



**Ministry of Housing
and Urban Affairs**
Government of India

Mission Document

**Deendayal Antyodaya Yojana-
National Urban Livelihoods Mission**

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**National Urban
Livelihoods Mission**

Mission Document



सत्यमेव जयते

Ministry of Housing & Urban Affairs
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Introduction

1.1 Economic development and urbanisation are closely linked. Cities in India are emerging as the country's engines of economic growth, with a contribution of more than 60 per cent to GDP. As per Census of India, 2011, India's urban population is now 377 million which shows a 31 per cent increase from 2001. The Report on Conditions of Work and Promotion of Livelihoods in the Unorganized Sector by the National Commission on Enterprises in the Unorganized Sector brought out in August 2007 (NCEUS, 2007) reveals that in 2004-05, out of India's total workforce, 92 percent worked in the informal economy. The urban informal sector comprises a large part of the unorganized non-agriculture sector. Low levels of education and skill in the unorganized sector workers have resulted in their inability to access the opportunities offered by emerging markets. This underscores the criticality of skills up-gradation for better livelihoods opportunities in urban areas.

1.2 Most of the poor are involved in informal sector activities where there is a constant threat of eviction, removal, confiscation of goods and almost non-existent social security cover. Even when segments of the urban population are not income-poor, they face deprivation in terms of lack of access to sanitary living conditions and their well-being is hampered by discrimination, social exclusion, crime, violence, insecurity of tenure, hazardous environmental conditions and lack of voice in governance.

1.3 The dimensions of urban poverty can be broadly divided into three categories: (i) residential vulnerability (access to land, shelter, basic services, etc.); (ii) social vulnerability (deprivations related to factors like gender, age and social stratification, lack of social protection, inadequate voice and participation in governance structures, etc.) and (iii) occupational vulnerability (precarious livelihoods, dependence on informal sector for employment and earnings, lack of job security, poor working conditions, etc.). These vulnerabilities are inter-related. Amongst the urban poor, there are sections subject to greater vulnerability in terms of the above classification; these include women, children, and the aged, SCs, STs, minorities and differently-abled persons who deserve attention on a priority basis.

1.4 The National Urban Housing and Habitat Policy (NUHHP), 2007 aims to promote sustainable development of habitat in the country with a view to ensure equitable supply of land, shelter and services at affordable prices to all sections of the society. The most vulnerable of these are the urban homeless who live with no shelter or social security / protection. Recent pronouncements of the Supreme Court of India have brought into focus the plight of the urban homeless by holding that the right to dignified shelter is a necessary component of the right to life under Article 21 of the Constitution of India. There is therefore a need to develop a policy and programme for the urban homeless.



1.5 Urban poverty being multi-dimensional, various vulnerabilities faced by the poor in cities and towns: occupational, residential and social need to be addressed simultaneously in a comprehensive and integrated manner with a targeted focus on the vulnerable groups so that a definitive impact can be made on ground. Residential vulnerability issues are being addressed through programmes like Pradhan Mantri Awas Yojana (Urban). The other two vulnerabilities: occupational and social can be best addressed by creating opportunities for skill development leading to market-based employment and helping them to set up self-employment ventures. Urban poverty alleviation programmes need to be based on skill development and easy access to credit. It is in this context that a mission-mode approach to urban livelihoods is considered necessary in the form of the Deendayal Antyodaya Yojana-National Urban Livelihoods Mission (DAY-NULM).

Mission, Principles, Values, Strategy

DAY-NULM Mission

2.1 To reduce poverty and vulnerability of the urban poor households by enabling them to access self-employment and skilled wage employment opportunities, resulting in an appreciable improvement in their livelihoods on a sustainable basis, through building strong grassroots level institutions of the poor. The mission would aim at providing shelter equipped with essential services to the urban homeless in a phased manner. In addition, the Mission would also address livelihood concerns of the urban street vendors by facilitating access to suitable spaces, institutional credit, social security and skills to the urban street vendors for accessing emerging market opportunities.

Guiding Principles

2.2 The core belief of Deendayal Antyodaya Yojana-National Urban Livelihoods Mission (DAY-NULM) is that the poor are entrepreneurial and have innate desire to come out of poverty. The challenge is to unleash their capabilities to generate meaningful and sustainable livelihoods. The first step in this process is motivating the urban poor to form their own institutions. They and their institutions need to be provided sufficient capacity so that they can manage the external environment, access finance, expand their skills, enterprises and assets. This requires continuous and carefully designed hand holding support. An external, dedicated and sensitive support structure, from the national level to the city and community levels, is required to induce social mobilisation, institution building and livelihood promotion.

