state government. However, the following guiding principles may be followed:
- (i) Initially, a campaign to create awareness may motivate beneficiaries to come forward on their own. This should be taken at the ULB level and followed up by accepting a simple application and undertaking, to be verified within 7 days and approved at ULB level.
 - (ii) ULBs are expected to carry out a house-to-house survey. In so doing they shall also take into consideration Census 2011 data or any recent survey available to them. This baseline data shall be put in public domain by 15.02.2015.
 - (iii) Any claims and objections received shall be addressed in a transparent manner and continuous modifications can be made in the baseline data.
 - (iv) Based on this house to house survey, all households practicing open defecation shall be identified and ULB's need to approve either a Household toilet or plan for community toilets for each of such identified household/group of household.
- 4.3.2 Beneficiary households will be targeted under this scheme irrespective of whether they live in authorized/unauthorized colonies or notified / non-notified slums. Under SBM (Urban), tenure security issues are to be de-linked with benefits.
- 4.3.3 The states and ULBs must ensure that the maximum number of beneficiaries from individual household toilets will be normally limited to the numbers indicated in the Census of India 2011 for each town.
- 4.4. Central government incentive for the construction of household toilets will be Rs. 4,000 per household toilet for each identified beneficiary household, in states and UTs. However, for North eastern and Hilly states, the Central government incentive will be Rs 10,800 per unit.**
- 4.4.1. 50% of the Central Government incentive will be released to the identified beneficiary household by the ULB as 1st instalment on approval by the ULB along with share of the state government. There is no bar on releasing any extra funds at any stage using additional resources generated/provided by state government/ ULB.**
- 4.4.2. The ULB shall verify each application before releasing any incentive. Verification of the application should be completed within 7 working days of its submission of application by the beneficiary.
- 4.4.3. The remaining 50% of Central Government incentive as 2nd instalment should be released to the identified beneficiary household along with the State Government's incentives upon verification of physical progress of construction of the household toilet. The actual process of verification will be as per the directions of the respective State Government.

- 4.4.4. Final Verification of the construction of the household toilet should be supported by location-based technologies, wherein self-attested geo-tagged photographs of the construction, along with the applicant are taken out. These photographs must be uploaded to the SBM (Urban) MIS and be monitored by the ULBs and the States.
- 4.4.5. All financial incentives (government and /or private) for this component will be deposited directly (by electronic clearing service) into the bank accounts of the beneficiary households (including accounts opened under the Pradhan Mantri Jan Dhan Yojana). No cash/cheque disbursements shall take place. The ULBs should ensure that financial incentives to beneficiary households are transferred in a timely and hassle-free manner. The State government should evolve standard norms for this throughout the state and ensure the monitoring of its implementation.
- 4.4.6. States will contribute a minimum of Rs 2,667 per IHHL towards individual toilets to match Central Share of Rs 4,000 per IHHL. For UTs without legislature, Central share will be 100% (Rs 4000 per IHHL) and UT share of Rs 1333 will also be borne by the Centre. For UTs with legislature, Central share will be Rs 4,000 per IHHL and UT share will be Rs 1,333 per IHHL. For North Eastern and Himalayan states, the Central share will be Rs 10,800 per IHHL, and state share will be Rs 1,200 per IHHL.



5. SBM (Urban) Component 2: Community Toilets

- 5.1.** Under SBM (Urban), it is estimated that about 20% of the urban households in cities, who are currently practicing open defecation are likely to use community toilets as a solution due to land and space constraints in constructing individual household latrine.
- 5.2.** Community toilet blocks will consist of a given number of toilet seats, as per requirements, toilet superstructure including the pan and water closet, and a substructure (either an on-site treatment system, or a connection to underground sewerage/septage system) shared by all the toilet seats and facilities for hand wash.
- 5.2.1. Care should be taken to ensure that these facilities have adequate provision for separate toilets and bathing facilities for men, women and facilities for the disabled (e.g. ramp provision, braille signage, etc.).
- 5.2.2. The norms for connection of the superstructure to an on-site system or connection to an underground sewerage system as defined in paragraphs 4.2.1 and 4.2.2 above will apply here.
- 5.2.3. ULBs should ensure that all community toilets being constructed under SBM (Urban) are built in tandem with water supply arrangements in ULBs. Suggested technical specifications, technologies and tentative cost of community toilets are available at Annexure II.
- 5.3.** For this component, beneficiaries shall be 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. This may be application based or survey based, with or without participation of community based organisations. Involvement of civil society organisations is to be encouraged. NGOs, Area, Ward or Mohalla Sabha's may be used for this purpose. Beneficiary household groups will be targeted under this scheme irrespective of whether they live in authorized/unauthorized colonies or notified / non-notified slums. Under SBM (Urban), tenure security issues are to be de-linked with benefits.
- 5.4.** Once a sufficient number of households are identified as a group, the ULB shall identify suitable piece of land adjoining their houses/dwelling and design the toilet block. Efforts should be made to look into all possible sources of revenue generation by leveraging land, use of rooftop or any other means.\

- 5.5.** Central government incentive for the construction of community toilets will be in the form of 40% Grant/VGF, for each community toilet block constructed. **The base unit cost of CTs will be calculated at Rs 98,000 per seat, wherein the VGF/Grant will be upto 40% of the project cost (i.e. VGF/Grant of Rs 39,200 per seat). ULBs may also provide mobile toilets for use as community toilets. In order to address the issue of open defecation by dwellers / encroachers on Railway land, ULBs may put up mobile toilets and or eco-friendly toilets on Railway land, as per clearance received from Ministry of Railways.**
- 5.6.** Projects will be prepared and sanctioned 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 except for release of Central funds will 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 ULB's and mechanisms to leverage this land to make the Community Toilet a viable project.
- 5.7.** All community toilets constructed under SBM must have a minimum 5 year maintenance contract.
- 5.8.** **States will contribute a minimum of Rs 26,134 per seat towards community toilet projects to match Central Share of Rs 39,200 per seat. For UTs without legislature, Central share will be Rs 39,200 per seat, and UT share of Rs 13,067 will also be borne by the Centre. For UTs with legislature, Central share will be Rs 39,200 per seat while UT share will be Rs 13,067 per seat. For North Eastern and Hilly states, Central share will be Rs 39,200 per seat while state share will be Rs 4,356 per seat.**

The ULBs should ensure that financial incentives to beneficiary households are transferred in a timely and hassle-free manner. The State government should evolve standard norms for this throughout the state and ensure the monitoring of its implementation.



6. SBM (Urban) Component 3: Public Toilets & Urinals

- 6.1. Under SBM (Urban), States and ULBs will ensure that a sufficient number of public toilets and Urinals are constructed in each city. All prominent places within the city attracting floating population should be covered.
- 6.2. Care should be taken to ensure that public toilets have adequate provision for men, women and facilities for the disabled (e.g. ramp provision, braille signage, etc.) wherever necessary. Suggested technical specifications, technologies and tentative cost of public toilets are available at Annexure II.
- 6.3. ULBs should ensure that all Public Toilets and Urinals being constructed under SBM (Urban) are built in tandem with water supply arrangements in ULBs.
- 6.4. Central government incentive for the construction of public toilets and urinals will be in the form of 40% Grant/VGF, for each toilet block constructed. The base unit cost of PTs will be calculated at Rs 98000 per seat, wherein the VGF/Grant will be Rs 39,200 per seat. For urinals, base unit cost of urinals will be calculated at Rs 32000 per seat, wherein the VGF/Grant will be Rs 12,800 per seat).
- 6.5. States will contribute a minimum of Rs 26,134 per seat towards public toilet projects to match Central Share of Rs 39,200 per seat. For UTs without legislature, Central share will be Rs 39,200 per seat, and UT share will be Rs 13,067 per seat which will also be borne by the Centre. For UTs with legislature, Central share will be Rs 39,200 per seat while UT share will be Rs 13,067 per seat. For North Eastern and Hilly states, the Central share will be Rs 39,200 per seat while state share will be Rs 4,356 per seat.
- 6.6. For Urinals, the state share per urinal will be Rs 8,534. For UTs without legislature, Central share for urinals will be Rs 12,800 per unit, and UT share will be Rs 4,267 which will also be borne by the Centre. For UTs with legislature, Central share for urinals will be Rs 12,800, and state share for urinals will be Rs 4,267. For North Eastern and Hilly states, Central share for urinals will be Rs 12,800, and state share for urinals will be Rs 1,422.
- 6.7. Additionally, states and ULBs may also identify land for public toilets, and leverage this land and advertisements to encourage the private sector to construct and manage public toilets through a PPP agreement. Additional funding support by any other means can also be used for public toilets. ULBs may also put up mobile toilets for use as public toilets.

- 6.8.** 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 ULB's and mechanisms to leverage this land to make the Public Toilet a viable project.
- 6.9.** All Public Toilets and urinals constructed under SBM must have a minimum 5 year maintenance contract.
- 6.10.** ULBs should ensure that for the convenience of the public, at every public place (banks, post offices, bus stops, petrol pumps, metro stations, hospitals, restaurants, schools, health centres, anganwadis, citizen centres) there should be at least one public toilet available, and that the facility should be kept functional and open for public use.



7. SBM (Urban) Component 4: Solid Waste Management

- 7.1.** Municipal Solid Waste Management (MSWM) refers to a systematic process that comprises of waste segregation and storage at source, primary collection, secondary storage, transportation, secondary segregation, resource recovery, processing, treatment, and final disposal of solid waste. The Manual on Municipal Solid Waste Management, 2016 published by M/o UD and revised from time-to-time, may be referenced for DPR formulation and implementation.
- 7.2.** ULBs are to prepare DPR 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. 100% Cost reimbursement for preparing the DPR shall be done by GoI as per unit cost and norms set up by NARC.
- 7.3.** State governments may handhold ULB's in quickly preparing DPR's for SWM by empanelling / shortlisting /identifying private or government agencies for the same.
- 7.4.** The DPRs should be bankable, having a viable financial model. These will be prepared emanating from the needs identified in the City Sanitation Plan. DPRs should be aligned with Govt. of India's goals outlined in the [NUSP 2008, SWM 2016 rules, advisories, CPHEEO manuals \(including cost-recovery mechanisms\), O&M practices and Service-level Benchmark advisories released by M/o UD from time to time](#). Street Sweeping, litter control interventions, [and dumpsite remediations](#) will be part of DPR which is essential for a clean city.
- 7.5.** In order to promote projects of waste to energy, it is clarified that the central government Grant / VGF may also be used for such projects, either upfront or as generation based incentive for power generated for a given period of time.
- 7.6.** The State High Powered Committee (HPC) will authorize institutes of national repute for appraisal of DPRs for the technical and economic appraisal of DPRs for projects recommended by ULBs. No appraisal will be done by [MoHUA](#). The cost of DPR appraisal by these institutes shall be an admissible component under administrative costs, subject to norms as approved by [MoHUA](#).
- 7.7.** The performance and quality of appraisal by these identified and authorized institutes will be evaluated and monitored by HPEC as well as NARC and corrective actions taken wherever necessary.
- 7.8.** The State Level high power committee will approve the DPR as well as the financial model of solid waste management.

- 7.9.** The implementation of SWM projects will be as per directions of State Level High Power Committee.
- 7.10.** Central government incentive for the SWM projects will be in the form of a maximum of 35% Grant / VGF for each project. State share will be 23.3% of the project cost. For UTs without legislature, the Central government incentive for SWM projects will be 35% of project costs, and UT share will be 11.67% of project cost, which will also be borne by the Centre. For UTs with legislature, the Central government incentive for SWM projects will be 35% of project costs, and UT share will be 11.67% of project cost. For North Eastern and Hilly states, the Central government incentive for SWM projects will be 35% of project costs, and state share will be 3.89% of project cost. The remaining funds have to be generated as indicated in para 2.6 above.
- 7.10.1 While considering projects under MSWM it will be ensured that there is no duplication in terms of funding under any other scheme or programme.
- 7.10.2 Detailed technical and financial appraisal of the DPRs will be carried out in the manner prescribed in paragraph 10.5.4. O&M arrangements for the project shall necessarily be an integral part of the project in the DPR.
- 7.10.3 SWM projects will be sanctioned by the State level HPC which shall include a representative of the MoHUA. In the entire project approval and procurement process, all provisions and procedures as prescribed by respective State Governments must be followed in their entirety. The entire approval procedure for MSW projects except for release of Central funds will end at the State Level.
- 7.10.4. The States shall be free to choose the technology for SWM projects, toilets and street sweeping. The Ministry of Urban Development shall, from time to time, bring to the notice of the States, through advisories and manuals, and other consultative mechanisms, various options available in these fields.
- 7.10.5** ULBs are advised to use the GeM (government e-market place) portal as a one stop shop for formally procuring all waste management equipments. Additionally, ULBs are advised to procure decentralised composting machines directly from the National Seeds Corporation of India, a Government of India PSU.
- 7.10.6** ULBs are advised to distribute color coded bins 2 bins per household), such that waste is segregated at source itself. The recommended colors are Green Bin for Wet Waste (ex: biodegradables), Blue Bin for non-biodegradable and other kinds of waste. Extra care must be taken for disposal of hazardous waste such as batteries, medical waste, etc.

