



Ministry of Urban Development



SWACHH SURVEKSHAN 2017

स्वच्छ सर्वेक्षण २०१७

A GUIDEBOOK FOR URBAN LOCAL BODIES

शहरी स्थानीय निकायों के लिए एक मार्गदर्शिका



SWACHH BHARAT MISSION



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SWACHH BHARAT MISSION



Swachh Bharat Mission aimed at:



Construction of household, public and community toilets



Door-to-door garbage collection



Proper disposal of municipal solid waste



Waste management and treatment



M. Venkaiah Naidu

Minister of Urban Development, Housing & Urban Poverty Alleviation and Parliamentary Affairs



In order to pay a tribute to Mahatma Gandhi on his 150th birth anniversary, India has pledged to become Open Defecation Free and clean by 2nd October 2019. The Swachh Bharat Mission (SBM), launched on 2nd October 2014, under whose mandate this objective is aimed to be realized, is slowly but steadily progressing towards this ambitious goal, while gradually evolving into a ‘jan andolan’ in the process.

A multi-pronged strategy being used by my Ministry to implement the SBM-Urban includes creation of an enabling environment for states and cities to roll out SBM at their levels, by empowering and building their capacities, while simultaneously encouraging citizens and other stakeholders to actively participate in the Swachh Bharat Mission. In this regard, a key initiative undertaken by my Ministry that effectively caters to both these components has been the launch of the ‘*Swachh Survekshan*’, a survey conducted to rank cities on various sanitation and cleanliness parameters. The first round of Swachh Survekshan was conducted among 73 top cities in India. Emboldened by the success of that initiative, we will now be conducting the second round of Swachh Survekshan in January 2017, among 500 cities in India, with a population of 1 lakh and above.

This time around, we are taking a far more proactive approach, and have planned various capacity building initiatives for cities so that they are fully prepared and empowered to perform well in the survey. In this regard, I am delighted to see this guidebook to Swachh Survekshan which, I am confident, will be a very helpful ready reckoner for cities to prepare themselves well and step up their service delivery levels to get a high score during the survey.

I wish all participating cities the very best of luck in preparing themselves for the Swachh Survekshan 2017, and hope that they are able to make the best possible use of this guide book to build up their capacities.

Let us work together to win the final race – the race towards a “Swachh Bharat” by 2nd October 2019.

List of Abbreviations

ADB	Asian Development Bank
AEPL	Ahmedabad Enviro Project Ltd
AMC	Ahmedabad Municipal Corporation
AMRUT	Atal Mission for Rejuvenation and Urban Transformation
BMFG	Bill & Melinda Gates Foundation
BSNL	Bharat Sanchar Nigam Ltd
C&D	Construction & demolition
CBO	Community based organisation
CCRS	Comprehensive Complaint Redressal System
CSR	Corporate Social Responsibility
CT	Community Toilet
DGS&D	Directorate General of Supplies and Disposals
DPR	Detailed Project Report
DTD	Door to Door
EDMC	East Delhi Municipal Corporation
FC	Finance Commission
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit
GoI	Government of India
GPS	Geographic Information System
GR	Government Resolution
GVMC	Greater Visakhapatnam Municipal Corporation
ICT	Information and communications technology
IEC/BCC	Information Education and Communication/ Behaviour Change Communication
IELSL	IL&FS Environmental Infrastructure & Services Ltd.
IHHL	Individual Household Latrine
IT	Information Technology
JICA	Japan International Cooperation Agency
MC	Municipal Commissioner
MCD	Municipal Corporation of Delhi
MEPMA	Mission for elimination of poverty in municipal areas
MoU	Memorandum of Understanding
MoUD	Ministry of Urban Development
MTNL	Mahanagar Telephone Nigam Limited
NARC	National Advisory and Review Committee
NGO	Non-government organization
NISCI	National Informatics Center Services Inc.
O&M	Operation and Maintenance
OD	Open Defecation
ODF	Open Defecation Free
OMR	Optical Mark Recognition
OSS	On-site system
PCMC	Pimpri Chinchwad Municipal Corporation
PDA	Personal Digital Assistant

PGRS	Public Grievance Redressal System
PMC	Pune Municipal Corporation
PPP	Public Private Partnership
PT	Public Toilet
RF	Radio Frequency
RFID	Radio Frequency Identification
RFP	Request for Proposal
SBM	Swachh Bharat Mission
SDMC	South Delhi Municipal Corporation
SHG	Self-help group
SMC	Surat Municipal Corporation
SMS	Short Message Service
SWaCH	Solid Waste Collection and Handling
SWM	Solid waste management
TPM	Time Place Movement
UIDAI	Unique Identification Authority of India
ULB	Urban Local Body
UNICEF	United Nations Children's Emergency Fund
USAID	United States Agency for International Development
VGf	Viability Gap Funding
VTS	Vehicle Tracking System
WSP	Water and Sanitation Program
WSUP	Water and Sanitation for Urban Poor

Table of Contents

1.1 MUNICIPAL SOLID WASTE – SWEEPING, COLLECTION & TRANSPORTATION (TOTAL MARKS 360)	16
A) AVAILABILITY OF AUTOMATED SYSTEMS IN COLLECTION AND TRANSPORTATION OF MSW	16
B) EFFICIENCY OF WASTE COLLECTION AND MANAGEMENT OF CONSTRUCTION & DEMOLITION WASTE ...	21
C) SOLID WASTE MANAGEMENT IN COMMERCIAL AREAS	31
D) SOLID WASTE MANAGEMENT IN RESIDENTIAL AREAS	43
E) DOOR TO DOOR WASTE COLLECTION DONE AND TRANSPORTED FROM RESIDENTIAL AREAS	45
F) EFFICIENCY IN TRANSPORTATION OF WASTE TO DISPOSAL/TREATMENT SITES.....	56
1.2. MUNICIPAL SOLID WASTE - PROCESSING & DISPOSAL (TOTAL MARKS 180)	61
1.3. PUBLIC & COMMUNITY TOILETS (TOTAL MARKS 135)	70
1.4. INDIVIDUAL TOILETS (TOTAL MARKS 135).....	92
1.5. STRATEGY FOR ODF AND SWM (TOTAL MARKS 43)	100
1.6. INFORMATION EDUCATION AND COMMUNICATION/ BEHAVIOR CHANGE COMMUNICATION (TOTAL MARKS 44).....	114
1.7. PROPOSED TIMELINES.....	120

List of Annexures

To view these annexures, download the “Swachh Survekshan Annex Book” from <http://www.umcasia.org/UserFiles/umc/Swachh%20Survekshan%20Annex%20Book.pdf>. The Guidebook should be read along with the Annex Book.

Annexure name	Annexure details	Page No.
A	The region wise rate contract for supply of Biometric Attendance Terminals and Devices for UIDAI Attendance System	4
B	Swachh City Plan Template	19
C	List of empanelled agencies as mentioned by the MoUD to prepare the Swachh City Plan	29
D	List of empanelled agencies for SWM as mentioned by the MoUD	36
E	Rate contract for procurement of garbage trucks and bins by DGS&D	46
F	Construction and Demolition waste rules, 2016	51
G	Model RFP for Integrated SWM	67
H	Sample RFP for collection, transportation, processing and management of C&D waste by the Greater Visakhapatnam Municipal Corporation	127
I	Model RFP for selection of operator for door to door collection and transportation upto secondary point	219

Annexure name	Annexure details	Page No.
J	Schedule VII for companies Act, 2014	274
K	Notification of user charges by the Government of Rajasthan	277
L	Memorandum of Understanding (MoU) with MTNL	293
M	Memorandum of Understanding (MoU) with BSNL	320
N	Model RFP for closure and capping of existing dumpsite	347
O	List of empanelled institutes for SWM	394
P	Report of the Technology Advisory group on SWM, 2005	406
Q	Report of the Task force on Waste to Energy, 2014	673
R	Model RFP for waste to energy and disposal facility	850
S	Selection of Development Partners for setting up Municipal Solid Waste (MSW) to Energy Processing Facility in Andhra Pradesh	900
T	List of Waste to energy technology providers	995
U	List of empanelled transaction advisors to facilitate the agreements between urban local bodies and the private agencies	998
V	Swachh Bharat Development Partners alliance for the country	1006
W	Sample Rate contract for portable toilets issued by DGS&D	1009
X	Sample RFP brought out by the Greater Visakhapatnam Municipal Corporation (GVMC) for construction of public toilets through PPP	1021
Y	Sample RFP brought out by the New Delhi Municipal Council for construction of public conveniences through Design, Built, Operate and Transfer mechanism	1171
Z	Guidelines for Public and Community toilets issued by Swachh Andhra Corporation, Government of Andhra	1234
AA	Sample RFP and contract agreement for operations and maintenance of public toilets and allied amenities in West Bengal	1258
AB	Standard operation procedure for cleaning Public toilets by Urban Management Centre	1298
AC	20X Flash Cards prepared by Urban Management Centre	1318
AD	Memorandum of Understanding (MoU) with Janaagraha	1352
AE	Guidelines for construction of Individual Household toilets (IHTs) through Slum Level Federations by Government of Andhra Pradesh	1358

Annexure name	Annexure details	Page No.
AF	ODF declaration formats by Swachh Andhra Corporation, Government of Andhra Pradesh	1371
AG	Public health bye-laws of Ahmedabad Municipal Corporation	1385
AH	Circular from MoUD for spot fines	1457
AI	RFP by Ahmedabad Municipal Corporation for Call Center Operation for Complaint Redressal System	1472
AJ	RFP for selection of agency on outsourcing basis for providing services of a call centre by South Delhi Municipal Corporation	1494
AK	The list of thematic cleanliness drives from April 2016 to March 2017 issued by MoUD	1529

INTRODUCTION



On 2nd October 2014, the Swachh Bharat Mission was launched throughout the length and breadth of the country as a national movement. There are two components of the Mission, namely, Swachh Bharat Mission- Gramin for India's rural centres and Swachh Bharat Mission- Urban for India's urban centres.

“A clean India would be the best tribute India could pay to Mahatma Gandhi on his 150th birth anniversary in 2019” – Shri Narendra Modi, Hon'ble Prime Minister of India

Swachh Bharat Mission in urban areas is focused on building Open Defecation Free towns (via construction of Individual Household Toilets, Community and Public Toilets) and 100% scientific management of Solid Waste.

In order to foster a healthy competition between cities, the Ministry of Urban Development (MoUD) started the “Swachh Survekshan” survey in 2016 which rated 73 cities across the country. Following the same, the MoUD has issued guidelines for “Swachh Survekshan” 2017 which will conduct a survey to rank 500 cities (having a population of 1 lakh and above). The components covered in this survey are:

- Solid Waste Management (SWM) including road sweeping, municipal solid waste from residential, commercial areas and from construction & demolition waste.
- Individual, community and public toilets
- Open defecation free city/town strategy
- Information, education and behaviour change communication (IEBC) strategy, and ICT based system to enhance Urban Local Body (ULB) operations.

The survey methodology for ranking the cities is based on three main areas:

- Part 1: Collection of data from interaction with concerned Municipal Body
- Part 2: Collection of data from direct observations
- Part 3: Collection of data from Citizens' feedback

The details of the survey checklist and methodology are available in the “Swachh Survekshan 2017 Survey Brochure” published by the MoUD. This guidebook aims to support urban local Bodies in understanding the methodology adopted and in helping them devise strategies and systems towards enhancing their scores for ‘part 1’ of the survey. The objective of this guidebook is not only to inform the ULBs how to score more but more importantly about how ULBs could improve the efficiencies of service delivery and improve quality of life in their cities. This will be a ready reckoner for ULBs to seek information on possible avenues to expedite procurement and avail finances and also introduce leading practices from their peer cities. This guidebook will help officials of ULBs to understand every parameter used for ranking and the necessary evidence to be provided by them. This guidebook has been prepared with technical support from the Urban Management Centre.

ABOUT THIS GUIDEBOOK

This guidebook is specially designed for Urban Local Bodies (ULBs) in understanding the ranking methodology for part 1 of the designed survey for the Swachh Survekshan. The ranking depends primarily on the data provided by the ULB and their system, process and level of infrastructure. The Swachh Survekshan survey brochure can be downloaded from <http://swachhbharaturban.gov.in/writereaddata/SurveyBrochure2017.pdf>

Part 1 contributes to 900 marks out of a total of 2000 marks and also has maximum parameters and scores as compared to part 2 and part 3. Part 2 and 3 are outcome measures and are based on qualitative assessment by the external assessors.

How to use the guidebook?

The Swachh Survekshan has been divided in six components, with each of them having specific marks. Each component is divided into sections which are further sub-divided into parameters. The six components are as follows and their total score is given below:

Component	Overall score
Municipal Solid Waste: Sweeping, Collection and Transportation	360
Municipal Solid Waste –Processing and Disposal	180
Public and Community Toilets	135
Individual Toilets	135
Strategy for ODF and SWM	45
IEC/ Behaviour change communication	45
TOTAL SCORE	900

Every survey parameter that has been covered in the sections has been explained as follows:

1. **Purpose and Definition:** This simplifies the parameter and gives an overview of the parameters on which the scoring is based and this also explains all technical terms that are incorporated in the parameter.
2. **Gradation of Marks for this Parameter:** This gives the gradation as per which the ULBs will be given the scores.
3. **Supporting documents from the ULB:** This provides a list of documents to be provided by the ULB as evidence to support their claims. These documents would be used for verification by the MoUD.
4. **What should the ULB do to maximise score:** In case the ULB is not eligible to get the maximum score, this section details out the actions to be undertaken by the ULB for improving their scores and strengthening their processes. This section details financial sources and procurement processes and contains links to model Request for Proposals (RFPs), rate contracts etc. to aid cities towards expediting their procurement processes and financial sources available.
5. **Leading Practice from Other Local Bodies:** This section provides a brief introduction to relevant successful initiative(s) undertaken by other ULBs. These are only representative examples. There may be many more initiatives undertaken by various other cities.

This guidebook has reference to many documents including sample RFP documents, sample contracts, MoUs with service providers as approved by MoUD, list of empanelled agencies and organisations. These will help the city to expedite the implementation of various initiatives under the Swachh Bharat Mission.

These documents have been collated in an Annex Book which can be downloaded from <http://www.umcasia.org/UserFiles/umc/Swachh%20Survekshan%20Annex%20Book.pdf>.

E-learning platform for municipal officials:

Along with this guidebook, city managers should undertake courses on the e-learning platform of the Swachh Bharat Mission (<http://swachhbharat.cloudapp.net/>). These e-courses provide a tool-kit of ideas that have been implemented, and can be modified and/or scaled to similarly diverse cities. These e-courses are driven by the experiences and successes of local government managers and offer an opportunity for the dissemination and replication of good practices. Many city managers have made significant contributions to improving the lives of urban citizens, and by sharing their lessons learned directly with their colleagues through the e-courses. The e-course portal provides flexibility to busy city managers and provides them options for choosing their own pace of learning. This platform serves as a one-stop hub with videos showcasing leading practices, relevant reading material, technology options and offer peer to peer learning. The platform offers moderated support to participants.

Several relevant tutorials have been referenced in this guidebook and the links will direct the user to the specific case study. Users will have to register/ sign-in on the portal before viewing the tutorial. We would also urge ULBs to share their innovations and stories. MoUD will be happy to make e-learning material from your practices and share the same. Please send your information to info@umcasia.org



MUNICIPAL SOLID WASTE MANAGEMENT

Please read the document along with the Swachh Survekshan 2017 Survey Brochure and the Swachh Survekshan Annex Book.

1.1 MUNICIPAL SOLID WASTE – SWEEPING, COLLECTION & TRANSPORTATION (TOTAL MARKS 360)

A) AVAILABILITY OF AUTOMATED SYSTEMS IN COLLECTION AND TRANSPORTATION OF MSW

This section deals with the provision of automated systems for collection and transportation of municipal solid waste.

This section comprises of 2 parameters and the maximum marks that can be scored in this section are 41.

1.1.1. USE OF ICT BASED MONITORING OF MUNICIPAL STAFF ATTENDANCE



PURPOSE AND DEFINITION

This parameter analyses whether your urban local body has an Information Communication Technology (ICT) based system to record attendance of staff. The gradation of marks is based on the extent of monitoring and scale of operations at the city level. Your ULB receives maximum marks if such a system is in place across the entire city and if it is also monitored at the head office.

ICT based staff attendance system means a minimum of a bio-metric /smart card based system to capture attendance of on-site and office employees (both permanent as well as contractual).



GRADATION OF MARKS FOR THIS PARAMETER

Is there an ICT based attendance system?

ICT based attendance system in place in the entire city and monitored at the head office level	23
ICT based attendance system in place in the entire city but not monitored at the head office level	16
ICT based attendance system in place in some part of the city and monitored at the head office level	11
ICT based attendance system in place in some part of the city but not monitored at the head office level	5
ICT based attendance system not in place	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

If your ULB has an ICT based system in place, then you should provide the following documents as evidence supporting the same:

- Staff attendance report for a week of any month of the last quarter with time stamp and a sample for any one ward as evidence.
- Screenshots and availability of the attendance monitoring dashboard at municipal/ deputy/additional commissioner level/ medical health officer level covering staff attendance for some/ all wards



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- Urban local bodies should install bio-metric/smart card technologies for tracking and recording employee attendance at all zones and ward offices.
- For field based employees, an ICT system wherein attendance can be recorded remotely should be deployed.
- The attendance system should also be linked to the time sheets of the employees.

Procurement

- To expedite procurement of agencies for this task, ULBs can hire contractors from the list of empanelled agencies given by the National Informatics Center Services Incorporated (NICSI) for hardware and Software development for ICT based attendance system
- To expedite procurement of wall mounted biometric attendance terminals and desktop finger print devices in a decentralized manner, ULBs can procure from the rate contract finalized by DGS&D or alternatively, they could also procure these devices through NICSI. The region wise rate contract for supply of Biometric Attendance Terminals and Devices for UIDAI Attendance System (rates validity from 27-Jan-16 to 31-Dec-16) is presented in Annex A of the Annex Book.

Finance

- If your ULB is in the list of selected 100 **smart cities**, they can avail the funds for ICT based solutions under the Smart city plan.
- If your ULB is not in the list of Smart Cities, you can use the basic untied funds transferred to the cities through the **14th finance commission grants**.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Biometric Attendance System for Sanitary Workers in Guntur Municipal Corporation

Biometric Attendance System for Sanitary Workers in Guntur Municipal Corporation (GMC) has been introduced for about 2,000 sanitary workers. GMC generates 350 MT of solid waste per day, undertakes street sweeping for 1,175 km and maintains 1,500 km of drains. A biometric attendance system was introduced through a public private partnership arrangement. The total cost of the

hardware and software was INR 30, 00,000 with a monthly recurring cost of INR 1, 30,000. Biometric kiosks were installed in all 26 sanitary divisions of the city. Biometric information based on IRIS recognition is maintained in the central server. IRIS recognition is a one- time activity and is noted for its reliability. Attendance recording is carried out twice a day- at 5:00 a.m. and 2:00 p.m. respectively and is completed efficiently in only 20 minutes. Based on the attendance information, the remuneration to contractual workers is transacted online. This system has eliminated middle men and protected bona fide workers. It has improved transparency which has further improved work ethics resulting in better service delivery. The Corporation has a centralized payroll system with facility for computation of salaries and online transfer of salaries to workers' accounts.