2.3 DAY-NULM believes that any livelihood promotion programme can be scaled up in a time-bound manner only if driven by the poor and their institutions. Such strong institutional platforms support the poor in building up their own human, social, financial, and other assets. This in turn, enables them access to rights, entitlements, opportunities and services from the public and private sectors, while enhancing their solidarity, voice and bargaining power.

2.4 As per the Constitution (74th Amendment) Act, 1992, urban poverty alleviation is a legitimate function of the Urban Local Bodies (ULB). Therefore, ULBs would need to undertake a lead role for all issues and programmes concerning the urban poor in cities/towns, including skills and livelihoods.

2.5 DAY-NULM would aim at universal coverage of the urban poor for skill development and credit facilities. It will strive for skills training of the urban poor for market-based jobs and self-employment, facilitating easy access to credit.



2.6 Street vendors constitute an important segment of the urban population at the bottom of the pyramid. Street vending provides a source of self-employment, and thus acts as a measure of urban poverty alleviation without major Government intervention. They have a prominent place in the urban supply chain and are an integral part of the economic growth process within urban areas. DAY-NULM would aim at facilitating access to suitable spaces, institutional credit, social security and skills to the urban street vendors for accessing emerging market opportunities.

2.7 Urban homeless persons who live without shelter or social security/ protection are the most vulnerable class, even while they contribute towards sustaining cities with their cheap labour. Life on the streets involves surviving continuously at the edge, in a physically brutalized and challenging environment. There is a need for appropriate policy intervention to address the challenges faced by homeless people, with regard to shelter, social housing and social protection. Accordingly, DAY-NULM would aim at providing shelter equipped with essential services to the urban homeless in a phased manner.

2.8 DAY-NULM would place a very high emphasis on convergence with schemes/ programmes of the relevant line Ministries/Departments and programmes of state governments dealing with skills, livelihoods, entrepreneurship development, health, education, social assistance, etc. An alliance strategy will be sought with all concerned departments to promote skills training of rural-urban migrants as a bridge between the livelihoods of the rural and urban poor.

2.9 DAY-NULM would aim at partnership with the private sector in providing skill training, employment and operation of shelter for homeless. It will strive for active participation of private and civil society sectors in providing shelter to the urban homeless, skill training and placement of the urban poor and also in facilitating technological, marketing and hand holding support for the urban poor entrepreneurs who want to be self-employed and set up their own small businesses or manufacturing units.

Values

2.10 The mission will espouse the following values:

- i Ownership and productive involvement of the urban poor and their institutions in all processes;
- ii Transparency in programme design and implementation, including institution-building and capacity strengthening;
- iii Accountability of government functionaries and the community;

- iv Partnerships with industry and other stakeholders; and
- v Community self-reliance, self-dependence, self-help and mutual-help.

Strategy

2.11 DAY-NULM will adopt the following strategy:

- i Building capacity of the urban poor, their institutions and the machinery involved in the implementation of livelihoods development and poverty alleviation programmes through handholding support;
- ii Enhancing and expanding existing livelihoods options of the urban poor;
- iii Building skills to enable access to growing market-based job opportunities offered by emerging urban economies;
- iv Training for and support to the establishment of micro-enterprises by the urban poor – self and group;
- v Ensure availability and access for the urban homeless population to permanent 24-hour shelters including the basic infrastructural facilities like water supply, sanitation, safety and security;
- vi Cater to the needs of especially vulnerable segments of the urban homeless like the dependent children, aged, disabled, mentally ill, and recovering patients etc., by creating special sections within homeless shelters and provisioning special service linkages for them;
- vii To establish strong rights-based linkages with other programmes which cover the right of the urban homeless to food, healthcare, education, etc. and ensure access for homeless populations to various entitlements, including to social security pensions, PDS, ICDS, feeding programmes, drinking water, sanitation, identity, financial inclusion, school admission etc., and to affordable housing;
- viii To address livelihood concerns of the urban street vendors by facilitating access to suitable spaces, institutional credit, social security and skills to the urban street vendors for accessing emerging market opportunities.



DAY-NULM Mission Cities and Target Population¹

3.1 Mission will be implemented in all District Headquarter Towns and all other cities with a population of 1,00,000 or more as per 2011 census.

The States/ UTs are also allowed to implement all or any of the components of the Mission in any other Statutory Town, based on the local capacity and requirement.