8. SBM (Urban) Component 5: IEC & Public Awareness

- 8.1. A key strategy under SBM (Urban) is behavior 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. Communication material for behavior change shall be designed in consultation with the M/o Information and Broadcasting, M/o Health & Family Welfare, and should be in sync with the material being used under SBM (Rural).
- 8.2. 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 MoHUA to draw a national media campaign and developing standard campaign tools for effective awareness and communication on sanitation.
- 8.3. Expenditure on national Newspaper and national TV is not an admissible item under this component for the state government or for the ULB's as this is taken care by government of India ministries and organisations. **However, for faster procurement of short-term IEC interventions, ULBs may procure IEC-linked services and items from local agencies on nomination basis up to Rs 5 lakhs per intervention.**
- 8.4. States shall prepare an annual action plan, with details of State funding commitment, for Public Awareness & IEC and State HPC shall approve it. At least 50% of the IEC fund in each annual plan, as approved by State HPC, must go to the ULB's for IEC activities at the grass root level.
- 8.5. HPEC at State level shall be the competent authority to authorize and delegate administrative powers for use of the state level funds within the approved plan. ULB's shall be competent to spend the minimum 50% part of the ULB level funds, as per approved plan.
- 8.6. Under no circumstance shall this fund be utilized for purchase of vehicles, construction and maintenance of buildings, creation of posts and payment of salary, and purchase of furniture and fixtures.
- 8.7. **States will contribute a minimum of 40% of project costs towards IEC & Public awareness to match 40% of project costs as Central Share. For UTs without legislature, Central share will be 100% of project cost. For UTs with legislature, Central share will be 80% of project cost, and state share will be 20% of project cost. For north Eastern and hilly states, Central share will be 90% of project cost, while state share will be 10% of project cost.**

9. SBM (Urban) Component 6: Capacity Building & Administrative and Office Expenses

- 9.1. 3% of the total Central Government allocation under the mission will be earmarked for capacity building, administrative and office expenses of States and ULBs.
- 9.2. 2% of the total Central Government allocation under the mission will be utilized at MoHUA level for capacity building, convening national and regional workshops, various awards and best practice recognition, programme research, studies, international cooperation for capacity building and technology development, A&OE and various eligible purposes in consultation with the Integrated Finance Division (IFD) of the M/o UD.
- 9.3. States shall propose extensive capacity building activities to be implemented in a mission-mode manner, which will enable 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 Level High Power Committee after sharing and considering suggestions from MoHUA. At least 50% of this fund, in each annual plan, as approved by State HPC, must go to the ULB's for activities at the ULB level.
- 9.4. HPEC at State level shall be the competent authority to authorize and delegate administrative powers for use of these funds. ULB's shall be competent to use the minimum 50% fund, as per approved plan, passed on to them.
- 9.5. States will be encouraged to use other available capacity building funds to dovetail or integrate capacity building activities of ULB's.
- 9.6. States and ULBs should 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 should 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.
- 9.7. **MoHUA has listed experts who can conduct workshops at the ULB level and provide the requisite training. This list shall be updated from time to time by MoHUA. ULBs may**

engage the suggested experts on a need basis. If engaged, they may be provided an honorarium of Rs. 5,000 per day + travel (2nd AC Train fare/ Economy Class Air tickets), boarding & lodging and local travel. Capacity building funds of SBM may be used to cover cost of training. It must be noted that experts currently serving as government officials are not eligible to receive honorarium, however their travel and accommodation expenses may be covered as per above. These training sessions would be for a 1 day duration.

- 9.8. All support structures for implementing the mission at the state and ULB levels defined in the Mission Management Structure (section 11 of the SBM (Urban) guidelines), i.e., the Programme Management Units (PMUs) at the State level, the Programme Implementation Units (PIUs) at the city level, and Independent Project Review & Monitoring Agencies (IPRMA) etc., engaged on an outsourced basis, shall be funded under this head.
- 9.9. **ULBs may also utilise capacity building funds of SBM-Urban to:**
 - 9.9.1. engage Quality Council of India to map all public toilets in the city on Google maps platform.
 - 9.9.2. engage M/s ITI Ltd, Telecommunications Consultants India Ltd or Bharat Sanchar Nigam Ltd to implement ICT based solution for monitoring Community and Public toilet performance.
 - 9.9.3. make 6 months' payment to implementation partner (BSNL/DIMTS/MTNL) for ICT-based vehicle tracking solution as mentioned in para 11.3.2
- 9.10. Under no circumstance shall this fund be utilized for purchase of vehicles, construction and maintenance of buildings, creation of posts and payment of salary, and purchase of furniture and fixtures
- 9.11. States will contribute a minimum of 40% of project costs towards Capacity building & A&OE to match 40% of project costs as Central Share. For UTs without legislature, Central share will be 100% of project cost. For UTs with legislature, Central share will be 80% of project cost, and state share will be 20% of project cost. For north Eastern and hilly states, Central share will be 90% of project cost, while state share will be 10% of project cost.
- 9.12. 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 on www.swachhbharaturban.in.

10. Funding Pattern and Financial Process

10.1 Funding Pattern: Guiding principles

- a) First instalment will be released to states on receipt and acceptance of proposal containing the brief concept state sanitation strategy as given in Annexure IV.
- b) For Household Toilets, funds in the first instalment will be released as per number of beneficiary household identified, in the concept sanitation plan, at the rate of Rs. 2000/-Central assistance.
- c) For Community and Public Toilets and Solid Waste Management Projects, adequate funds will be released on the proposal of the State Government for SWM and Community toilet projects. It will be ensured that funds do not remain parked with the state governments. Govt share of grant / VGF may be drawn from this pool fund maintained at state level. This will be replenished on demand by states based on progress.
- d) For IEC, Capacity Building and Administrative expenditure, appropriate percentages of (a) and (b) above shall be added to the first instalment.
- e) States will contribute a minimum of 25% funds towards all components to match 75% Central Share. This will be 10% in the case of North East and special category States.
- f) Subsequent instalments shall be released based on utilization certificates of previous grants, physical and financial progress and other indicators as approved and desired by the National Advisory & Review Committee (NARC).

10.2 Clarification on Grant vs VGF

- 10.2.1. Under Swachh Bharat Mission, projects under PPP mode are encouraged, to invite private capital in urban infrastructure as well as to bring in private sector efficiency in delivery of urban services and O & M. It is also understood that in the current scenario, there may be a requirement for viability gap funding. For solid waste management, revenue streams such as Compost from organic waste, recycled construction material from C & D waste, Power from waste to energy plants can be leveraged.
- 10.2.2. All ULBs must first explore possibility to take up the projects in a PPP mode for the above reasons. Government of India funds as per prescribed funding pattern will be available for claiming VGF.
- 10.2.3. State governments can also add or generate funds for ULBs as additional incentives over and above minimum 25% share required to make the projects viable.
- 10.2.4. Release of VGF grants will be as per contractual arrangement with the private partner and as approved by state government. However, it will be ensured that funds do not remain parked with the state governments.

10.2.5. Adequate funds will be released on acceptance of the proposal of the State Government for SWM and Community toilet projects. ULBs will initiate project preparation and bidding as per the guidelines for community toilets and SWM.

10.2.6. States will release the Central Government share of VGF adding their share in conformity with the contractual requirements of the project taken up on PPP mode.

10.2.7. In case state government feels that a project is not suitable to be taken under PPP methodology, it may then consider the GoI share (as per funding pattern) to be treated as Grant from GoI to the ULB. It will be up to the state government and ULB to arrange for the balance resources for the project, which must be ensured at the time of approving a project.

10.2.8. For PPP Projects, state governments to follow their own policy and rules. No project shall be referred to Government of India.

10.3 Allocation of funds to States / UTs

10.3.1. The mission will be implemented with the following classification of funding to states:

S. No.	Classification	Percentage Allocation (Central Govt. funding)	Total Amount for Mission Period Rs. Crore
i.	Project Fund based on Normative Criteria	60%	8773.80
ii.	Performance Fund based on Performance Matrix	20%	2924.60
iii.	Public Awareness & IEC Activities	15%*	2193.45
iv.	Capacity Building & A&OE	3%	438.69

10.3.2. The Project Fund specified in 10.3.1(i) above shall be allocated as follows:

i. The distribution of the Project fund will be as under: (Rs. in Crore.):

a.	Project Funds for States other than the North-East	80%	7019.04
b.	Project Funds to North-East States	10%	877.38
c.	Flexi Funds*	10%	877.38

*Flexi Funds in terms of the Department of Expenditure OM No..No.55(5)/PF.II/2011 dated 06.01.2014) will be available to states

v.	Research, Capacity Building & A&OE (M/o UD)	2%	292.46
* 3% will be retained by MoHUA			

- ii. Wherever it is required for fund allocation to be divided among States / UTs it will be done by giving:
- 50% weightage to the ratio of urban population in each State / UT to the total urban population, and
 - 50% weightage to the ratio of number of statutory towns in each State / UT to the total number of statutory towns.

Both ratios shall use Census 2011 data. Details of distribution of Project Fund across States / UTs are at Annexure III.

10.3.3 The Performance Grant specified in 10.3.1(ii) above shall be kept with the SBM National Mission Directorate as Performance Grant and released as per the criteria mentioned below for rewarding performing states. The release of the performance grant shall be based on a Performance Matrix and Third Party Evaluation by the Independent Project Review & Monitoring Agency (IPRMA) on the following outcomes:

- Elimination of open defecation
- Conversion of insanitary latrines into pour-flush latrines
- Eradication of manual scavenging
- Prevention of pollution of water sources
- Ensuring cleanliness and hygiene in public places
- Awareness creation
- Capacity building

The National Advisory & Review Committee (NARC) at the M/o UD may also design other relevant criteria for the release of these funds and shall take a final view regarding the release of this grant keeping in view the progress made and circumstances of each State. This will not be applicable in the first instalment. No withholding of 20% shall be done while releasing the first instalment to the states.

10.4 Disbursal of funds to States / UTs and ULBs

10.4.1. States / UTs will submit a proposal for release of grant to the Central Government based on projections and authenticated targets with a Concept Note on State Urban Sanitation strategy in the format given in Annexure IV. This shall be submitted online to the SBM National Mission Directorate.

10.4.2. On acceptance of the State Government's proposal by the ministry, first instalment of funds shall be disbursed to States / UTs in the following manner:

- 50% of the project fund shall be divided among states as per the formula mentioned at 10.3.2 (see also Annexure III).
- 12% of Project funds released above shall be released as IEC and the Public Awareness component and,
- 3% of the Project funds released above shall be released for the Capacity Building and A&OE funds.
- No withholding of 20% shall be done on account of performance grant, while releasing the first installment to the states.

10.4.3. Subsequent instalments (including for Capacity Building & IEC, and the Public Awareness and A&OE) shall be released on

- (i) Submission of the Utilization Certificate for 75% of the fund released as 1st instalments and,
- (ii) Satisfactory physical and financial progress as per NARC criteria.

The quantum of subsequent instalments will be based on actual demands and projections of expenditure for admissible components as per funding pattern of SBM.

10.4.4. Release of central contribution towards Grants / VGF by States/UTs for projects shall be in a manner described in paragraph 10.1 and 10.2 above.

10.4.5. At the end of the 2nd and 3rd quarters of each Financial Year, the use of allocated funds by States / UTs under the mission shall be reviewed by NARC, and NARC may reallocated funds from non-performing states to performing states based on the potential to utilize funds in a given financial year.

10.4.6. State governments shall evolve a suitable mechanism to release funds along with state share to ULBs within 30 days of release of the central share by M/o UD. Interest at the rate specified by the M/o Finance from time-to-time shall be levied on the State for any delay in release of funds to ULBs beyond 30 days. This will be implemented by appropriate deductions from the state's next instalment of fund release under the mission.

10.5 Sanction of projects (DPR):

10.5.1. Projects will be sanctioned by state government (HPEC) or ULBs as prescribed in these guidelines. This is specified for each component of SBM in these guidelines.

10.5.2. Only new projects will be considered under the Mission and it will be ensured that there is no duplication. Projects will be considered as "new" if they are not projects already sanctioned and ongoing under state and central schemes and externally-aided programmes.

10.5.3. Wherever Detailed Project Reports (DPRs) are to be prepared for project sanction, fund release and monitoring, the cost of DPRs for the projects under the Mission shall be reimbursed subject to norms set-up by the NARC.

10.5.4. The State High Powered Committee (SHPC) will authorize institutes of national repute for appraisal of DPRs for the technical and economic appraisal of DPRs for projects recommended by ULBs. The cost of DPR appraisal by these institutes shall be an admissible component under administrative costs, subject to norms as approved by MoHUA.

10.5.5. The State High Powered Committee (SHPC) have the flexibility to re-determine the targets for IHHLs and CT/PTs, subject to state-wise overall funds envelope (sum of allocation for IHHL and CT-PTs for the entire mission period) remaining unchanged.

10.5.6. Emerging/ innovative solutions and technologies may be shared by states and ULBs for consideration by the Technology Evaluation Committee for Solid & Liquid waste and water Supply set up by the MOHUA. Some of these potential technologies would be extended financial support also to test it on pilot basis as per recommendations of the Committee.

