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Government of India



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Ministry of Urban Development

Guidelines for Swachh Bharat Mission (SBM)



एक कदम स्वच्छता की ओर

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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"

SBM is being implemented by the Ministry of Urban Development (M/o UD) 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 (SBM) 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 ULB's
- 2.1.7. 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

The Mission has the following 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
- 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

2.4.1. 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 that 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 Outlay

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
- b. Additional Resources from State Government/ULB
- c. Beneficiary Share
- d. User Charges
- e. Land Leveraging
- f. Innovative revenue streams
- g. Swachh Bharat Kosh
- h. Corporate Social Responsibility
- i. Market Borrowing
- j. 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 installment 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 MoUD 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 -I: 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 metres 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**

4.3. 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 principals 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 ULB's 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.

4.4.1. 50% of the Central Government incentive (Rs. 2,000/-) will be released to the identified beneficiary household by the ULB as 1st installment 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 installment 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.

5. SBM (Urban) Component II: 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. NGO's, 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 remaining funds have to be generated as indicated in para 2.6 above.

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 25% funds towards community toilet projects to match 75% Central Share. (10% in the case of North East States and special category states).

6. SBM (Urban) Component -III: Public Toilets

6.1. Under SBM (Urban), States and ULBs will ensure that a sufficient number of public toilets 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 these facilities 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 being constructed under SBM (Urban) are built in tandem with water supply arrangements in ULBs.

6.4. There will be no Central Government incentive support for the construction of public toilets under SBM (Urban). States and ULBs are encouraged to identify land for public toilets, and leverage this land and advertisements to encourage the private