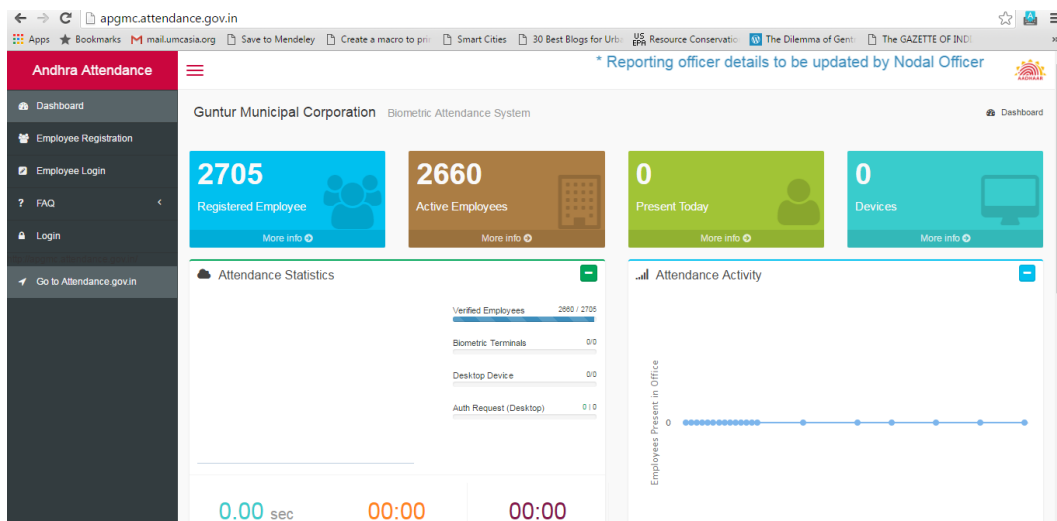


Figure 1: Dashboard to track attendance of employees; Source: Guntur Municipal Corporation

1.1.2. ADEQUACY OF MUNICIPAL STAFF AGAINST SWACHH CITY PLAN/ DPR RECOMMENDATIONS



PURPOSE AND DEFINITION

This parameter analyses whether your urban local body has filled all the positions as per the Swachh City Plan/DPR. Availability of adequate staff for street sweeping is key for implementation and sustenance of various components of the Swachh Bharat Mission (SBM).

The scores for this parameter are based on the percentage of staff positions that are vacant. More the percentage, the lower the score. If more than 40% of the staff positions are vacant, then the ULB gets zero marks.

Staff vacancy (%) = (Number of staff positions for street sweeping vacant/Total staff positions recommended by the Swachh City Plan/DPR) *100

(Staff includes permanent as well as contractual employees of the urban local body)



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of Vacant positions	Score
<10%	18
10%-20%	14
21% to 30%	9
31% -40%	5
Above 40%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Swachh city plan/DPR/any other state notified document stating the requirement of staff in the ULB
- Copy of the payroll report for last month mentioning total headcount of sweeping staff (including contract staff) as evidence for filled positions.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

In case the ULB does not have a Swachh City Plan/DPR in place, then

- ULBs should prepare the plan in-house by filling the City Sanitation Plan template given by MoUD (See Annex B of the Annex Book).
- ULBs can also hire a consultant from the list of empanelled agencies as mentioned by the MoUD to prepare the Swachh City Plan (See Annex C of the Annex Book).

- Till the Swachh City plan is drafted, ULBs can estimate their own staff requirements. As per the Census 2011 benchmark - 28 persons are required for 10,000 population, this can be taken as a basis for estimating the additional staffing requirements.
- ULBs could fulfil their staff requirements by hiring permanent employees after due permission and approval from the state government. If necessary approval for enhancing the staff strength is not given by the state government, then the ULB should employ staff on contractual basis or outsource their work to third party.

B) EFFICIENCY OF WASTE COLLECTION AND MANAGEMENT OF CONSTRUCTION & DEMOLITION WASTE

This section has parameters pertaining to the collection of solid waste and the management of construction & demolition waste. This section comprises of 5 parameters and the maximum marks that can be scored by the ULB is 65.

1.1.3. EFFICIENCY IN COLLECTION OF MUNICIPAL SOLID WASTE



PURPOSE AND DEFINITION

This parameter assesses the percentage of waste that is regularly collected as against the waste generated in the city. The gradation of marks is based on the percentage of waste collected of the total waste generated in the city. ULBs that collect less than 40 percent of the total waste generated in the city get zero marks.

(Total municipal solid waste collected daily/ total municipal solid waste generated daily)*100



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of waste collected daily

100%	18
80% - 99%	14
60% - 79%	9
40% - 59%	5
Below 40%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Swachh City Plan/ SWM DPR/ or any other study (prepared during the last 1 year) to assess the quantity of waste generated in the city.
- In absence of these documents, calculate the total waste generation on the basis of per capita benchmark (500 gram per capita per day X city population).
- Records of waste collected from the city on a daily basis. This should include records of various waste streams from the weigh bridges or record of number of trips to processing/disposal site through various vehicles from the last quarter.

In case the ULB does not have a Swachh City Plan/DPR in place, then

- ULBs should prepare the plan in-house by filling the City Sanitation Plan template given by MoUD (See Annex B of the Annex Book)
- ULBs can also hire a consultant from the list of empanelled agencies for SWM as mentioned by the MoUD (See Annex D of the Annex Book).
- If the city has not prepared any assessment of waste generated in the city, the ULB should commission such a study.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

Procurement

- In order to put the required logistics in place, the ULBs can expedite procurement of garbage collection trucks and bins as per the notified rate contract given by DGS&D and MoUD. The validity of the rates is up to 31st July 2016. The copy of the rate contract by DGS&D is given in Annex E of the Annex Book.
- In order to ensure adequacy of human resource for collection of waste, ULBs should refer to the previous parameter.

Finance

- The ULBs should prepare DPRs for solid waste management in consultation with the state government. 100 percent cost reimbursement for preparing the DPR will be done by the Government of India (GoI) as per unit cost and norms set up by the National Advisory and Review Committee (NARC). (Ref: SBM Urban Guidelines)
- The procurement of trucks and bins can be done by utilizing the funds received under Swachh Bharat Mission as well as the respective state missions.
- ULBs can avail 20 percent VGF/grant per project for all SWM projects. The Central government assistance available under SBM for municipal SWM projects for each city/ town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Achieving a Zero Garbage Town, Namakkal Municipality, Tamil Nadu

Namakkal Municipality has become a zero garbage town since July 2003 and was the first town in the country which attained zero garbage level by implementing various initiatives. This was achieved through privatization of all components of solid waste management and cohesive efforts of various parties including waste pickers and self-help groups, residential and industrial associations, the local municipality and NGOs. Door-to-door waste collection is done in all its 30 wards by private agencies. Municipal *safai karamcharis* have been engaged for night sweeping on main roads, bus stand, markets and industrial areas. All dust bins from the streets, roads, markets, bus stand etc., have been removed in a phased manner. Waste segregation is done at source, where coloured bins are used for different types of waste. The segregated wet organic waste is taken to the vermi-compost unit. The key aspects of the system that has been put in place are:

- Door to door Collection with segregation at source in entire town.

- Segregation of waste into wet compostable, dry recyclable and household hazardous waste.
- Manufacturing of vermi compost from organic waste.
- Door to door collection and sweeping on all holidays and Sundays.
- 100% removal of garbage daily.
- Scientific landfill site in Lathuvadi village.
- Setting up of Enviro-Vermi Culture Industry on PPP mode.



Figure 2: Waste collection using color coded bins



Figure 3: Inauguration of waste collection system

Source: Experiences of development of model eco-city at Namakkal, TN presented by Municipal Commissioner of Namakkal Municipality at International Conference on the development of Model Eco city for enhancing promotion of eco products in Asia Pacific Region assessed on 11th June 2016.

http://www.unep.or.jp/japanese/spc/Singapore_session/Namakkal.pdf

1.1.4. MANAGEMENT OF CONSTRUCTION & DEMOLITION WASTE

1.1.4.1. AVAILABILITY OF SEPARATE SYSTEM FOR COLLECTION OF CONSTRUCTION & DEMOLITION WASTE



PURPOSE AND DEFINITION

This parameter assesses whether your ULB has a system to collect the construction & demolition waste separately in the city. The ULB can answer the parameter only in either a 'yes' or a 'no'. The ULBs should answer 'yes' only if there is 100 percent coverage of C&D waste generated across the city.

The collection of the construction & demolition waste should be done as per the Construction & demolition waste rules, 2016 (See Annex F of the Annex Book)

- **Every waste generator shall keep the construction & demolition waste within the premise or get the waste deposited at collection centre so made by the local body or handover it to the authorised processing facilities of construction & demolition waste.**
- **ULBs shall transport the C&D waste to appropriate sites for processing and disposal either through own resources or by appointing private operators.**



GRADATION OF MARKS FOR THIS PARAMETER

Is there a separate system for collection of C&D?

Yes	8
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of the policy document with respect to management of C&D of waste by the state government
- Copy of the detailed directions with regard to proper management of C&D waste by the ULB within its jurisdiction in accordance with the provisions of these rules.
- Copy of the waste management plan of the generator sanctioned by the ULB within a period of one month or from the date of approval of the building plan (as a sample). For example, copy of a waste management plan by a private developer.
- Copy of contracts of C&D waste management system if the ULB has outsourced the same
- Copy of any studies undertaken by the ULB indicating the estimation of C&D waste generation in the city or reports of collection of C&D waste generated
- List of approvals to construct/ demolish by town planning department in the last year.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- The ULB should ensure that all such waste generators of C&D waste store and deposit the waste at a designated collection centre.
- The ULB should set up a system for citizens to schedule their pick up for C&D waste. This could be a separate system or part of the public grievance redressal system of the ULB.

Procurement

- If the ULB does not have capacity for C&D waste collection in terms of human resources or vehicles/equipment, then the ULB could either outsource the service through a service contract or if it is financially viable, then enter into a PPP contract for overall C&D waste management (including waste collection and processing). A model RFP for identifying an agency is presented in Annex G of the Annex Book and could be used by ULBs to expedite procurement. A sample RFP for collection, transportation, processing and management of C&D waste by the Greater Visakhapatnam Municipal Corporation can be viewed in Annex H of the Annex Book.
- If the ULB wishes to enhance its own capacity, it could procure standardized trucks on the basis of rates prescribed by the Directorate General of Supplies and Disposals (DGS & D). The rate contract for garbage bins and trucks for solid waste management is given in Annex E of the Annex Book.

Finance

- ULBs can avail 20 percent VGF/grant per project for SWM projects from the Government of India under the Swachh Bharat Mission. Central government assistance available under SBM for municipal SWM projects for each city/ town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO). They can also avail funds under the respective state missions.
- If the ULBs are part of the Selected 500 ULBs under AMRUT mission, they can avail funds for setting up a C&D waste processing facility. As per the AMRUT mission guidelines, of the total annual budget proposed by the ULB, the Centre will give 80 percent as project fund, 10 percent as incentive for reforms and 10 percent for administrative and operation and maintenance (O&M) costs.
- ULBs can also utilise the untied basic grants received under the 14th Finance Commission for setting up the C&D waste processing plant and also for financing their operation and maintenance costs like tipping fees.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

C & D Waste disposal through PPP, case of Delhi

This facility was set up in 2009 by Municipal Corporation of Delhi (MCD) in collaboration with IL&FS Environmental Infrastructure & Services Ltd. (IELSL) on a PPP mode. Initially, it was used for processing of C&D waste generated during the Commonwealth Games 2010. The plant in its

1st phase had a capacity of 500 MTD, which later was expanded to cover C&D waste from across Delhi.

The plant produces fine sand, dust and other building construction materials like pavement blocks and curbs stones. The land for establishing the plant is provided by MCD in Burari, North of Delhi for a period of ten years. The processing fee for C&D Waste is about INR 205 per ton. The city has been divided into three zones for collection of waste- Karol Bagh, Sadar-Paharganj and the City zone. All vehicles used for the facility have been equipped with GPS. IEISL commitment to the project is about INR 23 crore inclusive of INR 8 crore capital investments. The capital expenditure incurred by the project is proposed to be covered over a period of 10 years by deriving value from the processed C&D Waste.

(Watch e-course on this case study on SBM portal: <http://goo.gl/KgrHEE>)

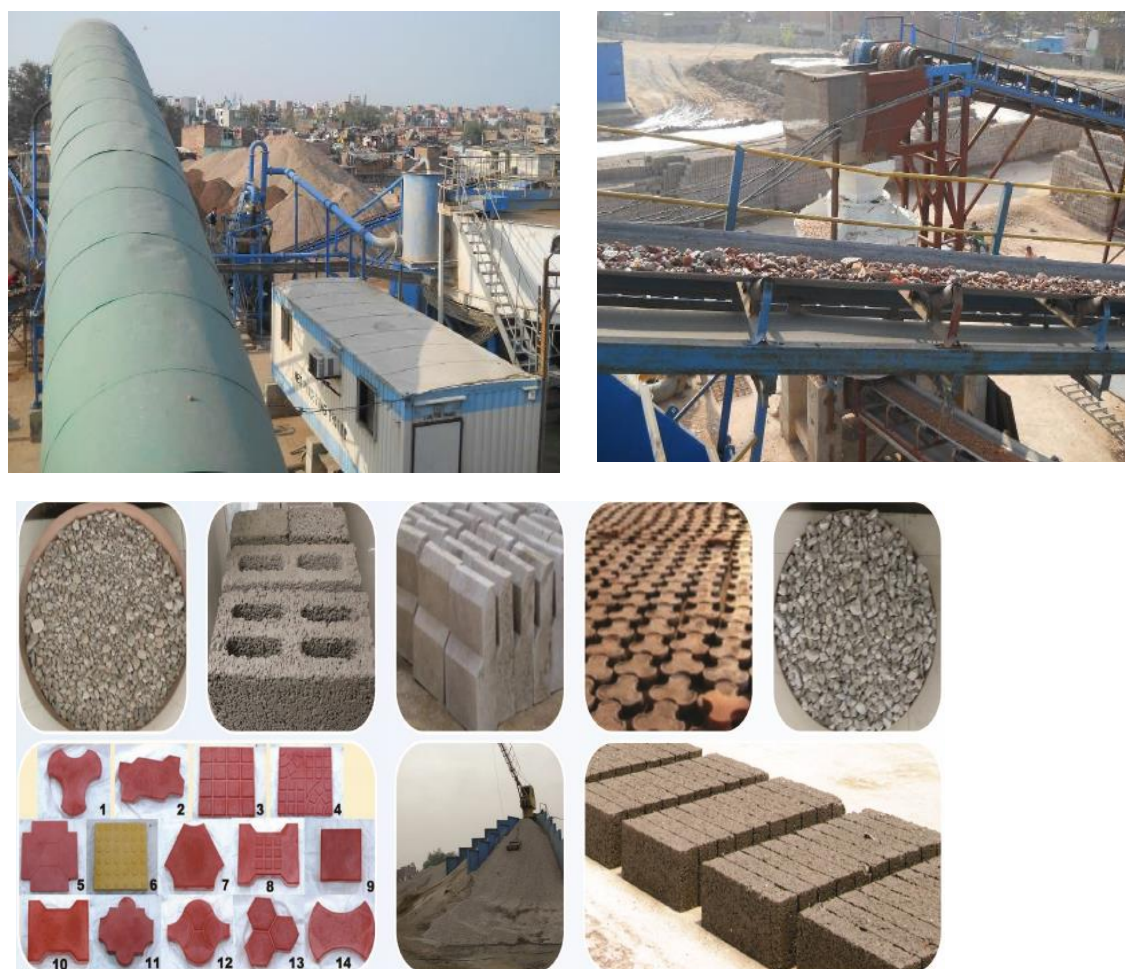


Figure 4: C&D waste management plant infrastructure and the recycled products (pic at the bottom)
Source: IL&FS Environment Infrastructure and Services Limited

C & D Waste Disposal through PPP, Ahmedabad, Gujarat

The Ahmedabad Municipal Corporation (AMC) through a Design, Build, Finance, Own & Operate mechanism, has allotted C&D management in Ahmedabad to Ahmedabad Enviro Project Ltd. (AEPL). The PPP contract is for a 30 years timeframe for which a land of 5 acres has been provided by AMC.

The plant is fully operational since June 2014. AMC has designated 16 spots around the city where citizens have to deposit C & D waste at their own cost. The agency then collects C & D waste from

these spots by their own vehicles. AMC pays a tipping fee of INR 155 per ton to AEPL (with escalation clause of 5% yearly increase). As a part of AMC's Comprehensive Complaint Redressal System (CCRS), citizens can register their service request for collection of C & D waste at a toll-free number-155303. AMC has prepared a rate schedule based on weight of the C&D waste.



Figure 5: Bricks made at Construction & demolition Plant in Ahmedabad. Source: Urban Management Center

1.1.4.2. AVAILABILITY OF A FUNCTIONAL FACILITY FOR TREATMENT OF C&D WASTE



PURPOSE AND DEFINITION

This parameter examines whether your ULB has a system to treat the C&D waste in the city. The ULB can answer the parameter only in two ways- 'yes' or 'no'. The ULBs should answer 'yes' only if there is 100 percent of the C&D waste is treated, processed and safely disposed.

The collection of the construction & demolition waste should be done as per the Construction & demolition waste rules, 2016 (See Annex F of the Annex Book)

- Every waste generator shall keep the construction & demolition waste within the premise or get the waste deposited at collection centre so made by the local body or handover it to the authorised processing facilities of construction & demolition waste.
- ULBs shall transport the C&D waste to appropriate sites for processing and disposal either through own resources or by appointing private operators.



GRADATION OF MARKS FOR THIS PARAMETER

Is there a C&D waste processing/ treatment/ disposal facility?

Yes	8
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

Only if the city has a C&D waste collection and management system, then the ULB should provide the following documents:

- Copy of the waste management plan of the generator sanctioned by the ULB within a period of one month or from the date of approval of the building plan (as a sample)
- Copy of contracts of C&D waste management system if the ULB has outsourced the same
- Records of C&D waste treated and disposed from last quarter.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

Procurement

- If the ULB does not have capacity for C&D waste collection in terms of human resources or vehicles/equipment, then the ULB could either outsource the service through a service contract or if it is financially viable, then enter into a PPP contract for overall C&D waste management (including waste collection and processing). A model RFP for identifying an agency is presented

in Annex G of the Annex Book and could be used by ULBs to expedite procurement. A sample RFP for collection, transportation, processing and management of C&D waste by the Greater Visakhapatnam Municipal Corporation can also be viewed in Annex H of the Annex Book.

- If the ULB has set up its own processing plant, it should ensure that the C&D waste generators deposit the waste at designated centres or that the ULB collects the waste from the generators and transfers it to the processing site.
- If the processing plant is operated on a PPP mode, then the ULB can transfer the C&D waste to the plant or the private contractor can collect the waste from the designated collection centres.