11. Mission Management Structure

Swachh Bharat Mission (Urban) will have a three-tier mission management structure as follows:

11.1 National Level

11.1.1. A National Advisory and Review Committee (NARC) headed by the Secretary, M/o UD, and comprising representatives of relevant line ministries will be notified by the M/o UD. NARC will meet as per the requirements, but will meet at least once in three months. The functions of NARC will be:

- (i) Overall monitoring and supervision of SBM (Urban)
- (ii) Advise the States / UTs to explore avenues for innovative resource mobilization of private financing and leveraging land for PPP in sanitation projects.
- (iii) Approve installments and release of installment of funds for states / UTs by Central Government under the mission.
- (iv) Develop and modify performance matrix and criteria for the release of performance grants to States / UTs as specified in paragraph 10.3.3.
- (v) Monitor outcomes and performance of projects sanctioned under SBM (Urban)
- (vi) NARC may delegate, as it considers appropriate, some of the functions within prescribed limits, to the National Mission Director (NMD) of the SBM National Mission Directorate to ensure speedy implementation of the mission
- (vii) Any other issue which may be referred to it by the Government

11.1.2. The SBM National Mission Directorate will be headed by a National Mission Director (NMD) who will not be below the rank of Joint Secretary to the Government of India.

- (i) The NMD will be the overall in-charge of all activities related to SBM (Urban). NMD will be supported by a suitable team of officers at the National Mission Directorate and will be Member-Secretary of NARC for all matters.
- (ii) The Mission Directorate shall be supported by a dedicated Project Management Unit (PMU) with 10-12 experts and support staff mainly on an outsourced basis. The PMU shall cover 4 verticals – Programme management, IEC & Media, Information Technology, and Monitoring & Evaluation.
- (iii) The SBM National Mission Directorate will formulate a framework for support structure for the State Mission Directorates and issue appropriate guidelines / advisories to states from time-to-time.

11.2. State level

11.2.1. A 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.

The functions of the HPC will include:

- (i) Preparation, approval, and online publishing of the State Sanitation Strategy (SSS) for the respective state and City Sanitation Plan (CSP) for all cities covered under SBM (Urban), if not already done.
- (ii) Finalisation of the Concept Note on the Urban Sanitation Situation before submission to the SBM National Mission Directorate

- (iii) Empanel consultants of repute and experience for:
 - a. Preparation of DPRs under SBM
 - b. Conducting independent review and monitoring during execution of projects
- (iv) Empanel reputed Institutes like IITs, NITs, State Technical Universities etc. for appraisal of DPRs.
- (v) Sanction projects relating to Solid Waste Management recommended by the ULBs.
- (vi) Plan for additional resource mobilization.
- (vii) Plan for fund flow in the short, medium and long term
- (viii) Recommend proposals for release of installments of funds for projects under the mission
- (ix) Monitor outcome and O&M arrangements of projects sanctioned and completed under the mission
- (x) Review the progress of Capacity Building, IEC, and Public Awareness activities under the mission and approve their annual action plan.
- (xi) Address violation of norms and conditions
- (xii) Ensure convergence of action for sanitation in the state and bring about inter-departmental coordination for this purpose as and when required.
- (xiii) Ensure timely audits of funds released and review the “Action Taken Reports” on various Audit reports of the mission and other similar reports
- (xiv) Review legal issues, if any
- (xv) Take up any other matter relevant for the efficient implementation of the mission, or matters referred to it by the SBM National Mission Directorate

11.2.2. The SBM State Mission Directorate will be located within the Urban Development Department (UDD) in the State / UT.

- (i) The SBM State Mission Directorate will be headed by a State Mission Director (SMD) of appropriate seniority. The SMD will also function as Member-Secretary to the State Level HPC.
- (ii) 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. This shall be done keeping in mind the advisories issued by the National Mission Directorate from time-to-time.
- (iii) The Mission Directorate shall be supported by a dedicated Project Management Unit (PMU) on an outsourced basis.

11.3. ULB level

11.3.1 The SBM is envisaged as a People’s movement (Jana Andolan) for ensuring hygiene, waste management and sanitation across the country. It is therefore essential that in its implementation the ULBs elicit the active participation of the Ward Committees, Area Sabhas, Resident Welfare Associations, NGOs and Civil Society Groups.

11.3.2 ULBs may enter into agreements with Bharat Sanchar Nigam Ltd / Mahanagar Telephone Ltd / Delhi Integrated Multi-modal Transit Systems Ltd for procuring ICT based vehicle tracking and monitoring solution for the city.

11.3.3 The Swachhata mobile application has been launched to facilitate redressal of cleanliness related grievance of citizens under SBM (Urban). ULBs are advised to enact the services available in Swachhata app via the State Public Service Delivery Act.

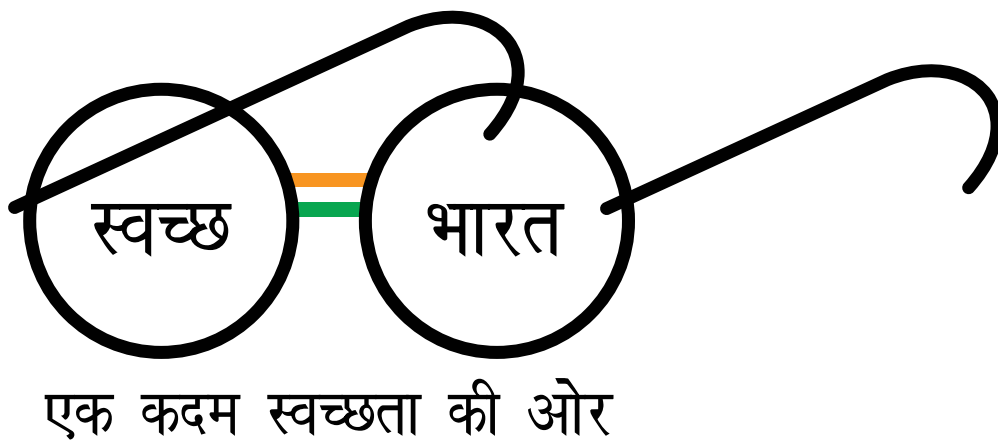
11.3.4 ULBs are advised to engage Quality Council of India to map all public toilets, including those in commercial establishments, on Google maps.

12. Monitoring & Evaluation (M&E)

- 12.1.** States / UTs will be required to send in Monthly Progress Reports (MPRs) / Quarterly Progress Reports (QPRs) in prescribed formats with regard to targets and achievements. Apart from these, the Mission Directorate may prescribe other reports that may be considered appropriate from time to time. Given the scale of the mission, a comprehensive and robust IT enabled MIS will be established for tracking of targets and achievements. States / UTs will be required to submit progress reports online once this MIS is operational.
- 12.2.** Monitoring activities will include, but not be limited to, third party evaluation, impact evaluation studies, etc. The evaluation of the mission will be undertaken during the course of its implementation to effect mid-term correction and align the mission to achieve its objectives.
- 12.3.** **ULBs will be required to follow the ODF protocol provided in Annexure V for self-declaration, certification and recertification of ODF status**
- 12.4.** A District Level Review and Monitoring Committee (DLRMC) will be constituted with a view to fulfill the objective of ensuring satisfactory monitoring of projects under the Chairpersonship of a Member of Parliament. Detailed guidelines for this purpose will be issued separately by the SBM National Mission Directorate.

13. Logo and Tagline

The Logo and Tagline for the SBM (Urban) is given at the end of the document. This shall be displayed prominently on all projects and literature/publications under the mission.



Annexure I:

Targets and Definitions under SBM (Urban)

(Definitions reproduced from “House & Household Series Tables, Census of India 2011)

Targets under SBM (Urban)

For the purpose of SBM (Urban), the following action will have to be taken:

Sl No	Objective	Action under SBM (Urban) - Targets	Census 2011 – definition
1	Elimination of open defecation	• 80% urban households defecating in the open to be targeted for construction of household toilets	• No latrine within premises – open
2		• 20% urban households defecating in the open to be targeted for construction of community toilets	• No latrine within premises – open
3		• Construction of public toilets for floating population (presumed at 5% of total urban population)	• Total urban population
4	Conversion of insanitary latrines into sanitary latrines	• 100% of urban households having insanitary latrines to be targeted for construction of household toilets	• Night soil disposed into open drain • Service latrine with night soil removed by humans • Service latrine with night soil serviced by animals
5	Conversion of single pit latrines	• 60% of urban households having pit latrines	• Pit latrines with slab • Pit latrines with ventilated improved pit • Pit latrines without slab / open pit
6	Solid Waste management	• 80% of the urban population to be covered by SWM services (allowing for a 2% increase year on year)	• Total urban population

Definition of Types of latrines under Census 2011

As per the Census of India 2011, the following various types of latrine facilities were surveyed:

1. Flush / pour flush latrine connected to piped sewer system: If a pour flush latrine is connected to a system of sewer pipes that collect both human excreta and waste water and removed them from the household environment.

2. Flush / pour flush latrine connected septic tank: If a pour flush latrine is connected to a septic tank that collects both human excreta and wastewater and removes them from the household environment.
3. Flush / pour flush latrine connected other system: If the pour or pour-flush latrine 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
4. Pit latrines : defecation into pits dug into the ground for reception of night soil directly without flushing.
 - a. Pit latrine with slab: A pit latrine 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.
 - b. Pit latrine with ventilated improved pit: Pit latrines with slabs that are ventilated by a pipe extending above the latrine roof and the open end of the vent pipe is covered with mesh or fly-proof net
 - c. Pit latrine without slab / open pit: Pit latrines without a squatting slab or platform or seat
5. Night soil disposed into open drain: Where a latrine facility may exist, but the excreta and waste water is disposed directly into an open drain
6. Service latrine: where human excreta is collected in a bucket, or other container, or even allowed to collect in the open:
 - a. With night soil removed by humans: where the human excreta is removed physically by human being
 - b. With night soil serviced by animals: where the human excreta is removed physically by animals
7. No latrine within premises – public latrine: Households have no latrines within the premises of the dwelling unit and use an available public latrine
8. No latrine within premises – open: Households have no latrine within the premises of the dwelling unit and defecate in the open in areas such as open fields, bushes, rivers, streams, railway tracks, etc.
9. Insanitary latrine : a latrine which requires human excreta to be cleaned or otherwise handled manually, either in situ or an open drain or pit into which the excreta is discharged or flushed out, before the excreta fully decomposes in such manner as may be prescribed.(Chapter I Section 2(i)(e) The Prohibition of employment as manual scavengers & their Rehabilitation Act,2013)

The Census of India 2011 defines two broad kinds of urban areas as follows:

- (i) 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 nagar palikas; and
- (ii) Census Towns: All administrative units satisfying the following criteria:
 - it should have a minimum population of 5,000 persons;
 - at least 75% of the male main working population should have been engaged in non-agricultural pursuits; and
 - it should have a density of population of at least 400 persons per km² (1,000 per mile²)

Annexure II:

Technical Options for Toilets under SBM (Urban)

This note explains the technical options for toilets that are recommended under the Swachh Bharat Mission (SBM) Urban.

On-Site Sanitation (OSS) vs. Underground Sewerage

Wherever a sewerage system is available within 30m from the proposed individual household, community or public toilets only the superstructure (i.e. toilets) may be constructed under SBM and connected to the existing sewerage system. No construction of treatment units such as twin pits, septic tank, bio-digester or bio- tank shall be allowed.

Features of OSS Systems

When sewage is collected, treated and/or disposed off at, or near the point of generation, without the use of an underground sewerage system, the system is called “on-site sanitation” (OSS) system. OSS systems are sanitation facilities provided for the use of individual households, community and the floating population. There are a number of situations when an underground sewerage system may not be feasible or desirable. For example, for smaller cities where construction of sewerage infrastructure may be expensive, or those cities that are in hilly areas or in undulating terrain where it may not be practical to construct a sewer network, or even in many cities that have grown organically and where not all households are connected to the existing sewerage network.

OSS systems consists of two main structures, the toilet (superstructure, including the pan and water closet) and the treatment unit. OSS retains waste in the vicinity of the toilet either in a pit, tank or vault. The treatment ranges from a basic sanitary facility such as twin-pit latrines, to a simple type of treatment system by combining a septic tank and a soak pit, or a bio-digester toilet (aerobic and anaerobic).

The following technological options for OSS are recommended under Swachh Bharat Mission (SBM) Urban for construction of Individual Household Latrines (IHHL) / household toilets, group / shared latrines, and, community and public toilets.

S.No.	OSS option	Kind of latrines				Application
		IHHL	Shared latrines	Community toilets	Public toilets	
1	Twin-pit latrines / Leach Pits	√				- In low- to medium density areas, particularly peri-urban areas, where there is space to install pits and where the digested sludge can be applied to local fields and/or gardens as a fertilizer and soil conditioner - Where water use is in the range 30–50 liters per capita per day depending upon the characteristics of the soil or groundwater level
2	Septic Tank System with soak pit	√	√	√	√	- Septic tanks are widely used to provide partial treatment of wastewater from individual homes, household clusters or institutional buildings where there is no sewerage network. - For soak pits to function, soil conditions must be suitable for infiltration of effluent from septic tanks
3	Biodigester toilets (Anaerobic – developed by DRDO)	√	√	√	√	- Widely used to provide 80% treatment of wastewater from IHHL, household clusters or institutional buildings where there is no sewerage network. - The effluent should be passed through a reed bed or soak pit before discharge. - For soak pits to function, soil conditions must be suitable for infiltration of effluent from septic tanks
4	Aerobic BioTank	√	√	√	√	- Widely used to provide 100% treatment of wastewater from IHHL, clusters of houses or institutional building where there is no sewerage networks. The effluent can be directly discharged since it is completely safe; - Chlorination is followed after treatment

Technical features and specification for toilets under SBM (Urban)

The details of technical features and specifications for toilets are given as under. The costs are simply estimates at this point of time and should be verified at the time of selection and installation of the technology.