3.2 The primary target of DAY-NULM is the urban poor, including the urban homeless. The finalisation of Socio-economic and Caste Census (SECC), 2011 for identification of urban poor is currently under progress. Accordingly, as an interim measure, the target of DAY-NULM will be the urban population identified presently as below poverty line population in urban areas by the States/UTs. The coverage may be broadened to include families of disadvantaged groups like SCs, STs, women, minorities, disabled etc. subject to a maximum of 25 percent of the above urban poor population.

¹ As amended vide erstwhile Ministry of HUDA OM No. K-1401/2/2012-UPA/ETS-5196 dated 19th February, 2016

Social Mobilisation And Institution Development (SM&ID)

4.1 The mobilisation of urban poor households to form their own institutions is an important investment for an effective and sustainable poverty reduction programme. DAY-NULM envisages universal social mobilisation of urban poor into Self-Help Groups (SHGs) and their federations. At least one member from each urban poor household, preferably a woman, should be brought under the Self-Help Group network in a time-bound manner. These groups will serve as a support system for the poor, to meet their financial and social needs. Normally, women SHGs will be formed, however male SHGs of handicapped persons will be allowed to be formed.

4.2 DAY-NULM would lay particular emphasis on the mobilisation of vulnerable sections of the urban population such as SCs, STs, minorities, female-headed households, persons with disabilities, the destitute, migrant labourers, and especially vulnerable occupational groups such as street vendors, rag pickers, domestic workers, beggars, construction workers, etc.

4.3 SHGs will federate at the Slum/Ward-level into an Area Level Federation (ALF). ALFs will organize into federation at the City level as a City Level Federation (CLF). The existing area-based structures created under SJSRY – Neighbourhood Group (NHG), Neighbourhood Committee (NHC) and Community Development Society (CDS) may be suitably transformed into SHG-based structures in due course. The Area Level Federation and City Level Federations will be registered bodies.

Sub-Component – Building Community Institutions: SHGs and their Federations

4.4 For catalysing the formation of SHGs and their federations and to promote the financial inclusion of SHG members under DAY-NULM, Resource Organisations (ROs) will be engaged to facilitate the formation of SHGs, their development and bank-linkages, formation of their federations at the area and city levels, training and capacity building, and establishing links to ULBs and to mitigate social, occupational and residential vulnerabilities.

4.5 Autonomous registered agencies set up by State or Central Government or well established long-standing federations of SHGs having significant experience in managing large-scale community driven programmes and developing successful implementation strategies in social mobilisation and institution building in urban or rural areas may be preferred as Resource Organisations.

4.6 In addition, non-government organisations may be selected as a Resource Organisation on the basis of strict criteria including registration status of the organisation, turnover, number of years of experience, sound procurement and financial management capacity, number of dedicated expert staff, domain knowledge and prior experience in social mobilisation of poor



households, training and capacity building, livelihood promotion, and bank linkage of the community organisations.

4.7 A maximum of Rs. 10,000/- can be spent per self-help group for its formation, hand-holding up to two years, training of all the members, bank linkage, formation of federation and other related activities. States will be expected to enter into an agreement with Resource Organisations and payment will be made on the basis of milestones like SHG formation, training of members, bank linkage, formation of federation at the area and city levels and access to benefits under DAY-NULM, including revolving fund. The Resource Organisation will handhold the SHG for a period up to two years.

4.8 The services of ASHA / Anganwadi workers and other community level functionaries under various schemes / programmes of the Central and State Governments may also be utilised at the field level to facilitate the formation of SHGs under NULM.

Sub-Component - Universal Financial Inclusion

4.9 DAY-NULM aims to achieve universal financial inclusion, through opening of basic savings accounts, facilitating access to financial literacy, credit, affordable insurance, and remittance facilities to the urban poor and their institutions. It will also coordinate with financial institutions to encourage the use of ICT-based technologies, financial correspondents and community facilitators like "Bank Mitras" and "Bima Mitras" for the benefit of the urban poor. In particular, DAY-NULM will facilitate coverage of urban poor households under schemes such as Rashtriya Swasthya Bima Yojana (RSBY), Jan Shree Bima Yojana (JSBY) and similar programmes.

Sub-Component – Revolving Fund Support to SHGs and their Federations

4.10 DAY-NULM envisages that Thrift and Credit (T&C), functional literacy and basic skills training would be the main trinity of activities of Self-Help Groups (SHGs). A Revolving Fund support to the tune of Rs.10,000/- per SHG will be provided to SHGs with more than 70 percent urban poor members and those, which have not availed such support earlier. This Revolving fund is to be given only to those SHGs who have been doing thrift and credit activities for at least six months.

4.11 A Revolving Fund support of Rs.50,000/- would be available to a registered Area Level Federation (ALF) to sustain their activities.