Finance

- The ULBs should prepare DPRs for C&D waste management in consultation with the state government under the **Swachh Bharat Mission**. 100 percent cost reimbursement for preparing the DPR will be done by the GoI as per unit cost and norms set up by the National Advisory and Review Committee (NARC). (Ref: *Swachh Bharat Mission (Urban) Guidelines*). The ULBs can also avail funds under their respective state missions.
- The procurement of trucks and bins can be done by utilizing the funds received under **Swachh Bharat Mission**.
- ULBs can avail 20 percent VGF/grant per project for SWM projects from the GoI under the **Swachh Bharat Mission**. Central government assistance available under SBM for Municipal SWM Projects for each city/ town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)
- If the ULB is part of the Selected 500 ULBs under the **AMRUT mission**, it can avail funds for setting up a solid waste processing and treatment facility. As per the AMRUT mission guidelines, of the total annual budget proposed by the ULB, the Center will give 80 percent as project fund, 10 percent as incentive for reforms and 10 percent for administrative and O&M costs.
- ULBs can also utilise the untied basic grants received under the **14th Finance Commission** for setting up the C&D waste processing plant.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Refer to the case studies mentioned in the previous parameter

1.1.4.3. NOTIFICATION AND COLLECTION OF USER CHARGES FOR COLLECTION OF C&D WASTE



PURPOSE AND DEFINITION

This parameter is to ascertain whether the ULB is generating financial resources for providing services of C&D waste management. The GRADATION OF MARKS FOR THIS PARAMETER is based on whether the ULB has notified and whether it collects user charges or not. The ULBs should answer the parameter as 'yes' or 'no'. The answer should be 'yes' only if the user charges are notified as well as collected.

User charges are fees collected by an ULB for providing services to the citizens within its jurisdiction



GRADATION OF MARKS FOR THIS PARAMETER

Are user charges for C&D waste notified and collected?

Yes	8
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

Only if the city has notified and if it collects user charges for C&D waste management, then the ULB should provide the following documents as evidence:

- Copy of the GR/standing committee or general body resolution/ issued by the ULB for collection of user charges for C&D waste management, **or**
- Copy of bye laws issued by the ULB, **and**
- Amount collected through C&D user charges in last and current financial year



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

Once, the ULB has a system of collection and management of the C&D waste, it should prepare a schedule of user charges (could be based on weight and distance) and notify the user charges after having received requisite approvals from the standing committee/ general board/ state government (in conformity with the Municipal Act of respective state).

Following this, the ULB should set a mechanism for collection of user charges.

C) SOLID WASTE MANAGEMENT IN COMMERCIAL AREAS

This section covers parameters pertaining to waste management specifically in commercial areas. There are 6 parameters in this section and the maximum that a ULB can score is 102 marks.

1.1.5. WARD WISE COVERAGE OF STREET SWEEPING IN COMMERCIAL ROADS



PURPOSE AND DEFINITION

This parameter is to examine whether all the commercial roads in the city are swept at least twice in a day. The scoring is based on the percentage of wards where the commercial areas are swept twice. If all commercial area roads in all wards are swept twice in a day, the ULB gets full marks.

Commercial area roads are roads that house a city/ward level commercial centre such as retail shops, office complexes, markets, restaurants, hotels, market places and road side street hawking etc.

(Number of wards* in which the commercial area roads are swept twice a day/Total number of wards in the city)*100

*Wards means election wards



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of wards in which sweeping is undertaken twice a day in commercial areas

100% of wards	23
80% - 99% of wards	16
60% - 79% of wards	11
40% - 59% of wards	5
Below 40% of wards	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Ward wise list of commercial roads
- Evidence of sweeping commercial areas twice a day in the form of activity log/roster report of sanitation staff
- If work is outsourced to an external agency, the contract document which has a clause for sweeping commercial areas twice a day should be provided.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- Firstly, the ULB should identify all the commercial areas in the city and prepare a ward wise list.
- The commercial areas should be divided into sweeping beats. The responsibility of sweeping a single beat shall be with a single sweeper. Each sweeper based on the density of the area should

be assigned the following length in metres(Expert Committee Manual on “Municipal Solid Waste Management, MoUD):

- a. High Density Area: 300 to 350 meters
 - b. Medium Density Area: 500 to 600 meters
 - c. Low Density Area: 650 to 750 meters
- If the ULB is unable to manage sweeping of such areas through its own staff, the ULB could sub-contract the sweeping activity.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Best practices for SWM, road sweeping, and collecting user charges-A case of Surat, Gujarat

SMC has done a detailed micro planning exercise for efficient primary collection of solid waste collection. It has worked out detailed route configurations, collection schedules, identified waste and bulk waste generators and estimated quantity of waste generated at the street level. SMC has inventoried roads and their width and finalized 211 routes for night sweeping (10 PM to 2 AM). Night sweeping is done by SMC staff of about 1500 people. SMC has also deployed two mechanical sweeping machines for micro cleaning.

SMC has levied user charges for SWM since 2009. User charges are part of SMC’s consolidated property tax bill levied annually in Surat. 74% of all revenue income of SWM for Surat comes from these user charges. Last year, the collection efficiency of property tax was 91 percent. Surat Municipal Corporation has a robust monitoring system, enabled with GPS services for their SWM vehicles. Detailed TPMs (Time Place Movement) have been designed for each primary collection vehicles.

SMC also levies administrative fines for littering. These were introduced in 1996 and were circulated through newspapers and media to create citywide awareness. Every year SMC issues a media note on the quantum of fines collected by them. SMC has a detailed schedule of fines for different offences.

(Watch e-course on this case study on SBM portal: <http://goo.gl/6konxQ>)



Figure 6: Night Sweeping in Surat
Source: Urban Management Center (UMC)



Figure 7: Door to door collection in Surat

1.1.6. EXTENT OF AVAILABILITY OF A WASTE COLLECTION AND TRANSPORTATION PLAN OF MSW FROM COMMERCIAL AREAS



PURPOSE AND DEFINITION

This parameter assesses whether the ULB has a plan in place for collection and transportation of waste specifically from commercial areas. The score is based on the percentage of commercial areas that have a collection and transportation plan in place.

(Number of commercial areas that have a collection and transportation plan in place/ total number of commercial areas in the city)*100



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of wards in which sweeping is undertaken twice a day in commercial areas

100% of wards	23
80% - 99% of wards	16
60% - 79% of wards	11
40% - 59% of wards	5
Below 40% of wards	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of the collection & transportation plan/Route Plan which show ward-wise coverage
- Copy of agreement with third party for collection and transportation of waste from commercial areas



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

For ULBs which do not have a plan in place,

Procurement

- ULBs should identify the commercial areas and devise a ward-wise micro plan for collection and transportation of waste from commercial areas. This plan could be a part of the overall city's SWM action plan.

Finance

- ULB should prepare its SWM action plan/DPRs for waste management in consultation with the state government under the **Swachh Bharat Mission**. 100 percent cost reimbursement for preparing the DPR will be done by the Government of India as per unit cost and norms set up by the National Advisory and Review Committee (NARC).

1.1.7. EXTENT OF COVERAGE OF DOOR TO DOOR WASTE COLLECTION FROM COMMERCIAL AREAS



PURPOSE AND DEFINITION

This parameter examines whether your ULB has a system in place for door to door collection of waste from commercial areas. The score is based on the percentage of wards that are covered by door to door collection system for commercial areas.

Door-to-door collection of waste involves the waste collector coming to the door step for collecting the waste. The waste should be given to the collector in segregated manner as per the SWM rules, 2016 (which mandates segregation of waste into bio degradable, non-bio-degradable and hazardous domestic waste)

(Number of wards* that have door-to-door collection of waste in commercial areas/total number of wards)*100

*Wards means election wards



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of wards that have door to door collection for commercial areas

100% of wards	18
80% - 99% of wards	14
60% - 79% of wards	9
40% - 59% of wards	5
Below 40%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of Log book/ any other ward-wise record for waste collection from commercial areas.
- Copy of contract and payment/ activity report if this service has been outsourced.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

For ULBs which do not have a system in place,

- They should identify commercial establishments and shops in each ward and prepare a ward wise plan as mentioned in the previous parameter. (See 1.1.6.)

Procurement

- In order to put the required logistics in place, ULBs can expedite procurement of garbage collection trucks and bins as per the notified rate contract given by DGS&D and MoUD. The validity of the rates is up to 31st July 2016. The copy of the rate contract is given in Annex E of the Annex Book.
- ULBs could fulfil their staff requirements for door-to-door collection by hiring permanent employees after due permission and approval from the state government. If necessary approval for the enhancing the staff strength is not given by the state government, then the ULB should employ staff on contractual basis or outsource their work to third party.
- ULBs could integrate informal waste pickers in the door to door collection system by issuing identity cards, medical insurance and providing them with necessary infrastructure and equipment.
- ULBs can outsource the door to door collection to an external agency. The model RFP for selection of operator for door to door collection and transportation up to secondary point is issued by MoUD and is given in Annex I of the Annex Book.

Finance

- The cost of equipment and other O&M expenditures can be covered under the budget submitted by the city to the state under SBM. Of the total budget submitted to MoUD for SWM, the centre shall give incentive in the form of maximum of 20 percent grant/VGF for each project. Central government assistance available under SBM for municipal SWM projects for each city/town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)

1.1.8. SEGREGATED WASTE COLLECTION SYSTEM FROM COMMERCIAL BULK GENERATORS



PURPOSE AND DEFINITION

This parameter assesses whether the ULB has a system in place for collection of waste from bulk garbage generators. The gradation of marks is based on the presence of direct collection system for bulk garbage generators in commercial areas. The answer should be 'yes', only if the coverage of collection from bulk garbage generators is 100 percent.

Bulk garbage generators includes buildings occupied by the central government departments or undertakings, state government departments or undertakings, local bodies, public sector undertakings or private companies, hospitals, nursing homes, schools, colleges, universities, other educational institutes, hostels, hotels, commercial establishments, markets, places of worship, stadia and sports complexes having an average waste generation rate exceeding 100 kg per day. (SWM Rules, 2016)



GRADATION OF MARKS FOR THIS PARAMETER

Is there a direct collection system for bulk garbage generators in commercial areas?

Yes	12
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of the collection & transportation plan of waste from bulk generator, **or**
- Copy of agreement with a third party for collection and transportation of waste from bulk generators, **and**
- Copy of log book/ other record of the collection and transportation of waste from bulk waste generators.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- ULBs should identify the bulk generators and devise a collection plan. The collection can be done by the ULB itself or by hiring a service provider.
- ULBs should ensure that bulk garbage generators in commercial areas segregate their waste at source.
- ULBs should identify and authorise the waste pickers/ recyclers and ensure that recyclable material is handed over to authorized waste pickers/recyclers.

Procurement

- In order to put the required logistics in place, ULBs can expedite procurement of garbage collection trucks and bins as per the notified rate contract given by DGS&D and MoUD. The validity of the rates is up to 31st July 2016. The copy of the rate contract by DGS&D is given in Annex E of the Annex Book.

Finance

- The ULBs can include the cost of procurement of trucks and other infrastructure like sorting sheds, picking vans, collection bins, etc., in the budget to be submitted under SBM or through the respective state missions.
- Of the total budget submitted to MoUD for SWM, the centre shall give incentive in the form of maximum of 20 percent grant/VGF for each project. Central government assistance available under SBM for municipal SWM projects for each city/ town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Segregated Waste Collection from Bulk Waste Generators, Ahmedabad, Gujarat

The Ahmedabad Municipal Corporation (AMC) conducted a sample survey of waste generated by hotels and restaurants in the city and based on the survey results adapted a segregated waste collection system. AMC floated tenders for appointing agencies to collect kitchen waste from hotels, restaurants, marriage halls, government and private sector establishments like education institutes and canteens. The tender included collection of kitchen waste from different non-residential units, on-spot segregation, transportation in closed body vehicles to final site for a period of seven years using own vehicles, equipment and manpower. As of date, three separate agencies are involved in this process in different zones. Waste is transported through GPS enabled closed body hydraulic vehicles procured by the contractor. These vehicles are manufactured in 2011 or post 2011. About 1600 units of bulk waste generators were identified in the initial survey at the time of project commencement. The contractor has to maintain a system for generating daily reports. The units which produce such kitchen waste have to obtain a health licence to operate and such licenses are renewed every year. AMC has ensured that health licences are renewed only if they follow this kitchen waste collection model.

1.1.9. AVAILABILITY OF COLLECTION BINS IN COMMERCIAL AREAS



PURPOSE AND DEFINITION

This parameter is to examine whether your ULB has sufficient number of bins in the commercial areas. The score is based on the number of bins per commercial area.

Sufficiency of collection bins = Number of bins/ Number of commercial areas

Commercial areas are city/ward level commercial centre such as retail shops, office complexes, markets, restaurants, hotels, market places and road side street hawking etc.

City is bin free for neighbourhood areas if it transports the waste directly from household to main transfer stations/processing centre/dumping site.



GRADATION OF MARKS FOR THIS PARAMETER

Number of collection bins placed per commercial area in the city

6-8 collection bins placed per commercial area	18
3-5 collection bins placed per commercial area	12
1-2 collection bins placed per commercial area	6
City not bin-free, but no bin placed	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of the installation log of collection bin, **or**
- Copy of the document/map showing bin locations/numbers **and**
- Copy of the list of residential areas that are covered by door to door collection and directly transfer the collected waste to the processing/disposal site.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- ULB should identify commercial areas in the entire city and estimate the number of required bins such that each commercial area has 6-8 bins.

Procurement

- To expedite procurement, ULBs could procure standardized functional and branded bins by referring to the rate contract issued by DGS&D (validity till 31st July 2016) given in Annex E of the Annex Book.

Finance

- ULBs can include the cost of procurement of bins in the budget to be submitted under SBM or their respective state missions. Of the total budget submitted to MoUD for SWM, the centre shall give incentive in the form of maximum of 20 percent grant/VGF for each project. Central government assistance available under SBM for Municipal SWM Projects for each city/ town is INR 240 per capita for present population. (*Ref: D.O. No. Q-15014/2/2009-CPHEEO*).

1.1.10. NOTIFICATION AND COLLECTION OF USER CHARGES FOR WASTE MANAGEMENT FROM COMMERCIAL AREAS



PURPOSE AND DEFINITION

This parameter is to ascertain whether the ULB is generating financial resources for providing services to commercial areas. The gradation of marks for this parameter is based on whether the ULB has notified and whether it collects user charges.

User charges are fees collected by an ULB for providing services to its citizens within the jurisdiction.



GRADATION OF MARKS FOR THIS PARAMETER

Are user charges for waste management notified and collected from commercial areas?

Notified and collected	23
Not notified but collected	16
Notified but not collected	8
Neither notified nor collected	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

Only if the city has notified and if it collects user charges for waste collection in commercial areas, the ULB should provide the following documents as evidence:

- Copy of the GR issued by the ULB for collection of user charges
- Amount collected through user charges from commercial areas in last and current financial year



WHAT SHOULD THE ULB DO TO MAXIMISE ITS SCORE?

- Once, your ULB has established a system of collection and management of the commercial waste, you should prepare a schedule of user charges and notify the user charges after having received requisite approvals from the standing committee/ general board/ state government (in conformity with the Municipal Act of respective state).
- Following this, the ULB should set a mechanism for collection of user charges. For example, the Surat Municipal Corporation collects these user charges through a consolidated property tax bill.

1.1.11. WARD-WISE EXTENT OF COLLECTION AND TRANSPORTATION OF SEGREGATED WASTE FROM COMMERCIAL AREAS.



PURPOSE AND DEFINITION

This parameter assesses whether the ULB is ensuring that waste is segregated at source and is transported to the disposal or treatment facility in a segregated manner as per the Solid Waste Management rules, 2016. The gradation of marks is based on the percentage of wards in which the commercial areas are segregating the waste at source and maintaining the segregation till disposal and treatment.

Segregation of waste, at a minimum, should happen in three streams- bio-degradable, non-bio-degradable and hazardous domestic waste. (SWM Rules, 2016)

(Number of wards* in which the waste from commercial areas is segregated at source and maintained till disposal or treatment/ Total number of wards in the city)*100

***Wards means election wards**



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of wards in which segregation is maintained till disposal/ treatment

100% of wards	23
80% - 99% of wards	16
60% - 79% of wards	11
40% - 59% of wards	5
Below 40%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of the directions issued by the local body to commercial areas for segregation of waste at source
- Report or document indicating functionality of segregation system from source of collection till disposal viz. copy of contract of door-to-door collection in case the service is outsourced to an external agency.



WHAT SHOULD THE ULB DO TO MAXIMISE ITS SCORE?

In ULBs where the commercial areas are not segregating waste at source,

- ULBs should identify the commercial areas and prepare a ward-wise list.
- ULBs could outsource the door to door collection to an external agency. The model RFP for selection of operator for door to door collection and transportation up to secondary point is issued by MoUD and is given in the Annex I of the Annex Book.
- ULBs should issue directions to commercial areas for segregating the waste at source.
- For ensuring that the commercial areas comply with the system, compliance with segregation could be a condition to issuing of shops and establishment licenses.
- ULBs should charge penalties from commercial markets and shops, who fail to segregate at source. To this effect, the ULB should draft its bye laws/issue a government resolution giving details of the penalty charges.
- In order to raise awareness on the importance of segregation, the ULBs should devise targeted awareness campaigns which could be done in collaboration with Corporates (Watch the E-course video: Course 210 (Moderated)- Source Separation: Key to Sustainable Solid Waste Management- Partnership of NGOs-Case of Pune Municipal Corporation on <http://goo.gl/MMLhy5> and <http://goo.gl/8NYSei>)
- If the ULBs need to procure bins and trucks for collection, they can expedite procurement of garbage collection trucks and bins as per the notified rate contract given by DGS&D and MoUD. The validity of the rates is up to 31st July 2016. The copy of the rate contract by DGS&D is given in Annex E of the Annex Book.

Finance

For IEC/BCC,

- ULBs can use the funds received under the IEC/BCC component of SBM.
- Additionally, the ULBs can tie up with corporates to undertake awareness campaigns as part of their CSR activities as permitted under Schedule VII of the Companies Act, 2013 (See Annex J of the Annex Book)

For O&M,

- ULBs should notify user charges and fund their O&M expenditure partially or completely.
- The ULBs can also utilize the basic untied grants received under the 14th Finance Commission (FC) to cover their O&M expenditures.

D) SOLID WASTE MANAGEMENT IN RESIDENTIAL AREAS

This section is for the parameter pertaining to sweeping and cleaning of roads in residential area. The section consists of 1 parameter carrying 18 marks.

1.1.12. ONCE A DAY SWEEPING AND CLEANING FROM RESIDENTIAL AREAS DONE



PURPOSE AND DEFINITION

This parameter examines whether all the residential areas are swept at least once in a day. The scoring is based on the percentage of wards where street sweeping in residential areas is done at least once. If all residential areas in all wards are swept once in a day, the ULB gets full marks.

(Number of wards* in which once a day sweeping and cleaning from residential areas is done/Total number of wards)*100

*Wards are election wards



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of wards in which the residential area roads are swept at least once a day

100% of wards	18
80% - 99% of wards	14
60% - 79% of wards	9
40% - 59% of wards	5
Below 40%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Evidence of sweeping residential areas once a day-Activity log/Roster report of sanitation staff
- Copy of contract if the service has been outsourced to an external agency
- Ward-wise attendance record/Activity log/Roster report of sanitation staff



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- All residential areas should be divided into sweeping beats. The responsibility of sweeping a single beat shall be with a single sweeper. Each sweeper based on the density of the area should be assigned the following length in metres(expert committee Manual on “Municipal Solid Waste Management, MOUD):
 - a. High Density Area : 300 to 350 meters
 - b. Medium Density Area : 500 to 600 meters

- c. Low Density Area : 650 to 750 meters
- If the ULB is unable to manage sweeping of such areas through its own staff, the ULB could sub-contract the sweeping activity
 - The ULBs should finance the sweeping costs by collection of tax or user charges. In cases, where the ULB does not collect such taxes/charges, a GR should be passed notifying the user charges after having received requisite approvals from the standing committee/ general board/ state government (in conformity with the Municipal Act of respective state).