I. Twin-Pit Latrine

Description	It consists of superstructure (Toilet) and treatment units (two chambers). The two underground chambers (pits) are provided to hold fecal sludge. These are normally offset from the toilet and should be at least 1 meter apart. A single pipe leads from the toilet to a small diversion chamber, from which separate pipes lead to the two underground chambers. The pits should be lined with open-jointed brickwork. Each pit should be designed to hold at least 12 months accumulation of fecal sludge. Wastewater is discharged to one chamber until it is full of fecal sludge. Discharge is then switched to the second chamber. Just before the second chamber is full of fecal sludge, the contents of the first pit are dug out. During the time of storage, digestion should ensure that it is odorless and free of pathogens.
O & M Requirements	The pits must be used alternately and the diversion chamber must be accessible so that flow can be diverted between chambers. Wastewater should never be diverted back to the first chamber before digested sludge has been removed from it. Responsibility for O&M of the twin-pit latrine rests primarily with the householder, who needs to ensure that the pits are used in the correct sequence and are emptied at the appropriate time. However, ULB utility or private contractors are required for emptying and to ensure safe disposal of septage at a treatment plant.
Additional Infrastructure / treatment requirements	If digested material cannot be used in local fields and gardens, provision will have to be made for transportation to areas outside the city for reuse on agricultural land.
Limitations	- Households may not understand the system and as a result may not use the pits alternately, or may omit to rest the filled pit at least for one year so that the contents degrade and become harmless. - Explanation of the operation and maintenance requirements is therefore essential at the time of installation. - Water may percolate through the soil surrounding the pit and pollute groundwater, which is a potential problem if water is used for drinking.

	a) Size options for Toilet/ Super Structure (as shown in Fig.1): • 750 mm x 900 mm x 1900mm; or • 800 mm x 1000 mm x 1900 mm b) Material – Brick work (as per Fig. 1) / FRP/ Pre-cast Cylindrical Unit c) Minimum Land Requirement – 40 Sq. ft. - 60 Sq. ft. (depending upon the location of superstructure and distance between two pits) d) Size of Pits is shown in Table -1 below: <table><tr><th></th><th colspan="2">5 users²</th><th colspan="2">10 users³</th><th colspan="2">15 users⁴</th></tr><tr><th></th><th>Dia</th><th>Depth (A)</th><th>Dia</th><th>Depth (A)</th><th>Dia</th><th>Depth (A)</th></tr><tr><td>Pit size</td><td>900</td><td>1000</td><td>1100</td><td>1300</td><td>1300</td><td>1400</td></tr></table> ²Only for IHHL ³Group household toilets ⁴The specification for pits given at Fig 2 may be referred to.		5 users ²		10 users ³		15 users ⁴			Dia	Depth (A)	Dia	Depth (A)	Dia	Depth (A)	Pit size	900	1000	1100	1300	1300	1400
	5 users ²		10 users ³		15 users ⁴																	
	Dia	Depth (A)	Dia	Depth (A)	Dia	Depth (A)																
Pit size	900	1000	1100	1300	1300	1400																
Cost (for 5 users)	Tentative cost varies from Rs. 15,000/- to Rs. 20,000/- depending upon the construction material																					

DESIGN OF PITS UNDER DIFFERENT CONDITIONS

II. Septic Tank

Description	A septic tank is a buried chamber that collects, stores and treats the wastewater under anaerobic conditions. Effluent from septic tanks should be discharged into a soak pit. A well-managed septic tank will remove about 50 to 60 % of the biological load in the wastewater
Mode of operation	Solids settle in the tank and digest anaerobically. This reduces sludge volume and enables wastewater to infiltrate into the ground without clogging the leaching system. Sludge settles in the tank and digests anaerobically over time, releasing methane and other gases
O&M Requirements	Septage must be removed from septic tanks at least once every 2 or 3 years and transported off-site for treatment prior to disposal. Municipal utility or private contractors are required for desludging of septic tanks and to ensure safe disposal of septage at a treatment plant. However the responsibility for O&M of the septic tank itself lies with the owner of the property
Limitations	Cost and space requirements for the soak pit. Though septic tanks are designed for receiving black water, they often receive both black and grey water. As a result, the retention time in the septic tank is insufficient and the soak pit becomes hydraulically overloaded. This means that the septic tanks need to be de-sludged regularly

Specifications	(a) Size options for toilet / super structure as shown in Fig. 1 _ 750 mm x 900 mm x 1900mm or _ 800 mm x 1000 mm x 1900 mm (b) Material – Brick work (as per Fig. 1) / FRP / Pre-cast Cylindrical Unit (c) Minimum Land requirement -40 Sq. ft. to 50 Sq. ft. (depending upon the location of superstructure) (d) Soak-pit size -The seepage pit may be of any suitable shape with the least cross-sectional dimension of 0.90 m and not less than 1 m in depth below the invert level of the inlet pipe. The construction shall be of perforated brickwork (e) Recommended sizes of septic tanks for households (up to 20 users – group / shared toilets) is given in table below: <table><tr><th rowspan="2">No. of users Length (m) Breadth (m)</th><th rowspan="2">No. of users Length (m) Breadth (m)</th><th rowspan="2">No. of users Length (m) Breadth (m)</th><th colspan="2">Liquid depth (m) (Cleaning interval of)</th></tr><tr><th>2 years</th><th>3 years</th></tr><tr><td>5 *</td><td>1.5</td><td>0.75</td><td>1.0</td><td>1.05</td></tr><tr><td>10 **</td><td>2.0</td><td>0.90</td><td>1.0</td><td>1.4</td></tr><tr><td>15 **</td><td>2.0</td><td>0.90</td><td>1.3</td><td>2.00</td></tr><tr><td>20 **</td><td>2.3</td><td>1.10</td><td>1.3</td><td>1.8</td></tr></table> <i>* Only for IHL</i> <i>** Group household toilets</i> Note 1: The capacities are recommended on the assumption that discharge from only WC will be treated in the septic tank Note 2: A provision of 300 mm should be made for free board. Note 3: The sizes of septic tank are based on certain assumption on peak discharges, as estimated in IS: 2470 (part 1) and while choosing the size of septic tank exact calculations shall be made.	No. of users Length (m) Breadth (m)	No. of users Length (m) Breadth (m)	No. of users Length (m) Breadth (m)	Liquid depth (m) (Cleaning interval of)		2 years	3 years	5 *	1.5	0.75	1.0	1.05	10 **	2.0	0.90	1.0	1.4	15 **	2.0	0.90	1.3	2.00	20 **	2.3	1.10	1.3	1.8
No. of users Length (m) Breadth (m)	No. of users Length (m) Breadth (m)				No. of users Length (m) Breadth (m)	Liquid depth (m) (Cleaning interval of)																						
		2 years	3 years																									
5 *	1.5	0.75	1.0	1.05																								
10 **	2.0	0.90	1.0	1.4																								
15 **	2.0	0.90	1.3	2.00																								
20 **	2.3	1.10	1.3	1.8																								
Cost (for 5 users)	• Tentative cost varies from Rs. 25,000/- to Rs. 30,000/- depending upon the construction material (toilet and septic tank). • Pre fabricated septic tanks are available at lower cost in the market, which also may be explored to speed up the implementation																											

III Bio-digester toilet (developed by DRDO)

Description	A bio-digester toilet is an anaerobic multi-compartment tank with inoculum (anaerobic bacteria) which digests organic material biologically. The details of biodigester toilets are shown in Figure 7. This system converts faecal waste into usable water and gases in an eco-friendly manner. It can be connected to the toilet or a series of toilets. The toilet can be a superstructure fixed on the bio-digester or a separate unit. Bio-digester has an inlet, an outlet and a gas pipe. The tank has two components, namely, anaerobic microbial inoculum (seed bacteria) and specially designed fermentation tank. The tank can be made out of Stainless steel, Mild steel, FRP or concrete. Semi-treated water from bio-digester tank is needed to be further disposed into a soak pit or a reed bed arrangement for its treatment to acceptable levels of discharge.																
Advantages	• As there is no sludge formation, there is no need for de-sludging and treatment. It is therefore more economical in the long-term as it conserves water and has minimum O&M • Night soil degradation, occurs through microbial reaction which converts it into bio gas and odorless water. • Technology is environmental friendly, maintenance free and efficient without depending on conventional energy sources. • Permits use of toilet cleansing agents. • Suitable for mobile and stationary platforms. • Lifelong usage bio-digester tank does not need recharging, re-shifting or maintenance. • Costs lesser than the conventional toilets. • Easy to transport and install. • One-third to one-fourth capacity of septic tank • Space requirement is less.																
Specifications	Toilet Superstructure (a) Size of Toilet / super structure – as shown in Fig. 1 • 750 mm x 900 mm x 1900mm or • 800 mm x 1000 mm x 1900 mm (b) Material – Brick work (as per Fig. 1) / FRP/ Pre cast Cylindrical Unit Bio tank (a) Land requirement – 25 sq. ft. (b) Tank internal dimensions – 1336 mm x1036 mm x 900 mm (c) Diagonal partition wall of 8mm thickness (adequately stiffened by ribs) (d) Tank is buried 600mm deep and anchored by 300mm long stainless steel (SS316) anchor bolts at corners (e) FRP tanks of 8mm thickness (f) Provision of water sealed outlet from the tank (g) For 5-6 users: • Total capacity: 700 litres (1000 mmX700 mm and 1000 mm depth). • Where space is a constraint the depth of the tank can be increased to 1.5 m • Volume of anaerobic Compartment (30% of total capacity): 210 litres • Tank may be constructed with masonry also. Table 3 - Volume of bio-digester tank for various user groups: <table><tr><th>Bio-digester tank</th><th colspan="3">Material of construction</th></tr><tr><th>No. of users / capacity</th><th>Masonry</th><th>Precast cylindrical unit</th><th>Fiber reinforced plastic</th></tr><tr><td>5 to 7 users (700 Litre)</td><td>17,100</td><td>11,600</td><td>22,000</td></tr><tr><td>10 to 12 users (1000 Litre)*</td><td>19,000</td><td>13,600</td><td>24,000</td></tr></table> * Group / Shared toilets	Bio-digester tank	Material of construction			No. of users / capacity	Masonry	Precast cylindrical unit	Fiber reinforced plastic	5 to 7 users (700 Litre)	17,100	11,600	22,000	10 to 12 users (1000 Litre)*	19,000	13,600	24,000
Bio-digester tank	Material of construction																
No. of users / capacity	Masonry	Precast cylindrical unit	Fiber reinforced plastic														
5 to 7 users (700 Litre)	17,100	11,600	22,000														
10 to 12 users (1000 Litre)*	19,000	13,600	24,000														

IV Bio Tank / Bio Toilets (Patented by private operators and approved by the Department of Science and Technology)

Description	This technology differs from that of the bio-digester toilets developed by DRDO since the process adopted is aerobic - which involves a different multi-strain of bacteria which breaks down the waste matter through oxidization. Bio-toilets consist of a purpose built multi-chambered bio-tank in which the waste is stored as shown in Figure 8. The movement of the waste is slowed down as the waste flows from one chamber to another by a special process in the Bio-tank such that the multi-strain bio-media present in the tank can digest the waste and convert it fully into non-toxic neutral water. This water then passes through the last chamber for disinfection. Here water is treated with Chlorine where the majority of the germs are killed. The resultant water is free from all sorts of E-coli and fecal coliforms. The bricks and mortar Bio-tank is described in the last diagram of Figure 8. The superstructure is made of bricks and mortar. These are available in both flush and non-flush models.
Advantages	• Aerobic bacteria are very efficient in breaking down organic waste and the waste is decomposed into water by the bacteria within 24 hours. The end products of aerobic degradation are carbon dioxide (CO₂) and water (H₂O). • The aerobic pathway also releases a substantial amount of energy. • The Bio-toilet is available in both portable as well as fixed models. The advantage of the portable model is that it can be shifted from one location to another as and when required, and the module can be assembled and disassembled easily. • The Bio-toilet eliminates the need for any periodic sludge removal.
Limitations	• The bacteria functions best in temperatures between 4 and 55 degrees centigrade • Bio-toilets need proper bacteria inoculation periodically depending on the usage at particular sites. An in-depth understanding of the operation and use of toilets in a given area must be undertaken BEFORE choosing bio-toilets as a solution. Attention must be given to O&M, especially in dense urban settlements where chances of blockage of bio-toilets increase, making it dysfunctional over a period of time if the inoculation is not done in time. • Phenyl/ Harpic or any strong detergent/acid and bleaching powder should not be used to clean the pan. Only herbal / ayurvedic cleaning agents should be used. • Chlorine dose is necessary for disinfection.
O&M	Responsibility of cleaning the toilet / superstructure is with the owner of the household in the case of IHLs / shared latrines and with the ULB in the case of community / public toilets.
Specifications	(a) Size of Toilet/ Super Structure as shown in Fig. 1 – • 750 mm x 900 mm x 1900mm or • 800 mm x 1000 mm x 1900 mm (b) Material – Bricks and Mortar walls of Bio Digester tank and Superstructure, PCC tank floor, RCC toilet floor, PVC Door and Frame, RCC/PVC/GI sheet Toilet Roof. (c) The Bio-toilet system consists of: • Bio digester Tank (Bricks & Mortar/FRP/Steel), • Superstructure (Bricks & Mortar/FRP) • Indian Pan/WC • Size: 4 feet x 4 feet tank base, 4 feet tank height, 6 feet superstructure height. • Maximum usage recommended: 30 defecations/ day/ bio-toilet (no limit on urination) (d) Land requirement - 16 Sq. ft.