Sub-Component – City Livelihood Centres (CLCs)

4.12 The objective of City Livelihoods Centre (CLC) is to provide a platform where by the urban poor can market their services and access information and other benefits. CLCs will act as a "one-stop shop" for those seeking services from the informal sector as well as for the urban poor promoting their services and products.

4.13 CLCs will be positioned as a resource centre for those seeking information relating to employment and skills training opportunities, etc. The centres may give the poor; access to information on market demand, skills training programmes offered and placement opportunities. For those seeking skills training, wage employment or aiming to establish and sustain self-employment ventures, the Livelihood Centres can facilitate necessary guidance, counselling and technical support.

4.14 Establishment of City Livelihood Centres (CLCs) will be permissible as per the following norms²:

Population of city	Ceiling on Number of CLCs to be established
Between 1-3 lakh	1
More than 3 lakh and upto 5 lakh	2
More than 5 lakh and upto 10 lakh	3
Above 10 lakh	8
District Headquarter Towns and other Statutory Towns with population below 1 lakh	1

4.15 A grant of Rs. 10 lakh per CLC will be provided as 'untied funds' in instalments linked to achievement of milestones. This amount can be used for a corpus fund, basic training facilities and equipment like computers, product demonstration outlets, furniture, rent (where building is not available), telephone and other operational expenses, staffing support on contract basis, etc. They may operate on a revenue-generating and self-sustaining model. States/Urban Local Bodies may consider additional support to these centres from their own resources.

4.16 CLCs shall be established by any Facilitating Agency viz., CLFs/ SHGs/ NGOs/CBOs/ Resource Institutions/ Private sector Organisations etc., through Public Private Community Partnership (PPCP) model.

Sub-Component-Training & Other Capacity Building Programmes for SHGs and their Federations

4.17 This component will be used for training and capacity building of SHGs and their federations on various issues like bank linkage, book keeping and accounts, micro-planning, micro-investment process, roles and responsibilities of members, etc. The component will be implemented by national, state and city resources centres/agencies including civil society organisations, and Mission Management Units at various levels.

4.18 For training of members of ALFs and CLFs, the ceiling amount that can be used for capacity building and training at the Central/State/City level will be Rs.7,500 per trainee on an average. Part of the amount may also be used for community-to-community learning/exposure and immersion visits of members of SHGs and their federations and programme-related personnel.

² As amended vide erstwhile Ministry of HUPA OM No. K-1401/2/2012-UPA/FTS-5196 dated 19th February, 2016



Capacity Building and Training (CB&T)

5.1 A key objective of the Capacity Building and Training component is to transform the role of the Ministry of Housing & Urban Affairs and State Agencies in charge of urban poverty alleviation into providers of high quality technical assistance in the fields of urban livelihoods promotion and urban poverty alleviation.

Sub-Component - Technical Support at National, State and City Levels

5.2 The objective of this sub-component is to establish timely and high quality technical assistance at Central, State and City levels to roll out and implement DAY-NULM.

5.3 A National Mission Management Unit (NMMU) will be established at the Centre. Additionally, support to States and Cities would be provided for setting-up of State Mission Management Unit (SMMU) and City Mission Management Unit (CMMU) with good quality livelihood and programme management professionals and developing efficient institutional systems like HR, MIS, financial management, procurement, and social management. Technical support would also be provided to the States/Cities to undertake comprehensive situational analysis to capture various dimensions of urban poverty in the State/Cities. This would help States to prioritize interventions and resources while formulating State/City Urban Poverty Reduction Strategy/Action Plans. Specific technical assistance in each of programmatic themes would be offered to provide implementation support to States/Cities/Towns for achieving DAY-NULM outcomes. The funds required for NMMU will be allocated to the Mission Directorate at Central level and those for SMMUs and CMMUs will be released to State Missions.

5.4 Mission Management Units (MMUs) will be established at the Centre, States and in DAY-NULM mission cities with dedicated technical support as follows¹&²:

Mission Management Unit	No. of technical staff per unit
NMMU	At Least 10
SMMU – Big States	6
SMMU – Small States	4
CMMU – DHQ towns (below 1 lakh population) and Statutory Towns (between 50,000 and 3 lakh population)	2
CMMU – Medium Towns (between 3 and 5 lakh population)	3
CMMU – Large Towns (greater than 5 lakh population)	4
Community Organizers	1 CO per 3000 urban poor families with a minimum of one CO per town

¹ Amended in line with provision at Clause 13.5 of Mission Document.