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Involving resident welfare associations for SWM: The “Society Anudan Scheme” in Surat

Surat Municipal Corporation’s initiative “Society Anudan Scheme” has been developed with an objective of involving citizens to achieve overall hygiene and cleanliness of the city. Conceptualized in the year 1998, the Society Anudan Scheme was implemented around 2005. As part of this scheme, societies have to register themselves under the scheme through a set procedure. The scheme is to support societies’ in the process of cleaning and sweeping within the SMC’s area. Once the application is accepted, the society has to make arrangements for street sweeping within the residential area and ensure proper cleanliness. At the end of every month, a sanitary inspector from SMC visits the society for monitoring and evaluation-if the society meets the expected cleanliness standards set by the SMC, the sanitary inspector provides a certificate. Once the society gets the certificate, all cleaning and solid waste collection charges are paid by the SMC. Currently, over 600 societies are registered under this scheme. SMC pays every registered society under the scheme at the rate of INR 0.6 – 0.65 per sq. m with a minimum payment of INR 1200 per month.

E) DOOR TO DOOR WASTE COLLECTION DONE AND TRANSPORTED FROM RESIDENTIAL AREAS

This section pertains to the collection and transportation of waste from residential areas. The total number of parameters in this section is 6 and the maximum marks that can be scored are 98.

1.1.13. AVAILABILITY OF A WASTE COLLECTION AND TRANSPORTATION PLAN FOR MSW FROM RESIDENTIAL AREAS



PURPOSE AND DEFINITION

This parameter assesses whether your ULB has a plan in place for collection and transportation of waste from residential areas. The gradation of marks is based on whether the ULB has a plan or not.



GRADATION OF MARKS FOR THIS PARAMETER

Is there a collection and transportation plan in place for residential areas?

Yes	12
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of the collection & transportation plan/Route Plan of the ULB
- In case, the ULBs have outsourced the collection and transportation activity, then a copy of agreement with the third party for collection and transportation of waste from residential areas should be provided.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

For ULBs which do not have a plan in place,

Procurement

- ULBs should identify the residential areas and devise a micro plan for collection and transportation of waste from residential areas. This plan could be a part of the SWM action plan.

Finance

- The ULBs should prepare SWM action plan/DPRs for SWM waste management in consultation with the state government under the **Swachh Bharat Mission**. 100 percent cost reimbursement for preparing the DPR will be done by the GoI as per unit cost and norms set up by the National Advisory and Review Committee (NARC). (Ref: *Swachh Bharat Urban Guidelines*)

1.1.14. WARD WISE COVERAGE OF DOOR TO DOOR COLLECTION IN RESIDENTIAL AREAS



PURPOSE AND DEFINITION

This parameter assesses the coverage of door-to-door solid waste collection system in the residential areas of your city. The gradation of marks is based on the percentage of wards where residential areas are covered by door to door collection.

Door to Door collection means collection of solid waste from the door step of households, and includes collection of such waste from entry gate or a designated location on the ground floor in a housing society, multi storied building or apartments and large residential premises. (SWM Rules, 2016)

(Number of wards* that have door-to-door collection of waste in residential areas/total number of wards)*100

***Wards means election wards**



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of wards which have 100% door to door collection in residential areas

100% of wards	23
80% - 99% of wards	16
60% - 79% of wards	11
40% - 59% of wards	5
Below 40%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of Log book/ any other record for waste collection from residential areas (ward-wise)
- Copy of contract and activity report if the activity is outsourced to an external agency



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

For ULBs which do not have a system in place,

- They should identify the residential areas in each ward and prepare a ward wise micro plan as mentioned in the previous parameter.
- In order to put the required logistics in place, the ULBs can expedite procurement of garbage collection trucks and bins as per the notified rate contract given by DGS&D and MoUD. The validity of the rates is up to 31st July 2016. The copy of the rate contract by DGS&D is given in Annex E of the Annex Book.

- ULBs could fulfil their staff requirements for door-to-door collection by hiring permanent employees after due permission and approval from the state government. If necessary approval for the enhancing the staff strength is not given by the state government, then the ULB should employ staff on contractual basis or outsource their work to third party.
- ULBs could integrate informal waste pickers in the DTD collection system by issuing identity cards, medical insurance and providing them with necessary infrastructure and equipment. To know more, watch the e-course tutorial on Mainstreaming Waste Pickers in SWM, Pune Municipal Corporation (link:<http://goo.gl/hgl64l>)
- ULBs can outsource the door to door collection to an external agency. The model RFP for selection of operator for door to door collection and transportation up to secondary point is issued by MoUD and is given in the Annex I of the Annex Book.

Finance

- The cost of equipment and other O&M expenditures can be covered under the budget submitted by the city to the state under SBM. Of the total budget submitted to MoUD for SWM, the centre shall give incentive in the form of maximum of 20 percent grant/VGF for each project. Central government assistance available under SBM for Municipal SWM Projects for each city/ town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Integrating rag pickers in door to door collection, case of SWaCH, Pune, Maharashtra

Involving the informal economy including scrap dealers and waste pickers is central to Zero Waste strategy in Pune where in Solid Waste Collection and Handling (SWaCH), a cooperative of self-employed waste pickers / waste collectors and other urban poor plays a key role in door-to-door-collection (DTDC) of waste. This system has a decentralized DTDC services for households, shops, offices, and small commercial establishments along with mechanisms like ALERT G for complaint redressal. SWaCH members benefit from this arrangement as their income is regularised. Additionally, waste pickers are given identity cards and health insurance is also provided by the Pune Municipal Corporation (PMC) to carry out this work. SWaCH model is a user fee based model wherein customers pay directly to the waste collectors. There is no employment contract between the waste collectors/ SWaCH and PMC. This model saves more than INR 15 crores per annum in waste handling costs. Learn more about them here <http://www.swachcoop.com/>



Figure 8: Women rag picker sorting waste

Source: Women in Informal Employment Globalizing and Organizing Policy Brief, July 2012

Time Place Movement (TPM) studies for ensuring that all residential areas are covered by door to door collection have been undertaken by Bangalore and Surat. Watch Bangalore's e-course on <http://goo.gl/xUBfCp>

1.1.15. EXTENT OF DECENTRALISED WASTE MANAGEMENT BY BULK GENERATORS IN RESIDENTIAL AREAS



PURPOSE AND DEFINITION

This parameter assesses the extent of decentralized management of waste generated by bulk generators in residential areas. The hierarchy of gradation of marks is such that the city in which the generator is of managing their own waste, gets the highest marks. This is followed by a system where the ULB is directly collecting the waste. A ULB will get highest marks only if more than 75% residential bulk generators manage their own waste.

Bulk garbage generators include all residential complexes having an **average waste generation rate exceeding 100 kg per day**. (SWM Rules, 2016)

The ULB can either mandate the bulk generators in residential areas to carry out the collection and transportation of the waste generated in their premise or provide the collection and transportation service through a service provider. However SWM Rules, 2016 mandates all residential welfare association and gated communities with more than 5000 sq. area shall facilitate collection of segregated waste in separate streams, handover recyclable material to either the authorised waste pickers or the authorised recyclers. The bio-degradable waste shall be processed, treated and disposed-off through composting or bio-methanation within the premises as far as possible. The residual waste shall be given to the waste collectors or agency as directed by the local body.



GRADATION OF MARKS FOR THIS PARAMETER

How is residential bulk waste managed?

More than 75% of bulk generators manage themselves	12
More than 75% of the bulk waste is directly collected by ULBs	8
No arrangement in place	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of GR/circular by the ULB mandating the residential bulk generators to collect and transport the waste generated in their premise, **and**
- Copy of the collection & transportation plan from bulk generators, **or**
- Copy of agreement with a third party for collection and transportation of waste from bulk generators
- Copy of log book/ other record of the collection and transportation of waste from bulk waste generators.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- ULBs should identify the bulk generators and bring out a circular notifying the bulk garbage generators in residential areas to segregate their waste at source. The collection and transportation can be done by the bulk generators themselves or by the ULB through a service provider.
- ULBs should identify and authorise the waste pickers/ recyclers and ensure that recyclable material is handed over to authorized waste pickers/recyclers.
- The ULBs should direct the town planning department to demarcate space for segregation, storage, decentralised processing of solid waste in the development plan for group housing societies exceeding 200 dwelling or having a plot area exceeding 5,000 square meters. As part of the building plan permission process, the ULBs should mandate such residential bulk generators to plan and manage their own waste.

Procurement

- In order to put the required logistics in place, the ULBs can expedite procurement of garbage collection trucks and bins as per the notified rate contract given by DGS&D and MoUD. The validity of the rates is up to 31st July 2016. The copy of the rate contract by DGS&D is given in Annex E of the Annex Book.

Finance

- The ULBs can include the cost of procurement of trucks and other infrastructure like sorting sheds, picking vans, collection bins, etc., in the budget to be submitted under SBM.
- Of the total budget submitted to MoUD for SWM, the GOI shall give incentive in the form of maximum of 20 percent grant/VGF for each project. Central government assistance available under SBM for municipal SWM projects for each city/ town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

The Pune Municipal Corporation has made it mandatory to have a compost pit in all residential and commercial schemes built post 2000.

1.1.16. AVAILABILITY OF COLLECTION BINS IN RESIDENTIAL AREAS



PURPOSE AND DEFINITION

This parameter examines whether your ULB has sufficient number of collection bins in the residential areas or if your city is bin free for neighbourhood areas. The maximum score is for cities that have bin free neighbourhood areas, if 80-99% of the waste generated in residential areas is directly collected and transported to transfer stations/processing plant/ treatment plant then the city gets highest marks.

Sufficiency of collection bins = Number of bins/ Total population in residential areas

City is bin free for neighbourhood areas if it transports the waste directly from household to main transfer stations/processing centre/dumping site



GRADATION OF MARKS FOR THIS PARAMETER

Availability of collection bins in residential areas

City is bin free for neighbourhood areas	18
1 bin for 75 people	13
1 bin for 100 people	6
1 bin for 150 people	3
City not bin-free, but no bin placed	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of the installation log of collection bins, **or**
- Copy of the document/map showing bin locations/numbers, **and**
- Copy of the list of residential areas that are covered by door to door collection and directly transfer the collected waste to the processing/disposal site.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- ULBs should devise a transportation/route plan for door to door collection and direct transfer of the waste to the processing/disposal site. This would ensure that the reliability on collection bins is reduced.
- ULB should estimate the number of required bins such that there is one bin for 75 people, till their neighbourhoods are bin free.

Procurement

- If the ULBs need to procure trucks for transportation of the waste collected directly to the processing/disposal site, they can expedite procurement of garbage collection trucks as per the

notified rate contract given by DGS&D and MoUD. The validity of the rates is up to 31st July 2016. The copy of the rate contract by DGS&D is given in Annex E of the Annex Book.

- ULBs can procure standardized functional and branded bins by referring to the rate contract issued by DGS&D (validity till 31st July 2016) given in Annex E of the Annex Book.

Finance

- The ULBs can include the cost of procurement of bins in the budget to be submitted under SBM.
- Of the total budget submitted to MoUD for SWM, the centre shall give incentive in the form of maximum of 20 percent grant/VGF for each project. Central government assistance available under SBM for Municipal SWM Projects for each city/ town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Binless waste collection, Suryapet, Telengana

In January 2003, the Municipal Commissioner of Suryapet launched a 'zero-based solid waste management' initiative in the city. It was implemented in a phased manner. The major elements included door-to-door garbage collection, eradication of community dustbins, waste segregation at source and installation of treatment and recycling facilities to minimize waste disposal requirements. Along with heavy campaigning in localities, public places, commercial areas, the commissioner devised a system by dividing the entire municipal area into seven territorial zones and allocating required public health staff. Dustbins have been completely removed from all parts of the town as the waste is collected directly from the source.



Figure 10: Segregated dry waste stored at recycling facility.



Figure 9: Door to door collection of segregated waste

Source: Solid waste management Initiative in Small Towns (2006). Water and Sanitation Program

1.1.17. NOTIFICATION AND COLLECTION OF USER CHARGES FOR WASTE MANAGEMENT FROM RESIDENTIAL AREAS



PURPOSE AND DEFINITION

This parameter is to ascertain whether the ULB is generating financial resources for providing services related to collection, transportation and processing of waste generated in residential areas. The GRADATION OF MARKS FOR THIS PARAMETER is based on whether the ULB has notified as well as it collects user charges or not.

User charges for residential areas are fees collected by an ULB for providing services to the residents for waste management services, within the jurisdiction.



GRADATION OF MARKS FOR THIS PARAMETER

Whether user charges are notified and collected for residential areas

Notified and collected	23
Not notified but collected	16
Notified but not collected	8
Neither notified nor collected	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

If the city has notified and/or collects user charges for waste collection in residential areas, then the ULB should provide the following documents as evidence:

- Copy of the GR/standing committee resolution issued by the ULB for collection of user charges in residential areas
- Amount collected through user charges in last and current financial year



WHAT SHOULD THE ULB DO TO MAXIMISE ITS SCORE?

- Once, the ULB has a system of collection and management of the residential waste, it should prepare a schedule of user charges and notify the user charges after having received requisite approvals from the standing committee/ general board/ state government (in conformity with the Municipal Act of respective state). ULBs may refer to the notification of user charges by the Government of Rajasthan (See Annex K of the Annex Book).
- Following this, the ULB should set a mechanism for collection of user charges which can be consolidated with the property tax.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Financial Sustainability through User Charges: Case of Surat Municipal Corporation

The Surat Municipal Corporation is able to cover its operating cost, except establishment cost, through collection of user charges. SMC levies solid waste user charges along with its property taxes and is able to cover 100 % of its operating expenditure for solid waste through the user charges. Surat is levying these charges since the JNNURM reform measures.

1.1.18. WARD WISE EXTENT OF COLLECTION AND TRANSPORTATION OF SEGREGATED WASTE FROM RESIDENTIAL AREAS



PURPOSE AND DEFINITION

This parameter is to ascertain whether waste from residential areas is segregated at source and segregation is maintained till the disposal or treatment of waste as per the Solid Waste Management rules, 2016.

Segregation of waste at a minimum should happen in three streams- bio-degradable, non-bio-degradable and hazardous domestic waste as per the SWM Rules, 2016.



GRADATION OF MARKS FOR THIS PARAMETER

Is waste from residential areas segregated at source and segregation maintained till disposal/treatment?

Yes	10
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence:

- Copy of the GR/circular by the ULB notifying the residential areas for segregation of waste at source.
- Report or document indicating functionality of segregation system from source of collection till disposal viz. copy of contract of door-to-door collection in case the service is outsourced.



WHAT SHOULD THE ULB DO TO MAXIMISE ITS SCORE?

In ULBs where the residential areas are not segregating waste at source,

- ULBs should issue directions to residential areas for segregating the waste at source.
- ULBs could outsource the door to door collection to an external agency. The model RFP for selection of operator for door to door collection and transportation up to secondary point is issued by MoUD and is given in the Annex I of the Annex Book.
- ULBs should charge penalties from residential areas, who fail to segregate at source. To this effect, the ULB should draft its bye laws/issue GR giving details of the penalty charges.
- In order to raise awareness on the importance of segregation, the ULBs should devise targeted awareness campaigns which could be done in collaboration with Corporates (Watch the E-course video: Course 210 (Moderated)- Source Separation: Key to Sustainable Solid Waste Management- Partnership of NGOs-Case of Pune Municipal Corporation on <http://goo.gl/8NYSei>)
- If the ULBs need to procure bins and trucks for collection, they can expedite procurement of garbage collection trucks and bins as per the notified rate contract given by DGS&D and MoUD.

The validity of the rates is up to 31st July 2016. The copy of the rate contract by DGS&D is given in Annex E of the Annex Book.

Finance

For IEC/BCC,

- ULBs can use the funds received under the IEC/BCC component of SBM.
- Additionally, the ULBs can tie up with corporates to undertake awareness campaigns as part of their CSR activities as permitted under Schedule VII of the Companies Act, 2013 (See Annex I of the Annex Book).

For O&M,

- ULBs should notify user charges and fund their O&M expenditure partially or completely.
- The ULBs can also utilize the basic untied grants received under the 14th FC to cover their O&M expenditures.



Figure 11: Public awareness campaign by Janwani in collaboration with Cummins, India in Pune; Source: Urban Management Centre

F) EFFICIENCY IN TRANSPORTATION OF WASTE TO DISPOSAL/TREATMENT SITES

This section has parameters pertaining to the transportation of the waste generated in the city to a disposal or treatment site. This section has 2 parameters and the ULB can score a maximum of 36 marks.

1.1.19. AVAILABILITY OF ROADMAP FOR TRANSPORTATION OF MSW AS PER SWACHH CITY PLAN OR SWM DPR



PURPOSE AND DEFINITION

This parameter ascertains whether the ULB has a road map for waste transportation as per the Swachh City Plan/DPR. The gradation of marks is such that the ULBs which have a plan in place and are implementing it will get the maximum marks.

The Swachh City Plan template issued by MoUD has a specific section where the ULBs need to indicate their action plan for 100% transportation of waste. [Link to the Swachh City Plan template \(See Annex B of the Annex Book\)](#):



GRADATION OF MARKS FOR THIS PARAMETER

What is the status of Swachh City Plan?

Swachh City Plan/DPR in place and being implemented	18
Swachh City Plan/DPR in place and not being implemented	9
Swachh City Plan/DPR not in place	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should submit the following documents as evidence:

- Copy of the approved Swachh city plan/DPR
- Copy of waste transportation activity log/ Route Plan showing conformity with the plan



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

If your ULB does not have a Swachh City Plan/DPR in place,

Procurement

- ULBs can prepare the Swachh City Plan themselves by filing the City Sanitation Plan Template given by MoUD (See Annex B of the Annex Book)
- ULBs could also hire a consultant from the list of empanelled agencies approved by MoUD (See Annex C of the Annex Book)
- In order to put the required logistics in place for implementation of the Plan, the ULBs can expedite procurement of garbage collection trucks and bins as per the notified rate contract

given by DGS&D and MoUD. The validity of the rates is up to 31st July 2016. The copy of the rate contract by DGS&D is given in Annex E of the Annex Book.

Finance

- ULBs should prepare DPRs for solid waste management in consultation with the state government. 100 percent cost reimbursement for preparing the DPR will be done by the GoI as per unit cost and norms set up by the National Advisory and Review Committee (NARC).

1.1.20. MONITORING OF MOVEMENT OF MSW VEHICLES



PURPOSE AND DEFINITION

This parameter examines the process by which the ULB tracks movement of its garbage trucks and vehicles. The maximum score would be given to ULBs that use ICT based tools and the second highest will be given to the ULBs that manually track their vehicles.

ICT based tracking system means availability of GPS/RFID reader enabled vehicles and remote monitoring of vehicle movement in the city.

Manual tracking system would entail a register or log book that notes the time of arrival and departure of the trucks at each pick up point, transfer station or processing plant.



GRADATION OF MARKS FOR THIS PARAMETER

How are the garbage trucks tracked?