Cost estimates	The tentative cost of bio-toilet including super structure is approximately Rs.20,000/- depending upon material of construction. The bio-toilets should be supplied by the manufacturers, and the O&M for at least 5 years including the feeding of inoculum in the periodicity needed) along with IEC (to train users for O&M) by the manufacturer / supplier also should be built into the undertaking.
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Norms & Specifications for Community and Public Toilets

Description	A community toilet block is a shared facility provided for a group of residents or an entire settlement. Community toilet blocks are used primarily in low-income informal settlements where space and/or land are constraints. Pour flush option is generally used in this kind of OSS systems. It is also advisable to provide facilities like washing, bathing, and a small incinerator in this block for the use of the community Public toilets are provided for the floating population / general public in places such as markets, train stations or other public areas, where there is a considerable number of people passing by.																																
Septic tanks for public / community toilets	Recommended sizes of septic tanks for community/ public toilets (up to 300 users) is given below in Table 5. <table><tr><th rowspan="2">No. of users</th><th rowspan="2">Length (m)</th><th rowspan="2">Breadth (m)</th><th colspan="2">Liquid depth (cleaning interval of)</th></tr><tr><th>2 years</th><th>3 years</th></tr><tr><td>50</td><td>5.0</td><td>2.00</td><td>1.0</td><td>1.24</td></tr><tr><td>100</td><td>7.5</td><td>2.65</td><td>1.0</td><td>1.24</td></tr><tr><td>150</td><td>10</td><td>3.00</td><td>1.0</td><td>1.24</td></tr><tr><td>200</td><td>12.0</td><td>3.30</td><td>1.0</td><td>1.24</td></tr><tr><td>300</td><td>15.0</td><td>4.00</td><td>1.0</td><td>1.24</td></tr></table> (Source: Manual on Sewerage and Sewage Treatment Systems, 2013 Part A Engineering) Note 1: A provision of 300 mm should be made for free board. Note 2: The sizes of septic tanks are based on certain assumptions on peak discharges, as estimated in IS: 2470 (Part 1) and while choosing the size of septic tank exact calculations shall be made. Note 3: For population over 100, the tank may be divided into independent parallel chambers of maintenance and cleaning	No. of users	Length (m)	Breadth (m)	Liquid depth (cleaning interval of)		2 years	3 years	50	5.0	2.00	1.0	1.24	100	7.5	2.65	1.0	1.24	150	10	3.00	1.0	1.24	200	12.0	3.30	1.0	1.24	300	15.0	4.00	1.0	1.24
No. of users	Length (m)				Breadth (m)	Liquid depth (cleaning interval of)																											
		2 years	3 years																														
50	5.0	2.00	1.0	1.24																													
100	7.5	2.65	1.0	1.24																													
150	10	3.00	1.0	1.24																													
200	12.0	3.30	1.0	1.24																													
300	15.0	4.00	1.0	1.24																													
Community Toilet - Norms for toilet seats	• One seat for 35 men; • One seat for 25 women • Adequate bathing facilities																																

Public Toilets - Norms for toilet seats	Norms for toilet sets for public toilets are given in Table 6 below: (Source: Manual on Sewerage and Sewage Treatment Systems, 2013 Part A Engineering) Note: i) It may be assumed that two-thirds of the number are males and one-third females ii) One water tap with drainage arrangements shall be provided for every 50 persons or part thereof in the vicinity of water closet and urinals. * At least 50% of female WCs may be Indian pan and 50% EWC iii) Separate seat may also be provided for trans-genders iv) Special arrangements may be made for physically challenged. <table><tr><th>S. No</th><th>Sanitary unit</th><th>For males</th><th>For females (A)</th></tr><tr><td>1</td><td>Water closet (W.C)</td><td>One per 100 persons up to 400 persons; For over 400 persons, add at the rate of one per 250 persons or part thereof</td><td>Two for 100 persons up to 200 persons; over 200 persons, add at the rate of one per 100 persons or part thereof</td></tr><tr><td>2</td><td>Ablution taps</td><td>One in each W.C</td><td>One in each W.C</td></tr><tr><td>3</td><td>Urinals</td><td>One for 50 persons or part thereof</td><td>Nil</td></tr><tr><td>4</td><td>Wash Basin</td><td>One per W. C. and urinal provided</td><td>One per W. C. provided</td></tr></table>	S. No	Sanitary unit	For males	For females (A)	1	Water closet (W.C)	One per 100 persons up to 400 persons; For over 400 persons, add at the rate of one per 250 persons or part thereof	Two for 100 persons up to 200 persons; over 200 persons, add at the rate of one per 100 persons or part thereof	2	Ablution taps	One in each W.C	One in each W.C	3	Urinals	One for 50 persons or part thereof	Nil	4	Wash Basin	One per W. C. and urinal provided	One per W. C. provided							
S. No	Sanitary unit	For males	For females (A)																									
1	Water closet (W.C)	One per 100 persons up to 400 persons; For over 400 persons, add at the rate of one per 250 persons or part thereof	Two for 100 persons up to 200 persons; over 200 persons, add at the rate of one per 100 persons or part thereof																									
2	Ablution taps	One in each W.C	One in each W.C																									
3	Urinals	One for 50 persons or part thereof	Nil																									
4	Wash Basin	One per W. C. and urinal provided	One per W. C. provided																									
Treatment units	1. Bio Digester with reed bed systems/ soak pits 2. Bio Tank 3. Septic Tank with Soak Pits																											
Cost	Tentative basic cost for community toilets is Rs. 65,000/- per seat and public toilets is Rs. 75,000/- per seat. However, the cost per seat would vary depending upon the construction material, quality of construction, type of treatment technology adopted and O&M for specified period etc. However the cost of toilet in bio-digester given by NBCC are as under. <table><tr><th colspan="3">Superstructure 5 Cubicle for 200 users</th></tr><tr><td>Pre Painted galvanized Sheets</td><td>Masonry</td><td>Cement Board</td></tr><tr><td>Rs 1,63,000 /-</td><td>Rs 95,000 /-</td><td>Rs 80,000 /-</td></tr><tr><th colspan="3">Superstructure 10 Cubicle for 400 users</th></tr><tr><td>Pre Painted galvanized Sheets</td><td>Masonry</td><td>Cement Board</td></tr><tr><td>Rs 3,26,000 /-</td><td>Rs 1,80,000 /-</td><td>Rs 1,60,000 /-</td></tr><tr><th colspan="3">Bio Digester Tank 10 KLD for every 200 users</th></tr><tr><td>Masonry</td><td></td><td></td></tr><tr><td>Rs 1,74,000 /- per 20 users</td><td></td><td></td></tr></table>	Superstructure 5 Cubicle for 200 users			Pre Painted galvanized Sheets	Masonry	Cement Board	Rs 1,63,000 /-	Rs 95,000 /-	Rs 80,000 /-	Superstructure 10 Cubicle for 400 users			Pre Painted galvanized Sheets	Masonry	Cement Board	Rs 3,26,000 /-	Rs 1,80,000 /-	Rs 1,60,000 /-	Bio Digester Tank 10 KLD for every 200 users			Masonry			Rs 1,74,000 /- per 20 users		
Superstructure 5 Cubicle for 200 users																												
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Pre Painted galvanized Sheets	Masonry	Cement Board																										
Rs 3,26,000 /-	Rs 1,80,000 /-	Rs 1,60,000 /-																										
Bio Digester Tank 10 KLD for every 200 users																												
Masonry																												
Rs 1,74,000 /- per 20 users																												
Additional Infrastructure	It must be ensured that adequate water supply arrangement shall be made for proper functioning and upkeep of toilets. Wherever possible, ULBs should ensure that public and community toilets are outfitted with solar panels for the generation of electricity to ensure uninterrupted power supply and bring down O&M costs.																											
Implementation mode	All toilets shall be constructed through PPP mode with inbuilt provision of O&M for at least a period of 5 years																											

Figures

Figure 1: Detailed layout of toilet

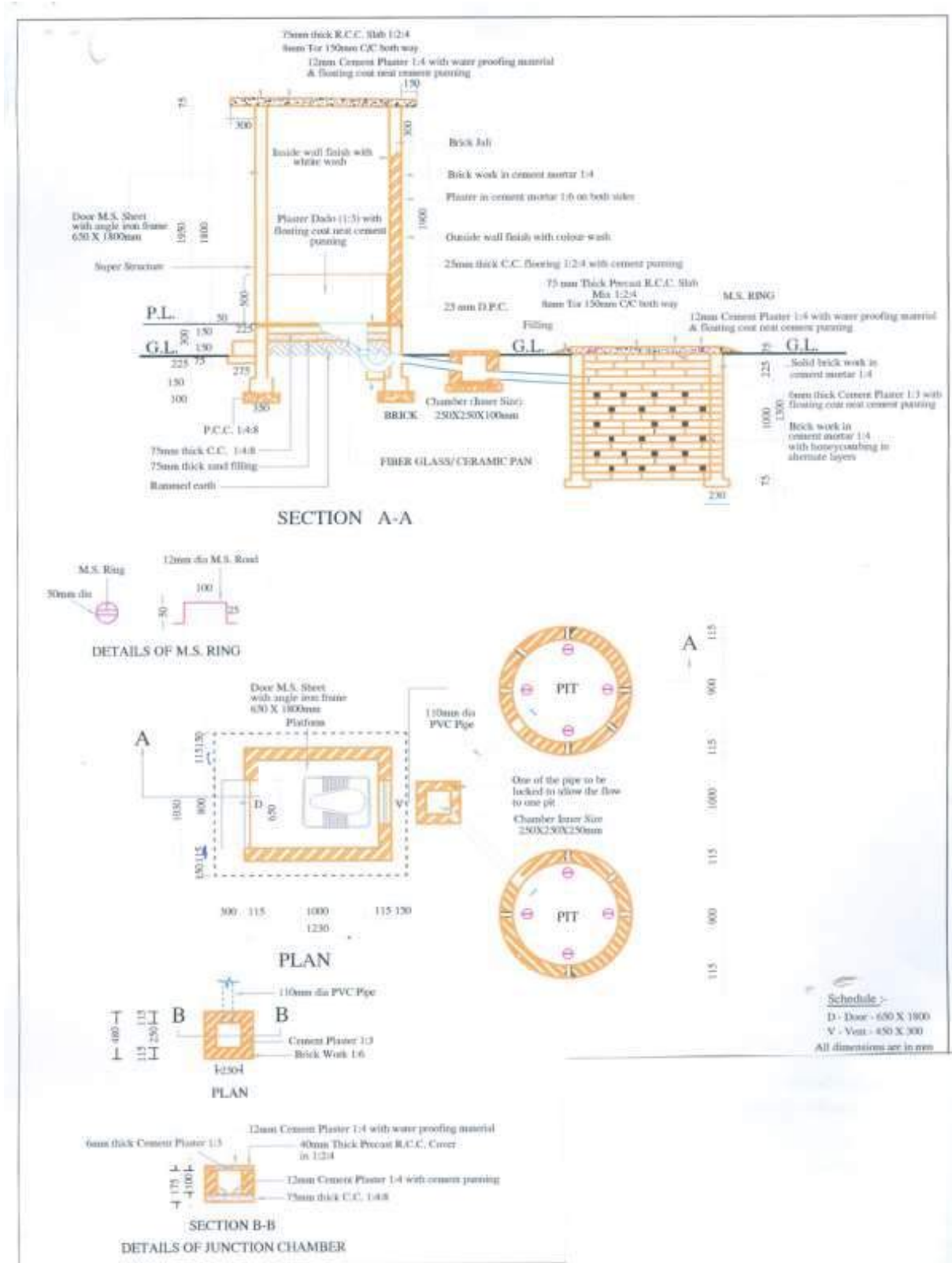


Figure 2: Pour-flush latrine with circular pits

(Source: Manual on Sewerage and Sewage Treatment Systems, 2013, Part A: Engineering)