ICT based tools (RFID Reader/ GPS etc.)	18
Manual tracking	9
No tracking	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs which have some ICT/manual tracking system, should submit the following documents as evidence:

- Copy of GPS/RFID log, manual entry log and activity report from the last month
- Copy of the contract if installation of GPS/RFID devices is a responsibility of the private agency.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

For ULBs that do not have such a system in place;

- Could use their own shortlisted vendors, if they have initiated the process.
- If not then they could use the MoU that MoUD has with MTNL and BSNL. The MoUs can be viewed in Annex L and Annex M of the Annex Book respectively. Accordingly, MTNL/BSNL will provide vehicle tracking and monitoring system to all ULBs through e SBM. This would include:
 - GPS based fleet monitoring
 - MIS for waste collection and transportation
 - Real time SMS delivery for vehicle breakdown and maintenance
 - The service charge for providing the solution for vehicle tracking and monitoring based on an ICT platform for enabling Solid waste management in urban local bodies on per vehicle per month basis is **INR 1500**.

- The service charges for operation of ICT during the 1st year in all the smaller ULBs where the number of vehicles is less than 100 will be paid in advance centrally from a single point in each state
- The project will roll out in two phases. In the 1st phase, roll out will be done in 75 cities for which the list is provided by MoUD.
- MTNL/BSNL will provide a help desk support (on toll free number basis) for providing support to the ULBs.
- The ULB can opt for mobile application for ULB staff and citizens portal by paying additional charges.
- Till this system becomes operational, ULBs should maintain data manually in log books

Finance

- If your ULB is in the list of selected 100 **smart cities**, they can avail the funds for ICT based solutions under the Smart city plan.
- If your ULB is not in the list of Smart Cities, you can use the basic untied funds transferred to the cities through the **14th finance commission**.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

GPS enabled tracking of vehicles in Pimpri Chinchwad Municipal Corporation, Maharashtra

Pimpri Chinchwad Municipal Corporation (PCMC) deployed GPS based vehicle tracking system due to low capital cost of deployment and ease of operation. PCMC's step by step implementation strategy included:

- Step 1: Selection of technology partner
- Step 2: Installation of GPS system on waste collection vehicles
- Step 3: Geo Coding of bins across the city
- Step 4: Development of web based application and public information system
- Step 5: Stabilization of system and training to stake holders

Geo coding (geo coordinates) of the all the bins (around 1279) across the city were marked on the GIS mapping database and real time vehicle movement (GPS location of the vehicle on which a GPS device was installed) were monitored against them as per route. Overall city wide 75 different routes were identified and geo coded on GIS map. An intelligence algorithm/logic was developed in web based application to flag the bin as "Served", when a waste collector vehicle stops near a bin within a specified distance for a sufficient period. Using this data, a web based application was developed to monitor the waste pick up performance by PCMC officials and an extended status view was also developed on the PCMC website for citizen to view the status (Bin served or not served) online for their neighbourhood. Source http://www.jnnurm.nic.in/wp-content/uploads/2011/01/BP_SWM.pdf

<http://goo.gl/GcMgoS>

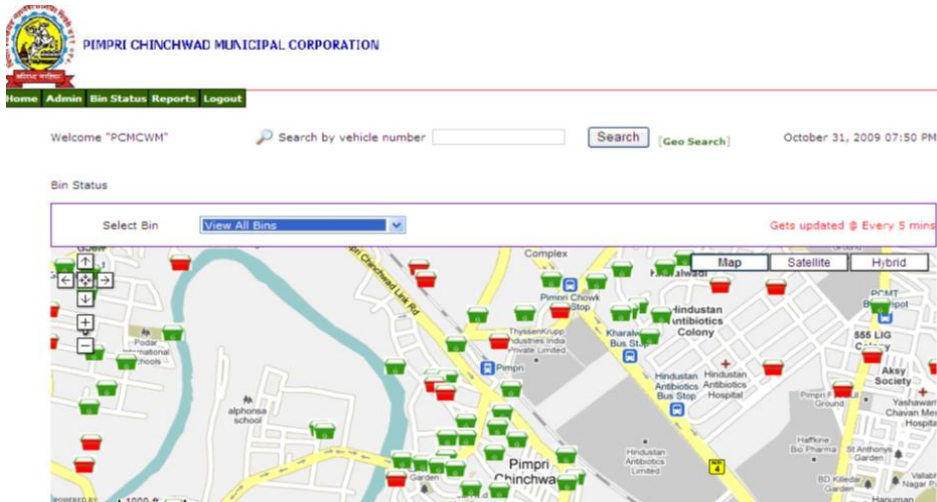


Figure 12: GPS based tracking of bins

Source: Best Practices in e-Governance, Ministry of Urban Development

Use of IT for improved monitoring of waste collection system, East Delhi Municipal Corporation

In order to ensure effective monitoring of solid waste in the area, the East Delhi Municipal Corporation (EDMC) launched 'E-municipality solid waste disposal monitoring system'. The system enables online monitoring of all vehicles that are used to carry municipal waste through GPS and radio frequency identification devices. The entire garbage collection and disposal mechanism in East Delhi areas is placed under electronic surveillance. The RFID and VTS devices are being installed in all auto-tippers and garbage trucks to improve efficiency and plug the loopholes.

The electronic devices are linked to an 'e-municipal solid waste disposal system', which takes pictures of the vehicles at the garbage station and landfill site, when they pick up and dispose off the waste. At the end of each day, the GPS will be used to submit a daily route mapping report on the areas cleaned.

When the truck drivers reach the *dhalao* to collect the waste, they scan the RF tags of trucks and loaders on their own using the Personal Digital Assistant (PDA) device installed in the loaders. They then load the waste in trucks and take a picture of the clean *dhalao* which is immediately uploaded on the server.

This initiative has been outsourced to a private organisation. The company has installed VTS devices in 233 auto-tippers, RF tags in 81 secondary vehicles such as trucks, loaders etc. and RF tags at 278 *dhalao*s. After four years, the project will be handed over to the EDMC.

Watch the E-course tutorial on GPS based monitoring of SWM in EDMC: <http://goo.gl/qf2GJG>

1.2. MUNICIPAL SOLID WASTE - PROCESSING & DISPOSAL (TOTAL MARKS 180)

This section has parameters pertaining to the processing and disposal facilities for MSW available and functional with the ULBs. This section has 4 parameters and the maximum marks that the ULB can score are 180.

1.2.1. MODE OF DISPOSING MSW



PURPOSE AND DEFINITION

This parameter assesses whether the land fill site of the ULB is scientific in nature or whether remediation and scientific capping is being practiced or whether the city is dumping waste in an unplanned manner.

Sanitary land filling means the final and safe disposal of residual solid waste and inert wastes on land in a facility designed with protective measures against pollution of ground water, surface water and fugitive air dust, wind-blown litter, bad odour, fire hazard, animal menace, bird menace, pests or rodents, greenhouse gas emissions, persistent organic pollutants slope instability and erosion (SWM Rules, 2016)



GRADATION OF MARKS FOR THIS PARAMETER

Is landfilling done in a scientific way?

Recommended land filling process followed (Remediation and scientific capping being practiced)	36
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Unplanned dumping	0
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SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should submit the following documents as evidence:

- Evidence (in DPR of any other document) regarding scientific management (safe containment and leachate treatment and gas capture and treatment, etc.) of landfill in place and functional



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

For ULBs that do not have such a system in place;

- Should in consultation with the state government identify land for landfill site
- Clusters of ULBs with a population of below 0.5 million population could set up a common sanitary landfill facility.

Procurement

- For remediation of existing dumpsite, if ULBs have not initiated any process they should refer to the model RFP for closure and capping of existing dumpsite given in Annex N of the Annex Book.

Finance

- ULBs can avail 20 percent VGF/grant per project for SWM projects from the GoI. Central government assistance available under SBM for Municipal SWM Projects for each city/ town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Closure of Gorai dumping ground – an urban rejuvenation project, Mumbai

As the municipal solid waste accumulated at the Gorai site reached its capacity, a scientific closure strategy was designed in accordance with the MSW Management and Handling (M&H) Rules 2000. A detailed design for levelling and reforming the existing heap of MSW and incorporating environmental mitigation measure including laying of impermeable surface cover, sheet piling to secure the site against tidal inundation, landfill gas collection and leachate collection and treatment system, development of a green belt and landscaping including a green cover over the dumpsite was drafted.

This is one of the first initiatives in the country to scientifically close a waste dumpsite and reclaim the land for other uses. The project marked improvement in the quality of life of people in Gorai by providing 19 hectares of green space in Mumbai. There is improvement in environment quality with elimination of foul odour in the atmosphere after 3 decades. Watch the e-course tutorial on this case study: <http://goo.gl/WRn5vR>

Before



After



Figure 13: Before and after pictures of Gorai landfill
Source: Municipal Corporation of Greater Mumbai (MCGM)

1.2.2. AVAILABILITY OF MECHANICAL SECONDARY SEGREGATION OF MSW BEFORE PROCESSING/TREATMENT



PURPOSE AND DEFINITION

This parameter is to assess whether the waste collected is being subjected to secondary segregation before processing and treatment. The gradation of marks is based on the presence or absence of such a system.

Secondary segregation can be undertaken through a combination of manual and mechanized system. This could be a system where the workers separate the waste into different streams on a conveyor belt. The segregation can also happen in a totally mechanized system where the interaction of waste with humans is limited.



GRADATION OF MARKS FOR THIS PARAMETER

Are technologies used for segregation before processing for treatment

Yes	45
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following document as evidence:

- Copy of DPR or any other report of the waste segregation system available on-site
- Copy of contract if the work is outsourced to an external agency
- Photographs of the system in place



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- For ULBs which have a strong presence of waste pickers in the city, they should tap the potential of such resource by formalizing them through provision of identity cards, medical insurance and other equipment.
- In the absence of such a system, the ULB can enter into PPP for setting up a processing unit with a segregation system. A model RFP for identifying an agency is presented in Annex G of the Annex Book.

Finance

- ULBs can avail 20 percent VGF/grant per project for SWM projects from the GoI. Central government assistance available under SBM for Municipal SWM Projects for each city/ town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)
- ULBs can also use the untied grants received under the 14th finance commission for projects related to SWM.

1.2.3. EXTENT OF WASTE RECOVERY



PURPOSE AND DEFINITION

The purpose of this parameter is to ascertain the percentage of the total waste that is disposed at the landfill after treatment. The ULB gets full marks if less than 20 percent of the total waste generated is sent to the landfill.

(Total waste dumped in the functional land fill (this does not include waste that is dumped at a dumpsite in an unplanned manner) / Total waste generation of the city)*100



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of waste going to the landfill

<20% going for landfill	45
Above 20% going for landfill	29



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

If a ULB has a functional landfill site and undertakes some level of treatment, then it should provide the following documents as evidence:

- Report and operational details of the waste treatment plant
- Copy of the record book giving the details of the total waste reaching the landfill for dumping.
- Copy of report/ any other document that gives the estimated waste generated in the city



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

For ULBs which do not have a treatment facility in place,

- Should first commission a study on the quantity and the composition of waste in the city in order to select the appropriate technology. Larger cities can opt for decentralised systems while the smaller ones can opt for centralized processing units. ULBs could commission the study through the list of empanelled institutes given by MoUD presented in Annex O of the Annex Book. ULBs can refer to the Report of the Technology Advisory group on SWM, 2005 for selection of appropriate technologies. The report is presented in Annex P of the Annex Book. For waste to energy technologies, ULBs can refer to the Report of the Task force on Waste to Energy, 2014 attached in Annex Q of the Annex Book.
- In order to expedite the process of appointing an agency for setting up a processing/treatment plant, the ULBs can refer to the
 - a. Model RFP for waste to energy and disposal facility given in Annex R of the Annex Book.

b. Selection of Development Partners for setting up Municipal Solid Waste (MSW) to Energy Processing Facility in Andhra Pradesh given in Annex S of the Annex Book.

- A suggested list of waste to energy technology providers is presented in Annex T of the Annex Book.
- A list of empanelled transaction advisors to facilitate the agreements between urban local bodies and the private agencies is given in Annex U of the Annex Book.

Finance

- ULBs can avail 20 percent VGF/grant per project for SWM projects from the GoI under SBM. Central government assistance available under SBM for Municipal SWM Projects for each city/town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)
- ULBs can also use the untied grants received under the 14th finance commission for projects related to SWM.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Decentralised waste management, zero waste wards, Pune

Pune Municipal Corporation along with Janwani, SWaCH co-operative and other organization initiated zero garbage ward in the city. A Zero Garbage Ward is one wherein entire waste generated by inhabitants can be processed/ disposed of locally thereby reducing the stress on dumping sites and also minimizing transportation costs. The Katraj ward with nearly 12,000 establishments and a blend of high and low income – residential and commercial units, consisting of high income apartment complexes, individual bungalows, housing societies, industries, factories, shops, slums as well as a rural area was chosen for the first pilot in the city. Strong awareness generation campaign, poster exhibition and puppet shows were organized on segregation of dry and wet waste. Cummins India, a corporate entity, purchased sorting bins for the 11000 households and businesses in the ward. Today 7,500 establishments in the ward give 9 tons of waste daily to waste pickers. Nearly 3 tons of wet waste segregated by waste pickers is sent to biogas plants. The burning and dumping of waste on open plots and public spaces has also reduced considerably. Dry waste collection has also increased as a result of these efforts and a lot more dry waste is now being sold for recycling. However, a substantial amount of waste consisting of dry non-saleable, low value waste and mixed waste still has to be sent to the landfill.



Figure 13: Decentralized composting system operated by SWaCH in co-operation with Pune Municipal Corporation
Source: Urban Management Center

1.2.4. EFFICIENCY OF PROCESSING PLANTS



PURPOSE AND DEFINITION

This parameter examines the efficiency of operations of scale of the processing plant and captures number of hours for which the processing facility is functional. This parameter gives an idea of the operating capacity.

(Total number of operational hours of each processing plant in a month/Total number of days in the month)



GRADATION OF MARKS FOR THIS PARAMETER

Number of hours the processing plant was operational per day

Running for 8 hours/day and above	54
Running from 4-7 hours/day	41
Running <4 hours	32



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs should provide the following document as evidence:

- Copy of the DPR prepared for the processing plant clearly mentioning the number of hours of operation of the plant
- Copy of the waste treatment log processed at the plant with the number of hours the plant was operational in each month



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

ULBs that do not have processing plants in place should,

- ULBs should identify a suitable technology for processing based on the waste quantity, waste composition and the size of the city. The ULBs can refer to the Report of the Technology Advisory group on SWM, 2005 for selection of appropriate technologies. The report is presented in Annex P of the Annex Book. For waste to energy technologies, the ULBs can refer to the Report of the Task force on Waste to Energy, 2014 attached in Annex Q of the Annex Book.
- If the ULB does not have the in-house capacity, you can install the waste processing plant by entering into PPP agreement. A list of empanelled transaction advisors to facilitate the agreements between urban local bodies and the private agencies is given in Annex R of the Annex Book.

ULBs that have a processing plant in place but not operating at its full capacity should,

- Review the operator's efficiency and take necessary actions to ensure that the plant works to its full designed capacity.

Finance

- ULBs can avail 20 percent VGF/grant per project for SWM projects under the Swachh Bharat Mission. Central government assistance available under SBM for Municipal SWM Projects for each city/ town is INR 240 per capita for present population. (Ref: D.O. No. Q-15014/2/2009-CPHEEO)



PUBLIC AND COMMUNITY TOILETS

1.3. PUBLIC & COMMUNITY TOILETS (TOTAL MARKS 135)

This section deals with parameters related to public and community toilet construction and maintenance. The total number of parameters is 11 and the maximum marks that a ULB can score are 135.

1.3.1. AVAILABILITY OF AN ASSESSMENT FOR PROVISIONING OF PUBLIC/COMMUNITY TOILETS



PURPOSE AND DEFINITION

The purpose of this parameter is to examine whether the ULB has conducted a baseline survey to estimate the requirement of public and community toilets in the city.

As per the Swachh Bharat Guidelines,

- All commercial areas should have a public toilet within a distance of 1 kilometre
- All occupants of a slum or slum-like settlement that do not have space to construct toilet, have access to a community toilet within a distance of 500 meters. (Letter ref no: D. O. No. Z-11021/04/2016-SBM-II)



GRADATION OF MARKS FOR THIS PARAMETER

Has a study been undertaken for the provision of PT and CT?

Yes	9
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs should provide the following document as evidence for the study conducted,

- Copy of the report/assessment prepared based on the study or survey conducted



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

Procurement

- ULBs can conduct such an assessment through their own sanitation staff or they can outsource or commission such a study. ULBs should refer to the list of empanelled agencies given by MoUD while contracting the work. (See Annex D of the Annex Book)

Finance

- ULBs can approach international agencies from the list of Swachh Bharat Development Partners Alliance for the country to avail technical and financial assistance. To see the complete list, see Annex V of the Annex Book.

- For more details on planning, construction and O&M of community and public toilets, watch e-course tutorials on the Swachh Bharat Portal: <http://goo.gl/mT7seI> and <http://goo.gl/asQ9Vvk>



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Sanitation Mapping, Visakhapatnam

A sanitation mapping exercise in Greater Visakhapatnam has been initiated with the support of WSUP Advisory and Urban Management Centre. The sanitation mapping exercise includes the following key components which will help the Greater Visakhapatnam Municipal Corporation (GVMC) to identify problem areas and identify suitable locations for locating public and community toilets:

- Collection and compilation of existing relevant secondary geographic data held by the GVMC and other administrations, assessing its accuracy, reliability (e.g. source, collection methodology)
- Designing a Geographic Information System (GIS) database and Knowledge Management database that can be used and completed by the GVMC to implement the SVM.
- Collection and compilation of primary data on all slums/ poverty pockets which are currently practicing open defecation (OD), including mapping of all OD sites and their catchment area and input this data in the GIS database.
- Collection and compilation of primary data on all community and public toilets in Greater Visakhapatnam, including their location, design, functionality, hygiene and management system, and input this data in the GIS database
- Collection and compilation of data (mix of secondary and primary data) on schools, colleges, markets and other institutions in the city including their location, functionality, hygiene and management system, and input this data in the GIS database.



Figure 14: Mapping conducted in GVMC for situation assessment of existing PT/CT; Source: Urban Management Centre (UMC), Water and Sanitation for Urban Poor (WSUP)

1.3.2. EFFICIENCY IN CONSTRUCTION OF PUBLIC TOILETS



PURPOSE AND DEFINITION

The parameter is to assess the variance between the targets of the city for construction of public toilets (PT) and the actual number of toilets that have been constructed. This would give an idea of the efficiency in construction of PTs. The higher the gap, lesser the marks that will be scored by the ULB.

(Actual number of PTs constructed (number which have received the completion certificate)/city target for construction of PTs)*100



GRADATION OF MARKS FOR THIS PARAMETER

Percentage gap between actual numbers of toilets constructed against the city targets

No gap	23
1-25%	16
26-50%	11
51-75%	5
>75%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs should provide the following documents as evidence,

- Copy of the city target for public toilets extracted from the SBM portal
- Evidence of total no. of public toilets constructed with their completion certificates



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- To maximise the score, ULBs should ensure that the construction of public toilets in their city is expedited and meets the target for the same. The ULB should also ensure that their performance levels are updated regularly on the SBM portal.
- A guide to updating the portal is available on the SBMs e-course website: Course 801: Instruction video for updating activities in SBM portal <http://goo.gl/cVwuZe>

Procurement

- ULBs can also install portable toilets at public places. In order to expedite the process of procurement, the ULBs can refer to the rate contracts issued by DGS&D for their respective states. A sample of the rate contract can be viewed in Annex W of the Annex Book.

Finance

- The central government does not provide any incentive support for construction of public toilets under SBM. However, ULBs can access funding from respective state governments if there is provision from state governments.
- Identification of land for PT should be done by the state or the ULB.
- Construction of the PT could either be done by the ULB or through a PPP agreement. A sample RFP brought out by the Greater Visakhapatnam Municipal Corporation (GVMC) for construction of public toilets through PPP is in Annex X of the Annex Book.
- A sample RFP brought out by the New Delhi Municipal Council for construction of public conveniences through Design, Built, Operate and Transfer mechanism is given in Annex Y of the Annex Book.
- Additional funding support through advertising rights could also be used for construction of public toilets.

For more details on planning, construction and O&M of public toilets, watch e-course tutorials: <http://goo.gl/asQ9Vk>



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Namma Toilets in Tamil Nadu

Namma Toilet is an initiative by the Commissionerate of Municipal Administration, Tamil Nadu along with participation of Urbane Industries Ltd to eradicate open defecation in the State. The first installation was in Tambaram a suburb of Chennai in a highly crowded bus terminus in February 2013. Everyday about 1200 people use four toilets installed there and even now it is like a new installation after two years and five months. Seeing the success in Tambaram it was decided by the government to install in a religious place which is also a tourist spot and Srirangam in Trichy was selected. The installation was made in May 2013 and here also it was a great success. After this to further see the performance of the product in a popular tourist spot Ooty was chosen and installation was done at three popular places in September 2013. Here also it was a success and finally it was decided in November 2013 that Namma Toilet will be installed all over Tamil Nadu.

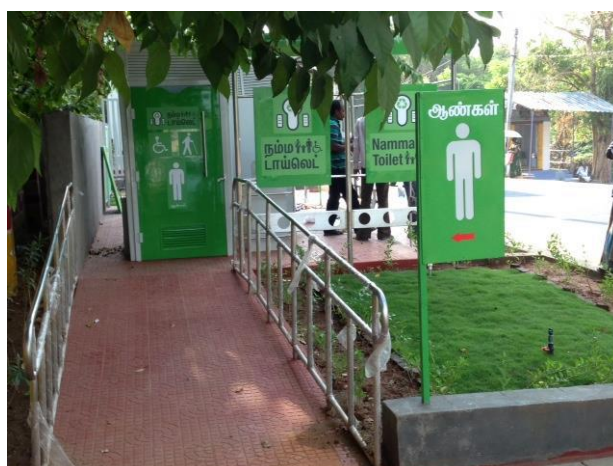


Figure 15: Namma Toilet for Physically challenged; Source: Urbane Industries Limited, Chennai

1.3.3. EFFICIENCY OF CONSTRUCTION OF COMMUNITY TOILETS



PURPOSE AND DEFINITION

This parameter is to assess the variance between the targets given to the city and the actual number of community toilets that were constructed. This would give an idea of the efficiency in construction of community toilets (CTs). The higher the gap, lesser the marks that will be scored by the ULB.

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. (Swachh Bharat Mission Guidelines).

(Actual number of CTs constructed (received the completion certificate)/the city targets for construction of CTs)*100



GRADATION OF MARKS FOR THIS PARAMETER

Percentage gap between the actual number of CTs constructed against the city targets

No gap	11
1-25%	8
26-50%	5
51-75%	3
>75%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence,

- Copy of the city target for community toilets extracted from SBM portal
- Evidence of total number of community toilets constructed with their completion certificates



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- To maximise score, ULBs should ensure that the construction of community toilets in their city is expedited and meets the target for the same. ULBs could refer to the guidelines for PT and CT issued by Swachh Andhra Corporation, Government of Andhra Pradesh. These guidelines can be accessed from (See Annex Z of the Annex Book)
- The ULB should also ensure that their performance levels are updated regularly on the SBM portal. A guide to updating the portal is available on the SBMs e-course website: Course 801: Instruction video for updating activities in SBM portal <http://goo.gl/cVwuZe>

Finance

- ULBs can avail funding under SBM.
- Central government incentive for the construction of community toilets will be in the form of 40 percent Grant/VGF, for each community toilet block constructed.
- States will contribute a minimum of 25% funds towards community toilet projects to match 75% Central Share.
- For more details on planning, construction and O&M of community toilets, watch e-course tutorial: <http://goo.gl/mT7sel>

1.3.4. UPDATION OF DATA ON PUBLIC TOILETS ON SBM PORTAL



PURPOSE AND DEFINITION

This parameter is to examine whether the ULBs are updating the SBM portal regularly.

Regular updation means updation of toilets constructed by the ULB every 15 days

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. (Swachh Bharat Mission Guidelines)



GRADATION OF MARKS FOR THIS PARAMETER

Is the SBM portal updated with number of PTs constructed?

Yes	11
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence,

- List of public toilets constructed
- List of constructed public toilets uploaded on the SBM portal



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- ULB should ensure that their performance levels are updated regularly on the SBM portal.
- A guide to updating the portal is available on the SBMs e-course website: Course 801: Instruction video for updating activities in SBM portal <http://goo.gl/cVwuZe>
- The ULBs could also explore hiring an external agency for updating the SBM portal.

1.3.5. UPDATION OF DATA ON COMMUNITY TOILETS ON SBM PORTAL



PURPOSE AND DEFINITION

This parameter is to examine whether the ULBs are updating the SBM portal regularly

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. (Swachh Bharat Mission Guidelines).

Regular updation means updation of toilets constructed by the ULB every 15 days.



GRADATION OF MARKS FOR THIS PARAMETER

Is the SBM portal updated for the number of CTs constructed?

Yes	11
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence,

- List of community toilets constructed
- List of constructed community toilets uploaded on SBM portal



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- The ULB should also ensure that their performance levels are updated regularly on the SBM portal.
- A guide to updating the portal is available on the SBMs e-course website: Course 801: Instruction video for updating activities in SBM portal <http://goo.gl/cVwuZe>
- The ULBs could also explore hiring an external agency for updating the SBM portal.

1.3.6. MODE OF MAINTENANCE OF PUBLIC TOILETS



PURPOSE AND DEFINITION

This parameter is to assess the method of maintenance of public toilets by the ULB. The maximum marks are provided to ULB who maintains the PTs by contracting the work to third party/private contractor, followed by maintenance by the ULB employees.

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. (Swachh Bharat Mission Guidelines)



GRADATION OF MARKS FOR THIS PARAMETER

How are the public toilets maintained?

Maintenance by third party/private contractor	23
Maintenance by municipal employees	11
No maintenance	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence,

- Third party maintenance contracts
- Activity log for sanitary staff deployed for maintenance of public toilets



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- All new public toilets constructed under SBM should be built with a framework for their maintenance.
- ULB should ensure that all public toilets within its jurisdiction have some form of maintenance framework. For existing public toilets, this could either be done through a service contract to a private agency or by assigning dedicated ULB staff for their maintenance.
- A sample RFP and contract agreement for operations and maintenance of public toilets and allied amenities in West Bengal is presented in Annex AA of the Annex Book.
- ULBs can refer to the standard operation procedure for cleaning Public toilets by Urban Management Centre. This is presented in Annex AB of the Annex Book.

Procurement

- ULBs should maintain the PTs by entering into PPP agreement for maintenance. The contract with the private agency should clearly mention the user fees to be collected from the community. All the contracts for maintenance should be of minimum 5 years.

- A sample RFP brought out by the Greater Visakhapatnam Municipal Corporation (GVMC) for construction of public toilets through PPP which includes O&M is in Annex X of the Annex Book.
- A sample RFP brought out by the New Delhi Municipal Council for construction of public conveniences through Design, Built, Operate and Transfer mechanism is given in Annex Y of the Annex Book.

1.3.7. MODE OF MAINTENANCE OF COMMUNITY TOILETS



PURPOSE AND DEFINITION

This parameter is to assess the method of maintenance of community toilets (CTs) by the ULB. The maximum marks are for maintenance of community toilets by the community. Unless managed by the community, sustaining a capital infrastructure can become very challenging. Community members, if they use the facility, have far greater interest in timely maintenance operations than any other stakeholders.

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. (Swachh Bharat Mission Guidelines)



GRADATION OF MARKS FOR THIS PARAMETER

How is the maintenance of CTs undertaken?

Maintenance by Community	23
Maintenance by third party/private contractor	14
Maintenance by municipal employees	7
No maintenance	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence,

- Agreement/MOU with community for maintenance in place for all CTs
- Third party maintenance contract/ activity log for sanitary staff deployed for CT



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- ULBs should ensure that all existing community toilets in the city are maintained either by the community using the toilet, through a service contract or either through its staff.
- ULBs should engage with existing CBOs/ self-help groups for maintenance of the CT.
- For all new CTs constructed under SBM, these should be constructed with the participation of the community and their involvement even in maintenance.
- ULBs should enter into agreement with the community/CBO for maintenance of CTs. The CBOs would in turn appoint personnel as caretaker and cleaners and be responsible for collection of user charges, maintaining accounts and custody of cleansing material and equipment.
- All the contracts for maintenance should be of minimum 5 years.

- In places where there is tension between the community members, the work could be outsourced to a private contractor. The contract with the private agency should clearly mention the user fees to be collected from the community.
- ULBs could refer to the guidelines for PT and CT issued by the Swachh Andhra Corporation, Government of Andhra Pradesh. These guidelines can be viewed in Annex Z of the Annex Book.
- Watch the e-course tutorial on Pune's Toilets for All initiative of roping community members for maintenance of CTs. <http://swachhbharat.cloudapp.net/home/course/3?lessonid=00009>

Finance

- ULBs could use the untied grants under 14th FC for part funding of the O&M of these CTs. ULBs should allow the CBOs to levy user charges either on every use or family monthly charges for use of the CTs which could cover some of the costs of O&M.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

In 1999, Tiruchirappalli Municipal Corporation with support from Water Aid, an international NGO repaired 25 toilets. Women immediately started using these toilets paying 50 paise per visit. A recent study revealed reduction in medical expenditure by 88% per family. These repaired toilets were maintained by Self Help Groups (SHGs) created under tutelage of the NGO.

The toilets managed by SHGs were so clean that Trichy Corporation took a policy decision to hand over maintenance of all public toilets to them. The NGOs trained the user-groups of each toilet block to form SHGs and to run the toilets in a hygienic manner. Now a few of the most successful SHGs reportedly have bank balances crossing Rs. one lakh. Some have put up community centre buildings worth one to two lakhs for common purposes and most of them are advancing loans to members in need. Everyday about 20,000 slum dwellers in Trichi are visiting the community toilets and everyone is paying for this facility. Most of the toilets are kept open for 16 hours and a few remain open round the clock.



Figure 16: Community toilet managed by self-help groups in Trichy

Source: <http://arqhyam.org/focus-areas/improving-water-and-sanitation-in-urban-slums-in-trichy/>

1.3.8. EXTENT OF PUBLIC TOILETS CONNECTED TO SAFE WASTE WATER DISPOSAL SYSTEM



PURPOSE AND DEFINITION

The purpose of this parameter is to assess the percentage of public toilets (PTs) that are connected to a safe disposal system.

A safe disposal system means that either the PT is connected to a centralised conventional sewer network or an on-site sanitation system (twin pit/ septic tank connected to soak pit or small bore system or a bio-digester or to a validated sanitation technology).

To know more about the existing technology options and whether they are sanitary or not see the flash cards prepared by Urban Management Center, Ahmedabad (See Annex AC of the Annex Book)

(Number of PTs connected to safe on-site disposal system or sewerage/Total number of PTs in the city)*100



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of PTs connected to sewerage network/ safe on-site disposal system

100%	6
75-99%	5
50-74%	3
25-49%	2
<25%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence,

- List of total number of PTs,
- List of PTs connected to sewerage/ safe onsite disposal/ verification statement by Sanitary Inspector of the zone, **or**
- If the ULB has outsourced construction of PTs the copy of the agreement with operator outlining treatment and disposal option followed.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- ULBs should ensure that all existing public toilets be connected to a safe disposal system. ULBs should conduct a quick audit to ascertain such facilities are not connected to a safe disposal system and either connect it to the city's sewer system or a safe on-site system.
- All new PTs constructed under SBM should be compulsorily connected to a safe disposal system.

Finance

- If ULBs are part of the selected 500 ULBs under **AMRUT mission**, they can avail funds for extending their sewerage network or on-site system for disposal. Of the total annual budget proposed by the ULB, the Center will give 80 percent as project fund, 10 percent as incentive for reforms and 10 percent for administrative and O&M costs.
- If ULBs are part of selected 100 **Smart cities**, and a few of these PTs fall under their area based development projects, ULBs could avail funds for upgrading under area based development projects.
- ULBs can also utilise the untied basic grants received under the **14th Finance Commission** for constructing sewage network or on-site disposal system.

1.3.9. EXTENT OF COMMUNITY TOILETS CONNECTED TO SAFE WASTE WATER DISPOSAL SYSTEM



PURPOSE AND DEFINITION

The purpose of this parameter to assess the percentage of community toilets (CTs) that is connected to a safe disposal system.

A safe disposal system means that either the CT is connected to a centralised conventional sewer network or an on-site sanitation system (twin pit/ septic tank connected to soak pit or small bore system or a bio-digester or to a validated sanitation technology).

To know more about the existing technology options and whether they are sanitary or not see the flash cards prepared by Urban Management Centre, Ahmedabad (See Annex AC of the Annex Book)

(Number of CTs connected to safe on-site disposal system or sewerage/Total number of CTs in the city)*100



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of CTs connected to sewerage network/ safe on-site disposal system

100%	6
75-99%	5
50-74%	3
25-49%	2
<25%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The following documents should be provided by the ULB as evidence,

- List of total number of CTs, List of CTs connected to sewerage/ safe onsite disposal /along with verification Certification by Zonal Sanitary Inspector
- If ULBs have outsourced the construction of CTs, then copy of the agreement with operator outlining treatment and disposal option should be followed.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- ULBs should ensure that all existing community toilets be connected to a safe disposal system. ULBs should conduct a quick audit to ascertain such facilities that are not connected to a safe disposal system and either connect it to the city's sewer system or an on-site system.
- All new CTs constructed under SBM should be compulsorily connected to a safe disposal system.

Finance

- If ULBs are part of the selected 500 ULBs under **AMRUT mission**, they can avail funds for extending their sewerage network or on-site system for disposal. Of the total annual budget proposed by the ULB, the Center will give 80 percent as project fund, 10 percent as incentive for reforms and 10 percent for administrative and O&M costs.
- If ULBs are part of selected 100 **Smart cities**, and a few of these PTs fall under their area based development projects, ULBs could avail funds for up-gradation under area based development projects.
- ULBs can also utilise the untied basic grants received under the **14th Finance Commission** for constructing sewage network or on-site disposal system.

1.3.10. ICT BASED MONITORING OF PUBLIC TOILETS



PURPOSE AND DEFINITION

This parameter examines whether the ULB has established any mechanism/ tool for tracking the usage of Public toilets in the city. Such tracking could either be through use of ICT tools or through manual tracking. Higher marks are accorded to installing ICT based tracking system.

Information and Communication technology is defined as all devices, tools, content, resources, forums, and services, digital and those that can be converted into or delivered through digital forms. (Source: National Policy on Information and Communication Technology (ICT) In School Education, MHRD, 2012)

ICT based tools should enable citizens to locate nearby toilets and rate them on various parameters through a mobile app. For manual tracking, there should be a minimum of record book of users of the PT and feedback forms available at the attendant's desk along with a drop-box for putting in the feedback forms.



GRADATION OF MARKS FOR THIS PARAMETER

How is usage of PTs tracked?

Tracked by ICT/technology tools	6
Tracked by manual system	4
No tracking	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs should provide the following documents as evidence:

- Screenshot of the mobile app along with the downloadable link
- Copy of the manual log book of the users of the PT and aggregated number of users of all PTs across the city for last quarter
- Copy of the feedback forms submitted by the users (as sample)



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- For all existing and newly constructed public toilets, the ULB should put in place an ICT based or manual tracking system.
- At a minimum, ULBs should pass a circular to all operators of public toilets to maintain records of users and record any user grievances.
- The rating of each toilet should be reviewed regularly and necessary action should be taken to improve the rating.

- Develop a mobile application for citizens to find and rate toilets in their vicinity. ULBs can refer to the MoU between MoUD and Janaagraha Center for Citizenship and Democracy, Bangalore for developing various mobile and web applications targeted at citizens and municipal officials for implementation of SBM objectives. Janaagraha will build the mobile application in various language versions as per the requirements of the ULBs and ULBs will not be charged for these services. This MoU can be seen in Annex AD of the Annex Book.
- ULBs that do not find it feasible to build ICT tools could also provide feedback forms (OMR – optical mark recognition type) at each toilet. These forms should be collected weekly and scanned to maintain records digitally.
- Such user feedback can also be tied to the payment done to the private contractor (performance based payments).

Finance

- ULBs which are part of the **100 Smart cities** can avail funding under the Pan City development component for applying smart solutions to the existing toilet infrastructure. Accordingly, 5 percent of the funding received by the city under Smart City Mission can be used for deployment and generation of smart solutions.
- ULBs which are not part of the 100 Smart Cities, can utilize the basic untied funds received under the **14th FC Grants**.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

App to locate Public and Community toilets – Case of Delhi

Mobile App named – “Find X Toilet”, was launched as a part of Swachha Bharat initiative. This android app was developed by a young consultant and is used to locate the nearest toilet along with a provision to rate the facility. The application covers 1000 such facilities with features like categories of toilets, free, paid, malls/shopping complexes and petrol pumps. Currently this application is in use in Delhi. The user version is free to download and entails features to update toilet locations as well.

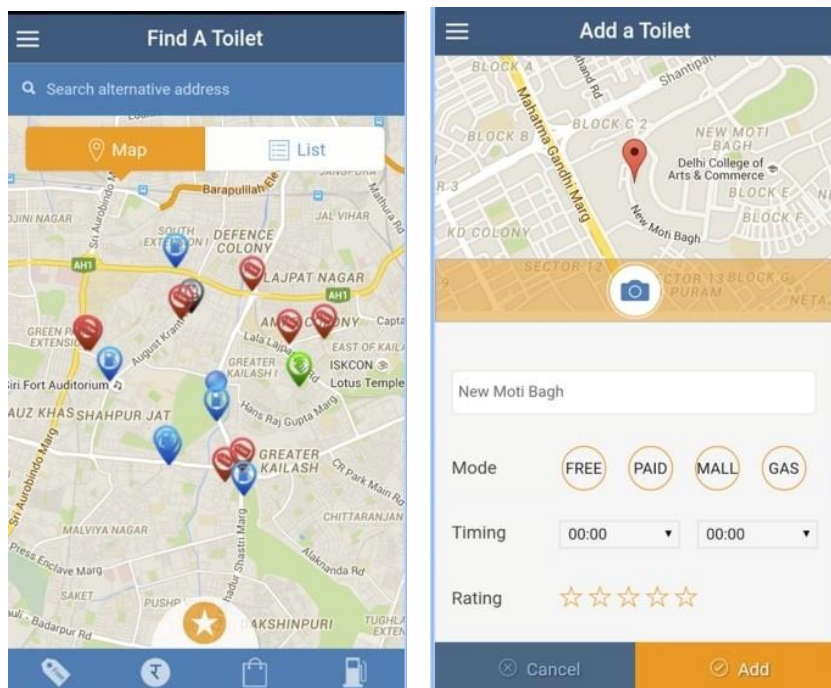


Figure 17: Snapshot of mobile App

Source: Source: Ivan Mehta (2016). *Desperate to Pee? This app will help you find the nearest toilet.* Posted 9th March 2016. HuffPost India

1.3.11. ICT BASED MONITORING OF COMMUNITY TOILETS



PURPOSE AND DEFINITION

This parameter examines whether there is a tool for tracking the usage of community toilets in the city. Such tracking could either be through use of ICT tools or through manual tracking. Higher marks are accorded to installing ICT based tracking system.