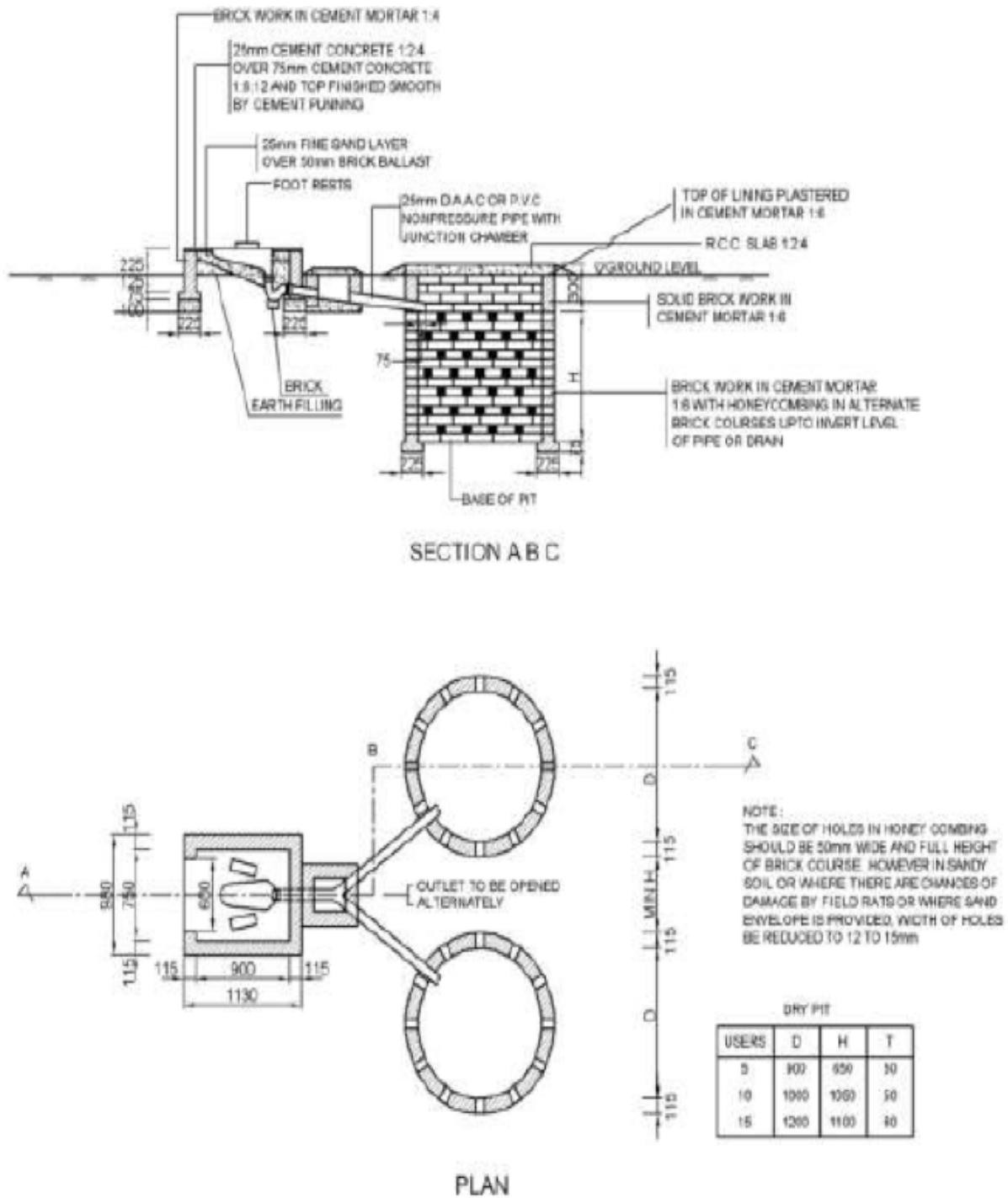


Figure 4: Leach pits in high subsoil water level

(Source: Manual on Sewerage and Sewage Treatment Systems, 2013, Part A: Engineering)

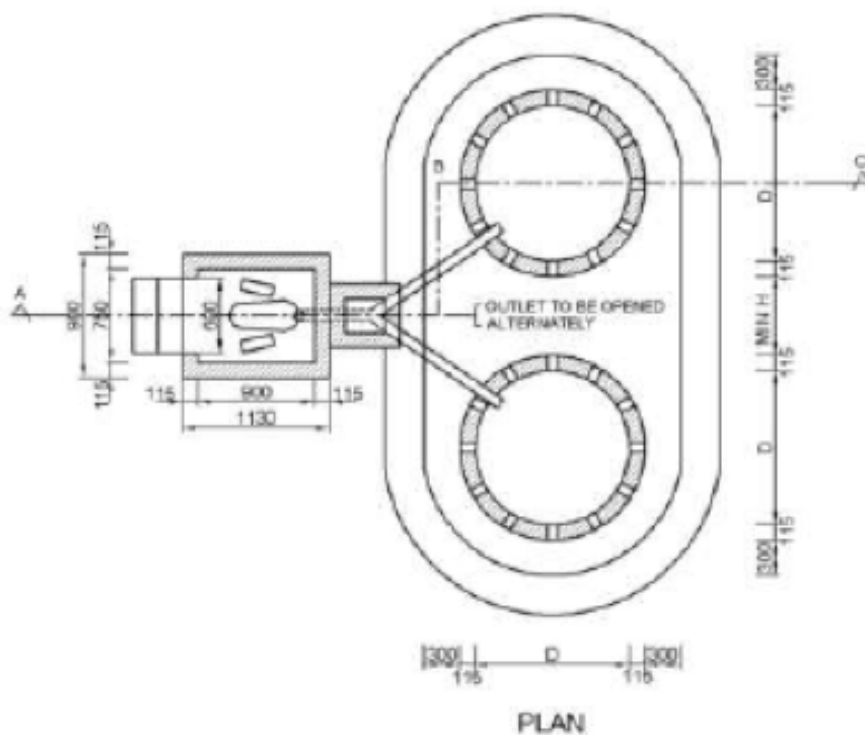
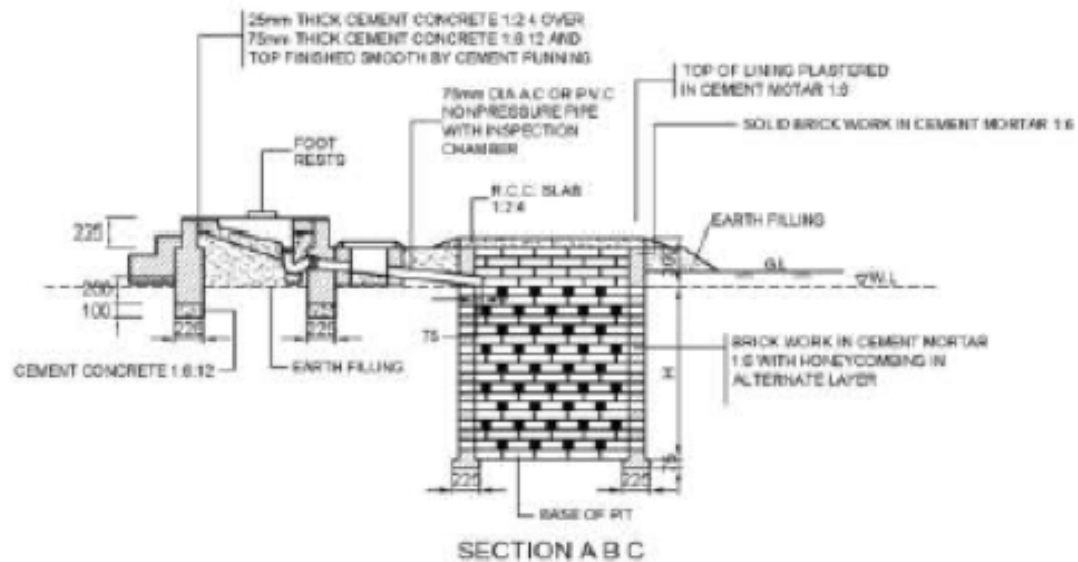


Figure 5: Pour-flush latrine with combined pits

(Source: Manual on Sewerage and Sewage Treatment Systems, 2013, Part A: Engineering)

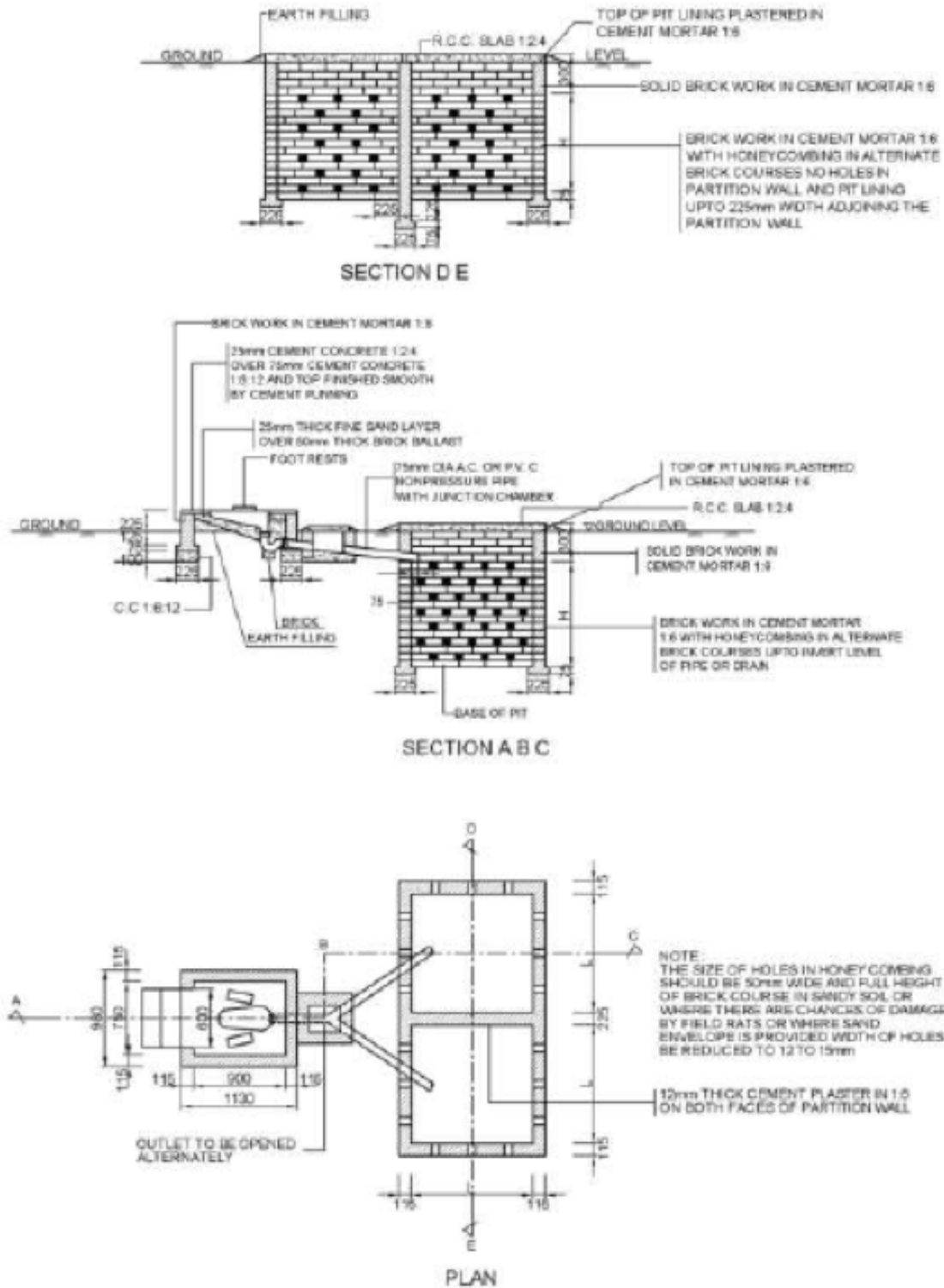


Figure 6: Typical sketch of two-compartment septic tank for 5 users

(Source: Manual on Sewerage and Sewage Treatment Systems, 2013, Part A: Engineering)