Information and Communication technology is defined as all devices, tools, content, resources, forums, and services, digital and those that can be converted into or delivered through digital forms. (Source: National Policy on Information and Communication Technology (ICT) In School Education, MHRD, 2012)

ICT based tools should enable citizens to locate nearby toilets and rate them on various parameters through a mobile app. For manual tracking, there should be a minimum of record book of users of the CT and feedback forms available at the attendant's desk along with a drop box for putting in the feedback forms.



GRADATION OF MARKS FOR THIS PARAMETER

How is usage of CTs tracked?

Tracked by ICT/technology tools	6
Tracked by manual system	4
No tracking	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence

- Screenshot of the mobile app along with the downloadable link
- Copy of the manual log book of the users of the CT and aggregated number of users of all PTs across the city for last quarter
- Copy of the feedback forms submitted by the users (as sample)



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- For all existing and newly constructed public toilets, the ULB should put in place an ICT based or manual tracking system.
- At a minimum, ULBs should pass a circular to all operators of community toilets to maintain records of users and record any grievances of the toilets.
- The ULBs should review of the rating of each toilet every week and necessary action should be taken to improve the rating.

- Develop a mobile application for citizens to find and rate toilets in their vicinity. ULBs can refer to the MoU which MoUD has with Janaagraha Center for Citizenship and Democracy, Bangalore for developing various mobile and web applications targeted at citizens and municipal officials for implementation of SBM objectives. Janaagraha will build the mobile application in various language versions as per the requirements of the ULBs and ULBs will not be charged for these services. This MOU can be seen in Annex AD of the Annex Book.
- ULBs that do not find it feasible to build ICT tools, can provide feedback forms (OMR –optical mark recognition type) at each toilet. These forms should be collected weekly and scanned to maintain records digitally.
- Such user feedback can also be tied to the payment done to the private contractor (performance based payments).

Finance

- ULBs which are part of the **100 Smart cities** can avail funding under the Pan City development component for applying smart solutions to the existing toilet infrastructure. Accordingly, 5 percent of the funding received by the city under Smart City Mission can be used for deployment and generation of Smart Solutions.
- ULBs which are not part of the 100 Smart Cities, can utilize the basic untied funds received under the **14th FC Grants**.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Refer to the case study given in the previous parameter.



INDIVIDUAL TOILETS

1.4. INDIVIDUAL TOILETS (TOTAL MARKS 135)

This section deals with the construction and maintenance of individual toilets. There are 6 parameters and ULBs can score a maximum of 135 marks.

1.4.1. UPDATION OF APPLICATIONS RECEIVED ON SBM PORTAL



PURPOSE AND DEFINITION

The parameter is for assessing whether the ULBs have updated the information regarding the number of applications for individual toilets that are received, on the SBM portal. ULBs should answer 'yes' only if they have updated the information to date.

Regular updation means updation of the number of applications received every 15 days.



GRADATION OF MARKS FOR THIS PARAMETER

Is the SBM portal updated with total number of applications received?

Yes	18
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs should provide the following documents as evidence:

- List of applications for IHHL,
- List of applications uploaded on SBM portal



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- To maximise score, ULBs should ensure that their performance levels of receipt of applications for individual toilets are updated regularly on the SBM portal.
- A guide to updating the portal is available on the SBMs e-course website: Course 801: Instruction video for updating activities in SBM portal <http://goo.gl/cVwuZe>
- ULBs could also outsource entry of data on SBM portal to ensure regular updation.

1.4.2. UPDATION OF APPLICATIONS VERIFIED ON SBM PORTAL



PURPOSE AND DEFINITION

The parameter is for assessing whether the ULBs have updated the information regarding the number of application for individual toilets verified, on the SBM portal. ULBs should answer 'yes' only if they have updated the information to date.

Regular updation means updation of the number of applications received every 15 days.



GRADATION OF MARKS FOR THIS PARAMETER

Is the SBM portal updated with the total number of applications verified?

Yes	18
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence:

- List of applications verified,
- List of applications verified and updated on the SBM portal



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- To maximise score, ULBs should ensure that their performance levels of verification of applications for individual toilets are updated regularly on the SBM portal.
- A guide to updating the portal is available on the SBMs e-course website: Course 801: Instruction video for updating activities in SBM portal <http://goo.gl/cVwuZe>
- ULBs could also outsource entry of data on SBM portal to ensure regular updation.

1.4.3. UPDATION OF APPLICATIONS APPROVED ON SBM PORTAL



PURPOSE AND DEFINITION

The parameter is for assessing whether the ULBs have updated the information regarding the number of application for individual toilets approved, on the SBM portal. ULBs should answer 'yes' only if they have updated the information to date.

Regular updation means updation of the number of applications received every 15 days.



GRADATION OF MARKS FOR THIS PARAMETER

Is the SBM portal updated with the total number of applications approved?

Yes	18
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence:

- List of applications approved,
- List of applications approved and also updated on the SBM portal



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- To maximise score, ULBs should ensure that their performance levels of approved applications for individual toilets are updated regularly on the SBM portal.
- A guide to updating the portal is available on the SBMs e-course website: Course 801: Instruction video for updating activities in SBM portal <http://goo.gl/cVwuZe>
- ULBs could also outsource entry of data on SBM portal to ensure regular updation.

1.4.4. UPDATION OF TOILETS CONSTRUCTED ON SBM PORTAL



PURPOSE AND DEFINITION

The parameter is for assessing whether the ULBs have updated the information regarding the photographs for individual toilets that have been constructed, on the SBM portal. ULBs should answer 'yes' only if they have updated the information to date.

Regular updation means updation of the number of applications received every 15 days.



GRADATION OF MARKS FOR THIS PARAMETER

Is the SBM portal updated with the photographs of constructed IHHLs?

Yes	18
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence:

- List of approved and completed IHHL
- List of completed toilets uploaded on SBM portal with photographs



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- To maximise score, ULBs should ensure that their performance levels of construction of individual toilets along with their photographs are updated regularly on the SBM portal.
- A guide to updating the portal is available on the SBMs e-course website: Course 801:Instruction video for updating activities in SBM portal <http://goo.gl/cVwuZe>
- ULBs could also outsource entry of data on SBM portal to ensure regular updation.

1.4.5. EFFICIENCY IN SANCTIONING OF CONSTRUCTION OF INDIVIDUAL TOILETS



PURPOSE AND DEFINITION

This parameter assesses the gap between the number of applications received for IHHL and the applications sanctioned amongst them. This parameter assesses efficiency of the ULB in sanctioning toilet construction in their city.

(Number of IHHL approved/Number of IHHL sanctioned)*100



GRADATION OF MARKS FOR THIS PARAMETER

Percentage gap of individual toilet applications approved against the ones sanctioned

No gap	32
1-25%	24
26-50%	16
51-75%	8
>75%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence:

- List of applications for IHHL,
- List of sanctioned applications for IHHL



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- To maximise score, ULBs should ensure that they have a robust and efficient mechanism for sanctioning of individual toilets in their city.
- Typically, the process between receipts of application and sanctioning involves:
 - a. Scrutiny by engineer/sanitary inspector
 - b. Approval by engineering department
 - c. Site visit by engineer/sanitary inspector to verify availability of land
 - d. If land is available, ULB issues an approval order
- ULB should ensure that these steps be undertaken as efficiently as possible and for which, they could devolve powers to various zonal officials.

1.4.6. EFFICIENCY IN CONSTRUCTION OF INDIVIDUAL TOILETS



PURPOSE AND DEFINITION

This parameter to assess the difference between the number of toilets constructed against the targets given by the state. This parameter assesses efficiency of the ULB in toilet construction in their city.

(Number of IHHL constructed/Targets given by the state)*100



GRADATION OF MARKS FOR THIS PARAMETER

Percentage gap of IHHL constructed against the state targets

No gap	31
1-25%	24
26-50%	16
51-75%	8
>75%	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs should provide the following documents as evidence:

- Target as per SBM portal/ State Notification on targets
- List of total number of IHHL applications against which final disbursement made



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- To maximise score, ULBs should ensure that they have a robust and efficient mechanism for construction of individual toilets in their city.
- Typically, the process between sanction of toilet construction and actual construction involves:
 - Construction of IHHL by beneficiary or led by NGO/contractor
 - Procuring raw material and engaging masons
 - Construction as per various stages and updation of geo-tagged photographs for release of payments on instalment basis
- To maximise score, ULBs should ensure that the construction of individual toilets is expedited and meets the target for the same.
- The Government of Andhra Pradesh has issued guidelines for construction of Individual Household toilets (IHTs) through Slum Level Federations (See Annex AE of the Annex Book).
- Watch the e-course tutorial on Pune's "Toilets for All" initiative of constructing individual toilets across Pune. <http://swachhbharat.cloudapp.net/home/course/3?lessonid=00009>



STRATEGY FOR ODF AND SOLID WASTE MANAGEMENT

1.5. STRATEGY FOR ODF AND SWM (TOTAL MARKS 43)

This section deals with parameters related to strategy for open defecation free cities and strategy for maintenance and construction of public and community toilets. There are 8 parameters in this section and the maximum that any ULB can score is 43.

1.5.1. PERCENTAGE OF WARDS DECLARED ODF



PURPOSE AND DEFINITION

The purpose of this parameter is to assess the percentage of wards in the city that have been declared as Open Defecation Free (ODF). This is an outcome of several of the components covered in the earlier parameters viz.- construction of individual/community/public toilets.

(Number of wards* that have been declared as ODF as per the SBM portal/ Total number of wards in the ULB)*100

*Wards means election wards



GRADATION OF MARKS FOR THIS PARAMETER

Percentage of wards that are declared ODF

>75% Wards are ODF	10
Between 51-75% wards are ODF	7
Between 25-50% wards are ODF	4
Below <25% wards are ODF	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs that have declared any ward as ODF should provide the following documents, at a minimum, as evidence:

- All documents as per the protocol given by MoUD (self-declaration of ULB along with declaration from schools and self-help groups; copies of newspaper notices; TPI report, minutes of meetings of ward committees)



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

It is difficult for an entire ULB to be declared free of open defecation and hence ULBs should initiate such a process by wards. ULBs should ensure that all households in the wards have access to either an individual toilet or to a community toilet within 500 mt. from their settlement. All commercial areas in the wards should have access to a public toilet within a distance of 1 km.

The ULBs should at a minimum follow the protocol of MOUD for declaring ODF wards:

- All wards in the city submit a self-declaration to the city corporation

- Every school in the ward gives a self-declaration that all students enrolled in the school have access to and are routinely using toilets at schools and at home.
- Every self-help group active in the ward gives a declaration that all residents of the ward have access to and are routinely using toilets at homes.
- Once all the wards have submitted the self-declaration to the city administration, the city administration declares a preliminary resolution declaring the ward to be ODF and makes a suitable public announcement.
- Following which, public objections/ feedback may be invited, within a 15 day timeline. If no objections are received, a final resolution is adopted by the city municipal administration.
- The formats as provided by Swachh Andhra Corporation, Govt. of Andhra Pradesh could be referred (See Annex AF of the Annex Book).
- On receipt of the resolution of the state, the state may ensure the claim of the city through an appropriate third party verification process before formally according the cities status to ODF.
- The data for city level declaration of ODF should be submitted as per the format given in the following link:
http://swachhbharaturban.gov.in/ULBLevel_ODF.aspx?id=7fc42ef3e787eb14e393d101a2e3198d
- The data for ward level declaration of ODF should be submitted as per the format given in the following link:
http://swachhbharaturban.gov.in/Wardlevel_ODF.aspx?id=7fc42ef3e787eb14e393d101a2e3198d

1.5.2. STATUS OF THE SWACHH CITY PLAN/DPR



PURPOSE AND DEFINITION

This parameter traces the status of the ULB's Swachh City Plan/DPR. The gradation of marks is based on whether the ULB's plan has been prepared, approved by the state, updated the plan on the portal and whether it is implemented. ULBs that have prepared, approved, updated and implemented the plan get full marks.

The Swachh City Plan/DPR needs to be prepared by all ULBs as per the template provided by MOUD (See Annex B of the Annex Book).



GRADATION OF MARKS FOR THIS PARAMETER

What is the status of the Swachh City Plan?

Prepared, approved, updated on portal and being implemented	5
Prepared and approved	3
Prepared but not approved	2
Not prepared	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs should provide the following documents as evidence:

- Copy of Swachh City Plan(SCP)/DPR,
- Copy of the approval for SCP/DPR,
- Copy of the implementation activity list as per SCP/DPR timelines



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

To maximise the score, ULBs need to ensure that their Swachh city plan is prepared, approved and has begun implementation.

Procurement

- ULBs can prepare the Swachh City Plan themselves by filing the City Sanitation Plan Template given by MoUD (See Annex B of the Annex Book).
- ULBs could also hire a consultant from the list of empanelled agencies approved by MoUD (See Annex C of the Annex Book).

Finance

- The ULBs should prepare their Swachh city plans in consultation with the state government. 100 percent cost reimbursement for preparing the DPR will be done by the GoI as per unit cost and norms set up by the National Advisory and Review Committee (NARC). (Ref: Swachh Bharat Mission Guidelines)

1.5.3. AVAILABILITY OF A STRATEGY TO CURB OPEN DEFECATION/URINATION/LITTERING IN THE CITY



PURPOSE AND DEFINITION

The parameter assesses regulatory and penal measures put in place by the ULB to check open defecation/urination/littering. The gradation of marks is such that the ULBs which have a strategy in place get full marks, followed by the ULBs which have identified the spots for OD/urination/littering.

Open defecation means the practice whereby people go out in fields, bushes, forest, open bodies of water or other open spaces rather than using the toilet. (Source: Urban Development Department, Government of Maharashtra, 2016)

Strategies could include regulatory, penal or incentive mechanisms to curb practice of open defecation and could range from implementing fines, incentives, deploying home guards at identified OD spots, etc.



GRADATION OF MARKS FOR THIS PARAMETER

Is there a strategy to curb OD/littering/urination?

City has a strategy in place to curb OD in areas prone to OD	8
City has identified areas prone to OD but no strategy in place to curb OD in prone areas	4
City has not identified areas prone to OD	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence,

- Copy of the ODF plan/Survey done with ODF prone areas marked,
- Copy of any strategy document for ODF/ copy of bye-laws/ fines on OD/littering/ any office circular or announcement stating initiatives taken by the ULB



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

Once the ULB has identified OD hotspots in their jurisdictions and after having ensured access to all residents to individual household level/community toilet and public toilets in commercial areas, ULBs need to have a strategy in place to curb practice of open defecation and to sustain the ODF status.

- The strategy can be in the form of levying spot fines, deploying home guards at OD spots or having an incentive mechanism. In order to levy fines, ULBs will have to prepare public health bye-laws that has a schedule of fines for various offenses. A copy of public health bye-laws of Ahmedabad Municipal Corporation can be viewed in Annex AG of the Annex Book.
- The circular from MoUD for spot fines is presented in Annex AH of the Annex Book
- ULBs should engage self-help groups as community watch dogs and for behaviour change.
- ULBs could incentivise the use of toilets like in the case of Ahmedabad, wherein the Municipal Corporation incentivised the use of community toilets by children by giving them

chocolates. (watch e-course on ODF strategy for Ahmedabad
<http://swachhbharat.cloudapp.net/home/course/37?lessonid=00001094>)

Finance

- ULBs can approach international agencies from the list of Swachh Bharat Development partners' alliance for the country like BMFG, WSP, UNICEF, USAID, ADB, JICA, and GIZ. To view the complete list see Annex V of the Annex Book.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Community led monitoring of OD in Visakhapatnam, A.P.

The Greater Visakhapatnam Municipal Corporation with technical support of WSUP Advisory has initiated a *Sadhimpu* Campaign. 883 women self-help groups and slum level federations have been designated to do surveillance of open defecation in their respective areas.

The women led *Sadhimpu* Campaign visits the OD hot spots and interact with the surrounding habitations practicing OD and inform not to practice OD. *Sadhimpu* teams undertake reconnaissance visits during morning hours along with Swachhgrahis or ODF CC between 5- 8 am. Through this, the city has already curbed OD in 24 identified spots.



Figure 18: Women led *Sadhimpu* campaign on community surveillance of open defecation behavior in Visakhapatnam.
Source: Urban Management Center (UMC) and Water and Sanitation for Urban Poor (WSUP)(2016)

1.5.4. AVAILABILITY OF ICT/SOCIAL MEDIA BASED MONITORING MECHANISM TO MONITOR OPEN DEFECATION/URINATION/LITTERING IN THE CITY



PURPOSE AND DEFINITION

This parameter assesses whether the ULB has a monitoring mechanism to keep a check on OD/urination/littering. The gradation of marks is based on whether the ULB is using ICT tools for monitoring such sites. The ULB which uses both ICT plus social media gets the maximum score.

A monitoring mechanism essentially means an ICT application to tag OD spots or use of social media like Facebook, Twitter, etc. for citizens to post pictures and reporting cases of OD/urination/littering.



GRADATION OF MARKS FOR THIS PARAMETER

Is there a monitoring mechanism (ICT based/social media) to monitor OD/urination/littering

Both technology and social media available	5
Either technology or Social media available	3
Neither technology nor Social Media available	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs which have such a system in place should provide:

- Screen shot and link of mobile app and social media pages.
- Copy of the ICT log track/reports/mobile apps/social media pages



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- MoUD has entered into an agreement with Janaagraha Center for Citizenship and Democracy, Bangalore for developing various mobile and web applications targeted at citizens and municipal officials for implementation of SBM objectives. Janaagraha will build the mobile application in various language versions as per the requirements of the ULBs and ULBs will not be charged for these services. This MOU can be seen in Annex AD of the Annex Book.
- Till such a system is in place, the ULBs could use its own social media platforms such as ULB's Facebook page/ twitter handle and popularise the same across the ULB so that citizens could share and report such incidences.

1.5.5. STRATEGY FOR BUILDING PUBLIC AND COMMUNITY TOILETS



PURPOSE AND DEFINITION

The purpose of this parameter is to assess whether the ULB has a strategy for building public and community toilets. The gradation of marks is based on whether ULBs have identified land and tendered the work.

As per the Swachh Bharat Mission (Urban) Guidelines,

- All commercial areas should have public toilets within a distance of 1 kilometre
- All occupants that do not have space to construct toilet, have access to CT within a distance of 500 meters. (Letter ref no: D. O. No. Z-11021/04/2016-SBM-II)



GRADATION OF MARKS FOR THIS PARAMETER

Is land identified and works awarded for PT/CT construction?

Land identified and tenders/work awarded	4
Land identified but tender not awarded	2
Land not identified	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence:

- Copy of the strategy document/ work plan by ULB with assessment of number of CT/PT to be constructed with locations
- Copy of the tender document/work awarded to various contractors **or**
- Any circulars to the ULB's public works department if the ULB is conducting them internally



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

ULBs should carry out survey (sample based) to estimate the provision of public and community toilets.

Procurement

- ULBs can either conduct a study themselves or outsource to a private agency. ULBs could refer to the list of empanelled agencies given by MoUD while contracting the work. (See Annex D of the Annex Book)
- Till the time, the ULB is able to construct public toilets; ULBs can also install portable toilets at public places. In order to expedite the process of procurement, the ULBs can refer to the rate contracts issued by DGS&D for their respective states (See Annex W of the Annex Book).

- ULBs could also look into the possibilities of partnering with petrol pumps, restaurants, etc. for allowing general citizens to use their existing facilities.

Finance

- The central government does not provide any incentive support for construction of public toilets under SBM. However, ULBs can access funding from respective state governments if there is provision from state governments.
- Identification of land for PT should be done by the state or the ULB.
- Construction of the PT could either be done by the ULB or through a PPP agreement. A sample RFP brought out by the Greater Visakhapatnam Municipal Corporation (GVMC) for construction of public toilets through PPP is in Annex X of the Annex Book.
- Additional funding support through advertising rights could also be used for construction of PT
For more details on planning, construction and O&M of public toilets, watch e-course tutorials: <http://goo.gl/asQ9Vk>
- For community toilets, ULBs can avail funding under SBM. Central government incentive for the construction of community toilets will be in the form of 40 percent Grant/VGF, for each community toilet block constructed. States will contribute a minimum of 25% funds towards community toilet projects to match 75% Central Share.
For more details on planning, construction and O&M of community toilets, watch e-course tutorial: <http://goo.gl/mT7sel>

1.5.6. LEVYING SPOT FINES/ADMINISTRATIVE CHARGES FOR OPEN DEFECATION/URINATION/LITTERING IN THE CITY



PURPOSE AND DEFINITION

The parameter is to examine whether the ULB has notified spot fine/administrative charges for OD/urination/littering. The ULB which has notified and collecting the charges/fines gets the maximum marks.



GRADATION OF MARKS FOR THIS PARAMETER

Are spot fines/ administrative charges for OD/urination/littering notified and collected

Spot fine notified and collected	4
Spot fine notified but not collected	2
Spot fine not notified	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs who have notified and are collecting these charges should provide,

- Copy of the GR notifying the fines and charges for OD/urination/littering or
- Copy of the public health bye laws issued by the ULB



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- To maximise their scores, ULBS should prepare a schedule of spot fine/administrative charges (for different offences) and notify them after requisite approvals from the standing committee/ general board/ state government (in conformity with the Municipal Act of respective state).
- The circular from MoUD for spot fines is presented in Annex AH of the Annex Book.
- A copy of public health bye-laws of Ahmedabad Municipal Corporation where they have described different fines for various offences (See Annex AG of the Annex Book).

1.5.7. AVAILABILITY OF SMS /MOBILE APP/SOCIAL MEDIA BASED GRIEVANCE REDRESSAL SYSTEM



PURPOSE AND DEFINITION

This parameter assesses whether ULBs have instituted a public grievance redressal system to enable citizens to lodge complaint.

Public Grievance Redressal System (PGRS) is an important function for any transparent and efficient service-oriented urban local body. A PGR system provides a bridge for citizens to engage with the urban local body, voice their concerns, and provide feedback on its functioning and various aspects of service delivery. The grievance redressal mechanism is a tool to measure its efficiency and effectiveness as it provides important feedback on the working of the administration.

The PGRS system in this context should also include SMS based service, mobile based applications or use of social media for Citizens.



GRADATION OF MARKS FOR THIS PARAMETER

Is there a PGRS system where citizens can lodge complaints?

Yes	5
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs should provide the following documents in case they have a system in place,

- Record of complaints received and addressed through SMS/apps/social media
- Screenshot of the social media page/mobile app



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- ULBs which do not have such a mechanism in place should enhance their PGRS system to include a SMS based/ mobile app based interface.
- ULBs could integrate SMS/ mobile app through either existing service providers or use the services of empanelled agencies of MoUD.
- MoUD has entered into an agreement with the Janaagraha Center for Citizenship and Democracy, Bangalore for developing a grievance redressal solution, which will have the following components:
 - Mobile application for citizens to upload complaints/grievances along with photos.
 - Mobile application for municipal officials/field engineers to see the complaints' and update the status of the resolution along with photos

- Web application for MoUD, Municipal Commissioners/ officials and citizens to see, comment and update the status messages. A helpdesk will be provided for providing technical help to the ULBs
 - Dashboard for MoUD, MC/officials and citizens to review the progress on complaints resolution, analysis of complaints and city wise ranking of cleanliness as per the requirements discussed with MoUD.
 - Janaagraha will build the mobile application in various language versions as per the requirements of the ULBs
 - ULBs will not be charged for these services.
 - The MoU can be seen in Annex AD of the Annex Book.
- Till such a system is in place, the ULBs could create social media pages to share and report such incidences

Finance

- If ULBs are part of selected 100 **Smart cities**, ULBs could avail funds for implementation of these projects under the Pan City development proposal.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Citizen's Connect- Surat Municipal Corporation's Mobile App

Surat Municipal Corporation has introduced a mobile based application, which enables service delivery and information sharing, including services pertaining to payment of tax, registration of birth and deaths, rainfall information and complaint registration.

(Link: <http://www.suratmunicipal.gov.in/OnlineServices/SMCAApp>)



Figure 19: Surat Municipal Corporation Mobile App

1.5.8. AVAILABILITY OF CALL CENTRE TO RECORD CITIZENS' COMPLAINTS



PURPOSE AND DEFINITION

This parameter assesses whether the ULB has a call centre for citizens to lodge and address complaints.

A single number helps citizens to recall the number and they are able to lodge complaints for various issues.



GRADATION OF MARKS FOR THIS PARAMETER

Is there a call centre in place for lodging complaints?

Yes	4
No	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs that have a call centre should provide the following documents,

- The call centre number
- MoU/contract if the call centre is outsourced/
- Record of calls received and resolved



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

ULBs that currently do not have a call centre based PGRS system could either set up their own call-centre or outsource such a system.

Procurement

- CCRS (Comprehensive Complaint Redressal System 155303) is established by the Ahmedabad Municipal Corporation (AMC) for citizens to register complaints with regard to services provided by AMC. A sample RFP issued by the Ahmedabad Municipal Corporation can be viewed in Annex AI of the Annex Book.
- Similarly, a RFP for selection of agency on outsourcing basis for providing services of a call centre, South Delhi Municipal Corporation (SDMC) can be referred from Annex AJ of the Annex Book.

Finance

- If ULBs are part of selected 100 **Smart cities**, ULBs could avail funds for implementation of these projects under the Pan City development proposal.



LEADING PRACTICE FROM OTHER URBAN LOCAL BODIES

Citizens Grievance Redressal Mechanism by Pimpri Chinchwad Municipal Corporation, Maharashtra

“Sarathi” – a system of assisting residents and tourists through helpline information, was launched in Aug 2013 by Pimpri Chinchwad Municipal Corporation, Maharashtra. Its basic function is to provide information about civic services. The helpline centre functions between 7 AM and 10 PM. The helpline provides information about civic departments, their functioning and civic services. It is a helpline for retrieving information about the service provided by PCMC as well as a system for lodging complaints related to the services. Sarathi helps citizens in emergencies like a pipeline leakage or drainage malfunctioning. Citizens may contact the 28 department of PCMC through common helpline number.

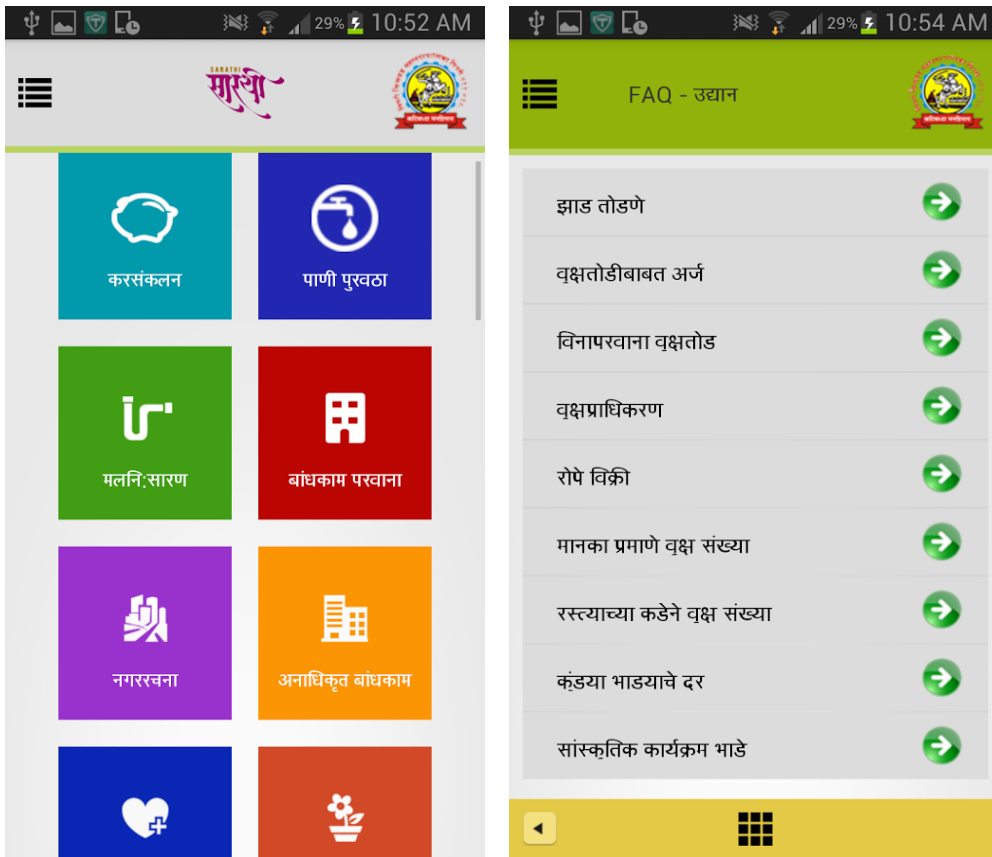


Figure 20: PCMC Sarathi Mobile App; Source: Pimpri Chinchwad Municipal Corporation



IEC/BEHAVIOUR CHANGE COMMUNICATION

1.6. INFORMATION EDUCATION AND COMMUNICATION/ BEHAVIOR CHANGE COMMUNICATION (TOTAL MARKS 44)

This section deals with the initiatives taken by the ULB for IEC and BCC activities. The total number of parameters in this section is 5 and the maximum that any ULB can score is 44.

1.6.1. BIG PLACING OF BIG HOARDINGS/ BILL BOARDS ACROSS THE CITY



PURPOSE AND DEFINITION

The purpose of this parameter is to assess the extent of IEC campaign through big hoardings is being undertaken by the ULB. The gradation of marks is based on the number of hoardings available for the population of the city.

Total population of the city/Number of big hoardings of minimum 8'X8' size in the city



GRADATION OF MARKS FOR THIS PARAMETER

How many hoardings of minimum size 8'X8' in place?

1 per 50,000 populations	8
1 per 50,001-75,000 population	6
1 per 75,001 – 1,00,000 population	2
1 per > 1,00,000 population	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

ULBs should provide the following documents as evidence:

- Inventory log of the hoardings (min size 8x8 ft.) installed in the last 6 months,
- Pictures of all hoardings and its locations



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- Most urban local bodies have their designated sites for bill-boards/hoardings. ULBs could identify key locations across the city which have a large footfall and have high visibility. At such sites, messages pertaining to the Swachh Bharat Mission could be clearly displayed.
- Alternatively, if ULBs have already licensed such bill boards/hoardings in the city, there could be initiatives of utilising part of the bill boards/ hoardings to display SBM messages.
- ULBs could also explore utilising CSR contributions from corporates for such hoardings.

1.6.2. INVOLVEMENT OF SELF-HELP GROUPS AND OTHER VOLUNTARY GROUPS IN IEC/BCC ACTIVITIES



PURPOSE AND DEFINITION

The parameter is to examine the participation of self-help groups and other voluntary groups for IEC/BCC activities in the city.

The gradation of marks is based on whether the ULB has identified, involved and utilised these groups as vehicles of IEC and BCC in their cities.

Self-help groups are an informal group of people with same socio-economic background formed to enhance the member's financial security as primary focus and other common interest of members such as area development, awareness, motivation, leadership, training and associating in other programmes for the benefit of the entire community.



GRADATION OF MARKS FOR THIS PARAMETER

Are SHGs involved and active in IEC/BCC activities?

Self-help groups identified and active	9
Self-help groups identified	5
Self-help groups not identified	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs which have identified SHGs for utilising them as vehicles of IEC and BCC should provide the following documents as evidence,

- List of self-help groups identified and involved,
- Minutes of the meeting with these groups (at least one meeting in every 2 months) to discuss IEC/BCC for sanitation & SWM and their roles clearly stated



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

Most urban local bodies have numerous self help groups formed under various central and state schemes. For example, Mahila Arogya Samitis under the National Health Mission of Government of India, SHGs formed by MEPMA (Mission for Elimination of Poverty In Municipal Areas) by Govt. of Andhra Pradesh, SHGs formed under Mission Mangalam by Govt. of Gujarat/ street vendors etc.

- ULBs should identify such relevant groups and should first train these groups to take the message of various tenets of the Swachh Bharat Mission to their respective members.
- Various swachhta drives can be organised with the assistance of SHGs
- The coordinator from SHGs could also be appointed as *Swachhgrahis*.

Finance

- The total funding for IEC and Awareness component of SBM is 15% of the total SBM Budget (INR 2,193 Crore). Out of this 3% retained by MOUD and 12% will be earmarked for states. Out of the 12% earmarked for states, at least 50% of IEC fund in each annual plan prepared by the state will go towards the ULBs for IEC activities at grass root level.
- A consolidated payment of INR 5000 may be paid to the *Swachhgrahis* to convert the OD spot to ODF. The payment may be done in phases:
 - 25% to be paid upfront on selection as *Swachhgrahis*(to support his/her daily commutes and expenses)
 - 50% of the amount to be paid when the spot becomes ODF (no visible faeces, nobody found defecating in the open)
 - Balance 25% to be paid 3 months after the spot becomes ODF, subject to the ULB conducting an inspection to evaluate whether the ODF status is sustained.

The remuneration for *Swachhgrahis* may be met from the IEC funds received by the ULB under SBM.

1.6.3. INVOLVEMENT OF SWACHHTA AMBASSADORS IN IEC/BCC ACTIVITIES



PURPOSE AND DEFINITION

The parameter is to assess whether the ULB has identified and involved Swachhta ambassadors in IEC/BCC activities at the city level. The GRADATION OF MARKS FOR THIS PARAMETER is based on whether the ULB has identified and utilised such brand ambassadors to spread the message of SBM.

Swachhta ambassador or motivator is a critical link in the institutional structure of SBM. S/he is the brand ambassador of the mission.



GRADATION OF MARKS FOR THIS PARAMETER

Are Swachhta Ambassadors identified and active?

Swachhta Ambassadors identified and active	8
Swachhta Ambassadors identified	4
Swachhta Ambassadors not identified	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence,

- List of Swachhta Ambassadors identified by the city, Minutes of the meeting held with Swachhta ambassadors (at least 1 in 2 months).
- Pictures of Swachhata ambassadors engaged in SBM related activities uploaded on SBM portal.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

To maximise the score in this parameter, ULBs should identify leading personalities from various walks of life to be roped in the IEC/BCC campaigns in the city. Such ambassadors could be leading personalities from academia/ media/ politicians/ religious or spiritual leaders/ businessman etc.

1.6.4. EXTENT OF USE OF MASS MEDIA AND COMMUNICATION TOOLS FOR IEC/BCC



PURPOSE AND DEFINITION

The purpose of this parameter is to examine the initiatives taken by the ULB to spread the message of SBM through mass media and communication tools such as using local cable network/ bulk SMS/ awareness campaigns/ newspapers.



GRADATION OF MARKS FOR THIS PARAMETER

Does the ULB use Print Media, Digital Media and Awareness Campaigns for spreading the message of Swachh Bharat?

All three including Print Media, Digital Media and Awareness Campaigns	8
Either one the three i.e. Print Media, Digital Media or Awareness Campaigns	4
Neither of the three i.e. Print Media, Digital Media or Awareness Campaigns	0



SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence,

- List of local newspapers (paper cuttings), cable TV messages (AV files), SMS list, pamphlets distribution for SWM/Sanitation,
- If the Municipality has an official active Facebook /Twitter account active for the last 6 months, the activity list should be provided.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- The ULB could promote the mission activities through a campaign on a dedicated Facebook page. The campaigns should be designed taking into account the mobile/internet penetration in the city.
- Traditional media like newspaper, radio and other print media should also be used to reach out to all the sections of the society that do not have access to digital media.
- ULBs could leverage CSR funding of media houses and use them to spread messages.
- ULBs could also hire agencies for designing media and communication strategies for them

Finance

- The total funding for IEC and Awareness component of SBM is 15% of the total SBM Budget (INR 2193 crore). Out of this 3% retained by MOUD and 12% will be earmarked for states. Out of the 12% earmarked for states, at least 50% of IEC fund in each annual plan prepared by the state will go towards the ULBs for IEC activities at grass root level.

1.6.5. UPDATION OF MEDIA COVERAGE OF SPECIAL DRIVES ON SBM PORTAL



PURPOSE AND DEFINITION

The parameter is to assess the efforts taken by the ULB to get media coverage for conducting special drives as notified by the MoUD.

Special cleanliness drives are notified by the MoUD and a circular is sent to ULBs to conduct the same. The list of thematic cleanliness drives from April 2016 to March 2017 have been issued by the MoUD and can be seen in Annex AK of the Annex Book.

This parameter follows a relative scoring method. The ULB that has scored the maximum as per the methodology given by MoUD, which is, 1 point per press clip and 3 points per TV video clip, will get the highest marks (12 marks). All other ULBs will get a relative score based on percentile method.



GRADATION OF MARKS FOR THIS PARAMETER

Media coverage of thematic drives on SBM portal and Mygov

Percentile of cumulative score received by cities for media coverage of thematic drives	12
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SUPPORTING DOCUMENTS FROM THE URBAN LOCAL BODY

The ULBs should provide the following documents as evidence,

- Activities documented through updating SBM Portal, minutes of the relevant meeting, communication issued, pictures taken, Press clippings etc.



WHAT SHOULD THE ULB DO TO MAXIMIZE ITS SCORE?

- ULBs should conduct drives as per the guidelines issued by MoUD (See Annex AK of the Annex Book).
- All the photos, press clipping and TV video clippings should be emailed to MoUD.
- ULBs will get 1 point per press clip and 3 points per TV video clip

1.7. Proposed timelines

The state missions will get approximately eight months' time, starting 15th May 2016, as preparatory phase to support the data collection activities carried out by the survey agency.

Milestone	Proposed dates
Video conferencing with the respective Municipal Commissioners/ State Mission directors to share the survey methodology	15 th May 2016 onwards
Extensive awareness generation and citizens engagement	1 st June 2016 onwards
Start of survey (Collection of data from Citizens Feedback)	4 th Jan 2017
Completion of field visits, data collection and analysis	4 th Feb 2017
Ranking of cities along with detailed indicator-wise and aggregated scores and detailed report with survey, analysis and findings	On SBM portal 15 th Feb 2017



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