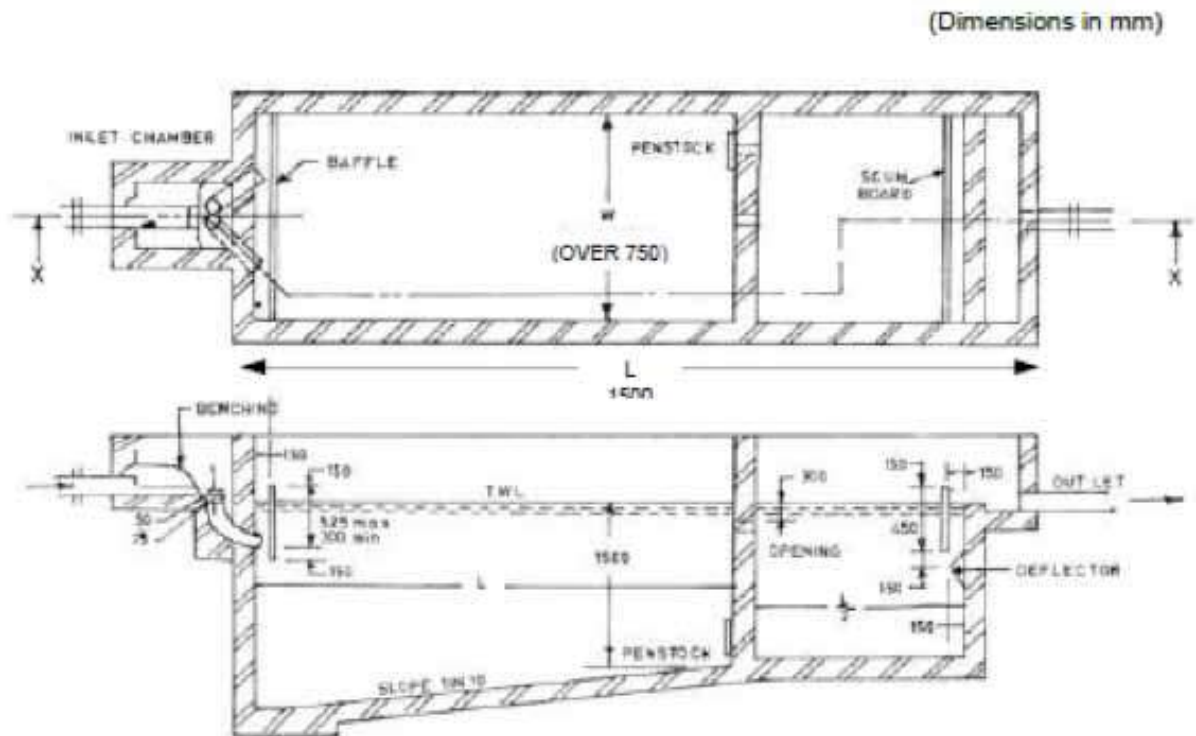


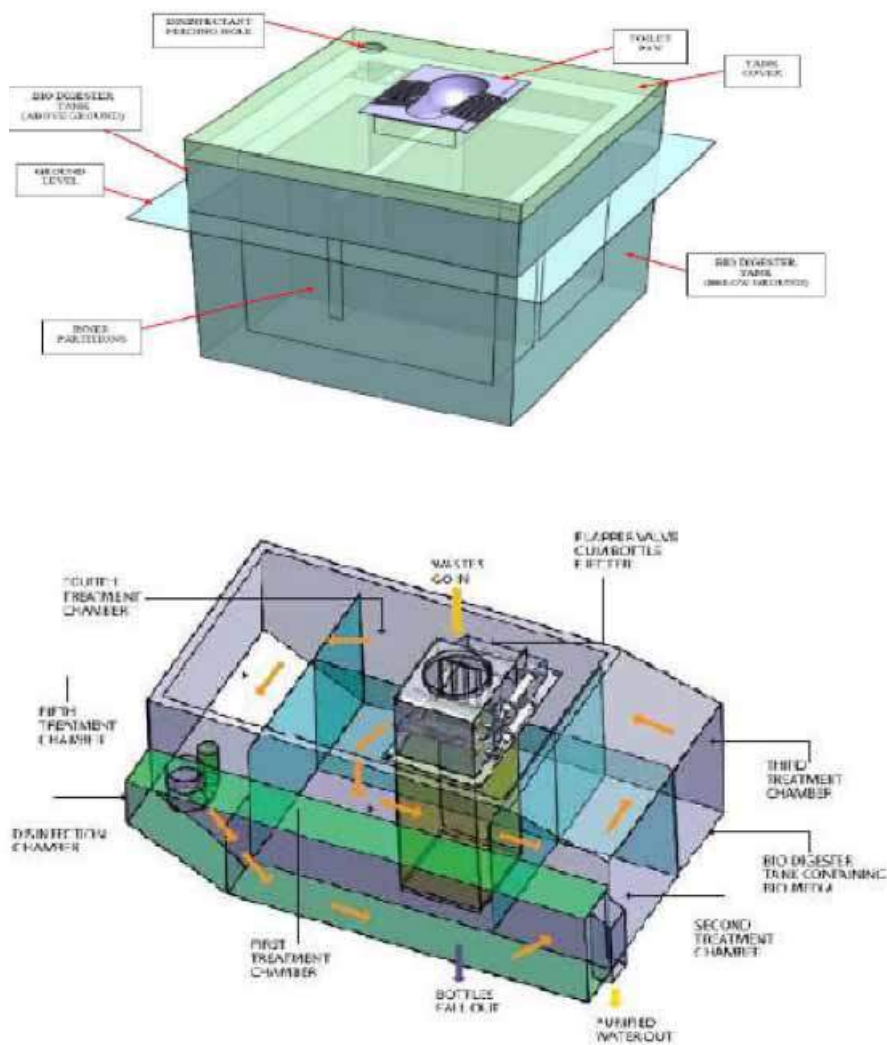
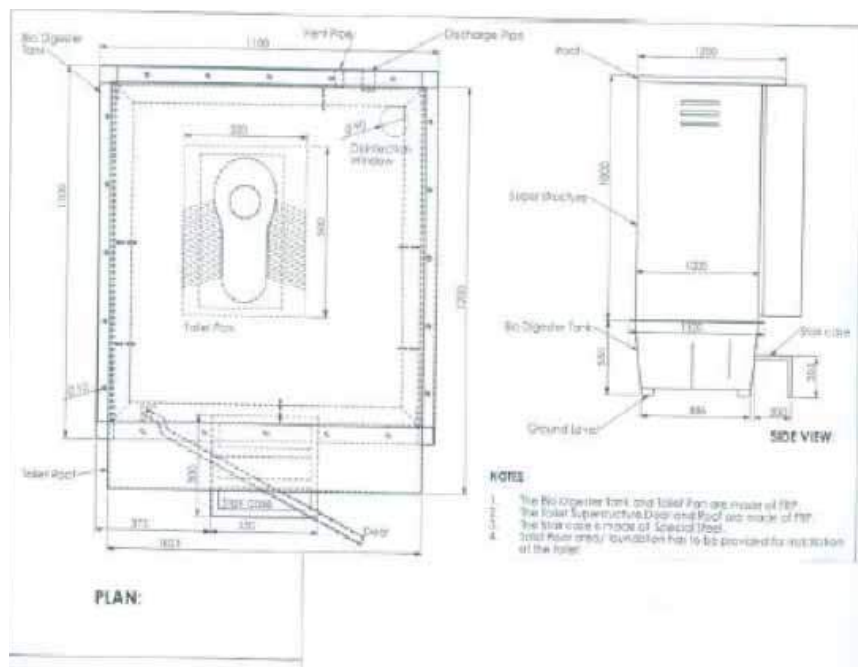
Figure 7: Details of bio-digester with reed bed

(Source: DRDO)



Figure 8: Details of Bio-Toilet

(Source: Private Agency)



Annexure III:

Distribution of the Project Fund across States / UTs under SBM (Urban)

States/UTs	POPULATION OF STATUTORY TOWNS		STATUTORY TOWNS		OPEN DEFECTION		Fund Share*
	Pop. (minus OG)	Population Share (%)	No.	ST Share %	HHs	HH Share %	
ALL India	31,85,49,793		4,031		79,02,614		
NON-NE STATES	31,20,08,498		3,823		78,59,648		
ANDAMAN & NICOBAR ISLANDS	1,08,058	0.03%	1	0.03%	1,209	0.02%	0.03%
ANDHRA PRADESH	2,30,04,396	7.37%	125	3.27%	5,81,673	7.40%	5.32%
BIHAR	1,12,41,824	3.60%	139	3.64%	5,46,409	6.95%	3.62%
CHANDIGARH	9,61,587	0.31%	1	0.03%	6,397	0.08%	0.17%
CHHATTISGARH	56,87,885	1.82%	168	4.39%	4,15,147	5.28%	3.11%
DADRA & NAGAR HAVELI	98,265	0.03%	1	0.03%	1,992	0.03%	0.03%
DAMAN & DIU	68,273	0.02%	2	0.05%	678	0.01%	0.04%
GOA	4,01,929	0.13%	14	0.37%	5,788	0.07%	0.25%
GUJARAT	2,31,88,334	7.43%	195	5.10%	3,88,836	4.95%	6.27%
HARYANA	78,61,917	2.52%	80	2.09%	1,28,059	1.63%	2.31%
HIMACHAL PRADESH	6,58,036	0.21%	56	1.46%	10,911	0.14%	0.84%
JAMMU & KASHMIR	29,40,088	0.94%	86	2.25%	44,501	0.57%	1.60%
JHARKHAND	53,05,359	1.70%	40	1.05%	2,54,374	3.24%	1.37%
KARNATAKA	2,21,63,498	7.10%	220	5.75%	5,34,829	6.80%	6.43%
KERALA	52,47,614	1.68%	59	1.54%	18,429	0.23%	1.61%
MADHYA PRADESH	1,87,83,104	6.02%	364	9.52%	7,89,555	10.05%	7.77%
MAHARASHTRA	4,67,83,521	14.99%	256	6.70%	6,94,830	8.84%	10.85%
NCT OF DELHI	1,14,02,709	3.65%	3	0.08%	62,210	0.79%	1.87%
ODISHA	59,69,842	1.91%	107	2.80%	4,08,170	5.19%	2.36%
PUDUCHERRY	7,48,267	0.24%	6	0.16%	18,941	0.24%	0.20%
PUNJAB	95,55,705	3.06%	143	3.74%	1,02,026	1.30%	3.40%
RAJASTHAN	1,57,17,489	5.04%	185	4.84%	4,31,290	5.49%	4.94%

States/UTs	POPULATION OF STATUTORY TOWNS		STATUTORY TOWNS		OPEN DEFECTION		Fund Share*
	Pop. (minus OG)	Population Share (%)	No.	ST Share %	HHs	HH Share %	
TAMIL NADU	2,98,32,766	9.56%	721	18.86%	11,28,692	14.36%	14.21%
UTTAR PRADESH	4,06,94,476	13.04%	648	16.95%	9,65,922	12.29%	15.00%
UTTARAKHAND	24,89,380	0.80%	74	1.94%	19,206	0.24%	1.37%
WEST BENGAL	2,10,94,166	6.76%	129	3.37%	2,99,574	3.81%	5.07%
NE STATES	65,41,295		218		42,966		
ARUNACHAL PRADESH	3,13,557	4.79%	26	11.93%	4,241	9.87%	8.36%
ASSAM	33,19,375	50.74%	88	40.37%	27,900	64.94%	45.56%
MANIPUR	3,36,625	9.73%	28	12.84%	3,427	7.96%	11.29%
MEGHALAYA	3,75,930	5.75%	10	4.59%	1,887	4.39%	5.17%
MIZORAM	5,71,771	8.74%	23	10.55%	1,019	2.37%	9.65%
NAGALAND	5,05,440	7.73%	19	8.72%	2,279	5.30%	8.22%
SIKKIM	1,47,695	2.26%	8	3.67%	719	1.67%	2.96%
TRIPURA	6,70,902	10.26%	16	7.34%	1,494	3.48%	8.80%

Annexure IV:

Concept Note on State Urban Sanitation Strategy for the State of _____

PART A: Parameters determining the existing urban sanitation situation

1	State Profile	
1.1	Name of the state	
1.2	Total Urban Population as per 2011 Census	
1.3	Number of Statutory towns 1 as per Census 2011	
1.4	Number of Census towns 2 as per Census 2011	
1.5	Population of statutory towns (as per Census 2011)	
1.6	Population of census towns (as per Census 2011)	
1.7	Total number of urban households	

2	Status of Sanitation Situation as per Census 2011[FOR STATUTORY TOWNS ONLY]	Total nos. as per Annexure 1 (State)*
2.1	Number of urban households resorting to open defecation (not in premises – open)	
2.2	Number of urban households having pit latrines	
2.3	Number of urban households having insanitary latrines	

3	Solid waste management (tentative quantity based on per capita waste generation) [FOR STATUTORY TOWNS ONLY]	Total (State)*
3.1	Total Solid waste generated (in MT)	
3.2	Total Waste collected (in MT)	
3.3	Total Waste Transported (in MT)	
3.4	No. of cities with SWM Disposal Facility	
3.5	Total Waste treated (in MT)	

*City-wise information may also be added wherever available.

PART B: Institutional Mechanism for Swachh Bharat Mission (SBM) - Urban

	Provide Details		
Name of the Nodal Agency for SBM	[Provide name of Nodal Agency; else if not designated, provide details of process by which nodal agency will be appointed]		
Name and Designation of Nodal Officer with contact no.	[Provide name of Nodal Officer; else if not designated, provide details of process by which nodal officer will be appointed]		
Institutional Mechanism		Start date (Month / Year)	End date (Month / Year)
a. Constitution of the State-level High Powered Committee (S- HPC)	[Provide details of S- HPC; else if not constituted, provide details of process by which S- HPC will be constituted; timeline should be max. within 1 month of submission of concept note]		
b. Setting up of State Mission Directorate	[Provide details of Mission Directorate; else if not constituted, provide details of process by which Mission Directorate will be constituted; timeline should be max. within 1 month of submission of concept note]		
c. Setting up of PMU at the state-level under SBM	[Provide details of PMU set-up; else if not set-up, provide details of process by which PMU will be put in place; timeline should be max. within 3 months of submission of concept note]		
Submission of State Sanitation Strategy as per the National Urban Sanitation Policy, 2008 (please refer Ministry's website www.moud.gov.in)		Start date (Month / Year)	Date of submission (Month / Year)

Annexure V:

ODF Protocol

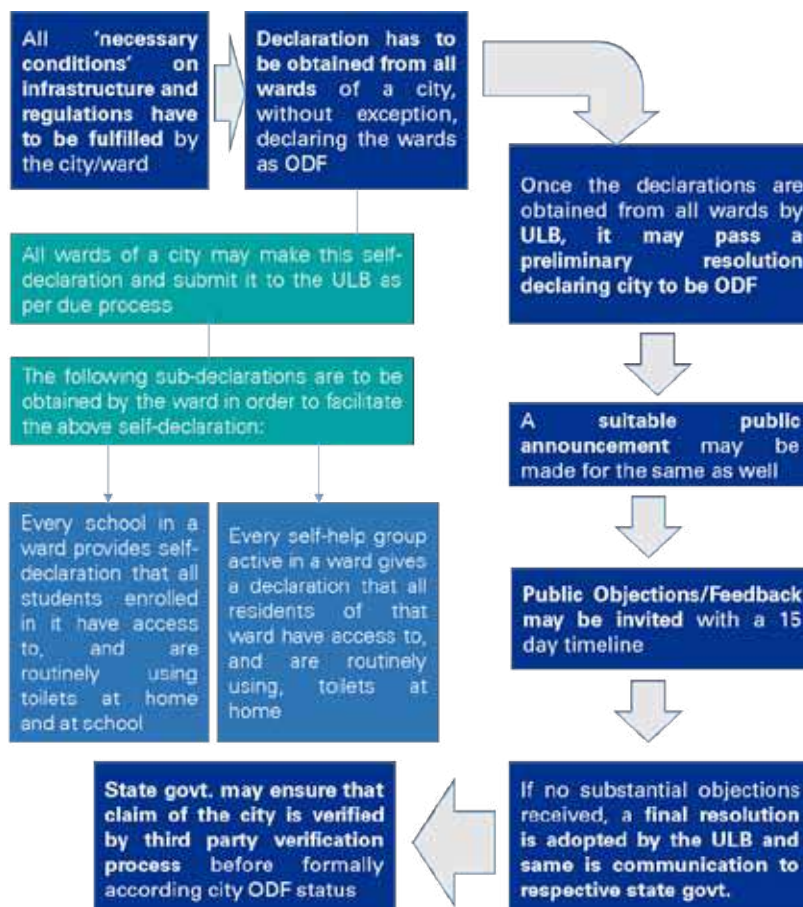
Definition of Open Defecation Free city / ward

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.

Necessary infrastructure and regulatory conditions to be achieved before declaring a city/ ward as Open Defecation Free:

- 1) All households that have space to construct toilet, have constructed one.
- 2) All occupants of those households that do not have space to construct toilet have access to a functional community toilet within a distance of 500 meters.
- 3) All commercial areas have functional public toilets within a distance of 1 kilometer.
- 4) Details of all Individual household 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.

The following protocol is to be adopted for declaring a city / ward as Open Defecation Free (ODF):



The protocol is elaborated below:

- 1) All the 'necessary conditions' on infrastructure and regulations have to be fulfilled by the city / ward
- 2) Following the fulfilment of (1) above, a declaration has to be obtained from all wards of the city/ town, without exception, declaring respective wards as ODF. All wards of a city may make this self-declaration and submit to city municipal administration as per due process. The following sub-declarations are to be obtained by the ward/s in order to facilitate the above self-declaration:
 - i. 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.
 - ii. Every self-help group active in a ward gives a declaration that all residents of that ward have access to, and are routinely using, toilets at home.(Formats for the above declarations are provided later in this document)
- b) Once the above declarations have been obtained from all wards by the respective city municipal administration, the city municipal administration may pass a preliminary resolution declaring the city to be Open Defecation Free.
- c) A suitable public announcement may be made for the same as well.
- d) Following such resolution, public objections/feedback may be invited, with a fifteen day timeline. If no substantial objections are received at the end of this time, a final resolution is adopted by the city municipal administration and the same is communicated to respective state governments.
- e) On receipt of the said communication, the state government may ensure that the claim of the city is verified through an appropriate third party verification process (in a time bound process) before formally according the city the status of being ODF.
- f) MOHUA will then carry out the "Swachh Certification" process (detailed later in this document), which also needs to be re-certified every six months.

ODF Declaration Formats

1. Format for declaration to be submitted by City / town

I, Mayor / Chairperson of (name of Municipal corporation / municipality / town panchayat) do hereby declare that:

- a) All Chairpersons of ward committees in the city / town have submitted their self-declarations regarding ODF status
- b) Preliminary resolution has been passed declaring the city / town as open defecation free;
- c) Above resolution has been publicly announced, inviting public feedback / objection within 15 days of announcement.
- d) The city has a mechanism in place to impose fines on open defecators
- e) Since no objections have been received within the stipulated time period / since objections and feedback received from the public have been addressed, a final resolution has been adopted by this office regarding ODF status
- f) This final resolution has been communicated to the state government for further verification.
- g) Third party verification process of ODF status has been completed.

Accordingly, (name of city/ town) is hereby declared Open Defecation Free.

MoHUA is now requested to carry out the "Swachh Certification" process for (name of city/town).

.....
(Signature, and Name of Mayor / Chairperson)

Date:

Seal

2. Format for declaration to be submitted by Ward Councilor

I, Ward councilor of(ward details), under
(name of Municipal corporation / municipality / town panchayat) do hereby declare that:

- a) At any point in a day, nobody in the ward is found defecating in the open
- b) All households in the ward that have space to construct toilets, have constructed one
- c) All occupants of households in the ward that do not have space to construct toilets, have access to a community toilet within a distance of 500 meters
- d) All commercial areas in the ward have public toilets within a distance of 1 KM
- e) All primary and secondary schools in the ward have submitted self-declarations to me that all their enrolled students have access to, and are routinely using toilets at home and at school
- f) All self-help groups in the ward have submitted self-declarations to me that all residents of the ward have access to, and are routinely using, toilets at home.

I further declare that I have formally submitted this declaration to the (name of Municipal corporation / municipality / town panchayat) for further necessary action.

.....

(Signature, and Name of Ward Councilor)

Date:

Seal:

3. Format for declaration to be submitted by schools

I do hereby declare that:

-school (name of school), in ward no....., under (name of Municipal Corporation / municipality), has numbers of students, and numbers of staff (including teachers).
- The school has sufficient numbers of functional toilets for all students and staff. None of the students or staff go out for defecation or urination while in school.
- Every student in the school, along with their family members, uses a toilet at home / uses a community toilet situated near the neighborhood, for defecation.
- The self-declaration from each of the students and staff are attached herewith (refer Annexures 1 and 2)

.....

(Signature and Name of Principal / Headmaster / Headmistress of School)

Date:

Annexure - 1

Format for self-declaration by school students (to be attached with the school declaration)

I, (name of student) do hereby declare that neither I nor any of my family members go out for defecation. I declare that my family members and I use a toilet at home / use a community toilet in the neighbourhood, for defecation.

.....

(Signature and Name of student) / (Signature and name of guardian for students of class nursery – class 4)

Date:

Annexure - 2

Format for self-declaration by school staff and teachers (to be attached with the school declaration)

I, (name of staff or teacher) do hereby declare that neither I nor any of my family members go out for defecation. I declare that my family members and I use a toilet at home / use a community toilet in the neighbourhood, for defecation.

.....
(Signature and Name of staff)

Date:

4. Format for self-declaration to be submitted by Self-Help Groups

This is to declare that every member of the Self-Help Group (Name of Self-help group) in Ward number..... of (name of municipal corporation, comprising members (number of members), whose names are attached as annexure, along with their family members, uses a toilet at home / uses a community toilet situated near the neighborhood, for defecation and urination.

.....

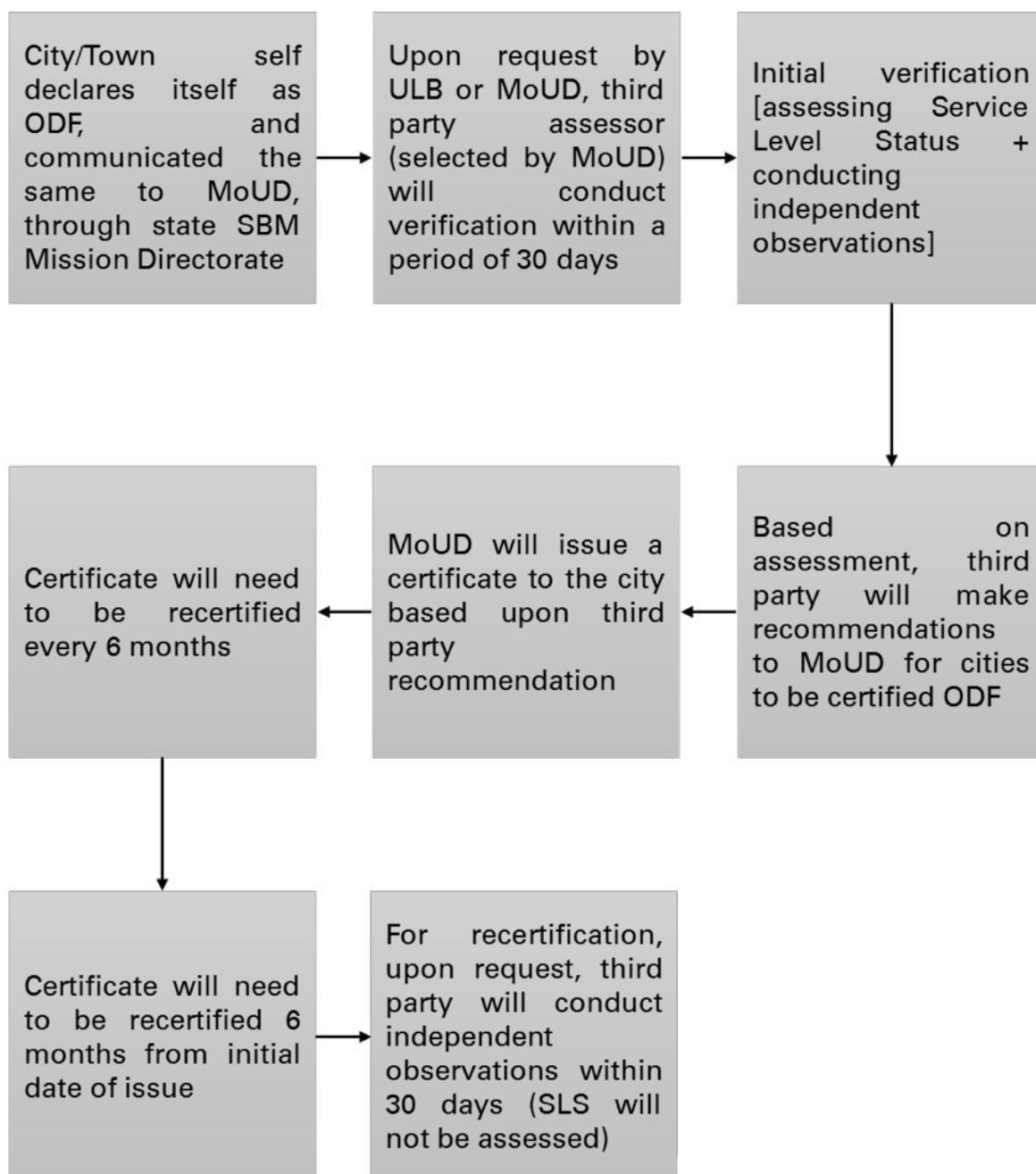
(Signature OR thumb impression, and Name, of President of the Self-Help Group)

Date:

(Attach list of names of SHG members)

Swachh Certification for ODF

Once a city has communicated to MoHUA the final resolution declaring the city to be ODF, a third party verification process (**"Swachh Certification"**) is to be adopted, for the final ODF certification. Subsequently, recertification of ODF will happen at fixed intervals (every six months), so as to ensure that there is no slippage of the ODF status.



Protocol to be followed for Swachh Certification for ODF

The following protocol will need to be followed for receiving the Swachh Certification:

- a. City self-declares itself as “Open Defecation Free” for the first time and communicates the same to MoHUA through the state SBM Mission Directorate.
- b. Upon request by ULB or MoHUA, a third party (selected by MoHUA) will mobilize assessors to conduct the verification within a period of 30 days.
- c. For the initial verification, the third party will assess both Service Level Status as well as conduct Independent Observation.
- d. Based upon the result of the assessment, the third party will make recommendations to MoHUA for cities to be certified ODF.
- e. MoHUA will subsequently issue a certificate to the city for the same based upon the recommendation of the third party.
- f. The certificate, when issued, will need to be recertified every 6 months.
- g. For recertification, upon receiving request, the third party will conduct independent observation within the city within a period of 30 days.
- h. It is to be noted that Service Level Status will not be re-checked during the re-assessment

Methodology for Swachh Certification for ODF

The verification process will be conducted in two parts:

- i. Service Level Status
- ii. Independent Observations

a. Service Level Status :

- i. Preliminary data will be collected in advance by a process of self-assessment from municipalities as per the defined protocol.
- ii. Third party assessors will visit ULBs to review the documentation and collect the data systematically ensuring that the process is independent and unbiased.

b. Independent Observations :

- i. The collection of data will be based on physical observation by the third party assessors.
- ii. The questionnaire to facilitate data collection will be created by the third party in conjunction with Ministry of Urban Development.
- iii. The survey assessors will use IT enabled devices to record their observations and findings along with photographs.
- iv. The third party will systematically collect photos as evidence for field observations ensuring that the location, date and time are tagged on all the pictures.
- v. For the assessment, cities will be classified based on population as below. Based upon the size of the city, it will be divided into 2 or 4 zones.
- vi. For larger cities (greater than 5 lakh population) the city will be divided into 4 zones – North, South, East and West.
- vii. For smaller cities (lesser than 5 lakh population) the city will be divided into 2 zones – North and South.
- viii. All locations will be finalized based on the third party's discussion with the ULBs.

Location Type	No. of location per zone	No. of location per city (5 lakh +)	No. of location per city (<5 lakh)
Slum	1	4	2
School	1	4	2
Public Area (Main Market, Religious Area)	1	4	2
Residential Area	1	4	2
Bus Station/ Railway Station	1 per city	1	1
Total	5	17	9

[illegible]



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Ministry of Urban Development
Government of India