² As amended vide erstwhile Ministry of HUPA OM No. K-1401/2/2012-UPA/FTS-5196 dated 19th February, 2016

Mission Management Unit	No. of technical staff per unit
	No dedicated CMMU will be provided in towns having population less than 50,000. In case of these towns, either technical support will be taken from the CMMU of the nearest town or State/ UT will depute their own staff for implementation of the Mission

The list of Big and Small State/UT is at **Annexure**.

5.5 The funding support for SMMU and CMMU will be available only for five years. It is expected that during this period, states will create and establish their municipal cadres for sustained implementation of DAY-NULM and other urban poverty alleviation programmes.

Sub-Component- Training & Other Capacity Building Programmes for MMUs

5.6 This component will be used for training and capacity building of the technical resource persons of the MMUs at National, State and City level. The component will be implemented by national, state and city resources centres/agencies including civil society organisations, and Mission Management Units at various levels. The ceiling amount that can be used for capacity building and training at the Central/State/City level will be Rs.7,500 per trainee on an average. Part of the amount can be used for community-to-community learning/exposure and immersion visits of members of the MMUs and programme-related personnel. Resource Centres / institutions / agencies will be empanelled through a transparent process for the purpose of imparting training as per guidelines.



Employment through Skills Training and Placement (EST&P)

6.1 This component of DAY-NULM will focus on providing assistance for development / upgrading of the skills of the urban poor so as to enhance their capacity for self-employment and salaried employment. EST&P intends to provide training to the urban poor as per the skill demand from the market, so that they can set up self-employment ventures or secure salaried employment. EST&P will target the urban poor subjected to occupational vulnerability. No minimum or maximum educational qualification is prescribed for the selection of beneficiaries under EST&P. The percentage of women beneficiaries under EST&P shall not be less than 30 percent. SCs and STs must be benefited at least to the extent of the proportion of their strength in the city/town population of poor. A special provision of 3 percent reservation should be made for the differently-abled under this programme. In view of the Prime Minister's 15-Point Programme for the Welfare of Minorities, at least 15 percent of the physical and financial targets under this component shall be earmarked for the minority communities. Apart from that, special attention will be paid to the skill upgradation of vulnerable groups like beggars, rag pickers, construction workers, destitute, etc.

6.2 Skill training will be linked to accreditation and certification and preferably be undertaken on a Public-Private-Partnership (PPP) mode. It will involve reputed institutes, including ITIs, Polytechnics, NITs, industry associations, engineering colleges, management institutes, skill training centres, foundations, NSDC and other reputed entities in government, private and civil society sectors. The selection of these institutes/agencies to impart skills training shall be subject to a transparent process/ verification of brand image and the quality of instructions being imparted.

6.3 The cost per beneficiary shall not exceed Rs.15,000 (Rs.18,000 for North-Eastern and Special Category States), which will include training cost, trainee mobilisation, selection, counselling, training material, trainers' fee, certification, toolkit, other miscellaneous expenses to be incurred by the training institution and also micro-enterprise development/ placement related expenses. If the training cost is higher than the maximum cost per beneficiary permissible under the scheme, the same may be met by the State Government or the beneficiaries.

6.4 A part of the payment will be linked to establishment of and satisfactory performance of micro-enterprise for at least a period of 6 months or retention in the placed jobs for at least a period of 6 months.

6.5 The organisations/agencies imparting skill training should work closely with reputed institutes, certifying institutions, industry, SHGs, their federations and CLCs in ULBs for identification, counselling, training, certification and placement of beneficiaries. For placement linked skill training, the Skill Training Providers (STPs) will be responsible for at least 50

percent placement in remunerative jobs or as decided by the National Skill Development Authority.

6.6 Given the diversity of local contexts, each State will decide the skills important for their local economies. Apart from hard skills, training on soft skills should also be provided as a part of the same training programme. This may include Spoken English/National/State Language, Financial Literacy, Computer Literacy, Life Skills including training on office and social etiquette, punctuality, etc. States may reflect appropriate specification in that regard in the selection of and agreement signed with Skills Training Providers (STPs).

6.7 Cost for training in different sectors for varying durations with placement/certification is to be worked out by the respective Mission Management Units at Central, State and City levels subject to the guidelines to be issued under DAY-NULM.



Self-Employment Programme (SEP)

Sub-Component – Self Employment-Individual and Group Enterprises

7.1 This component will focus on financial assistance to individuals/groups of urban poor for setting up gainful self-employment ventures/micro-enterprises, suited to their skills, training, aptitude and local conditions. The under-employed and unemployed urban poor will be encouraged to set up small enterprises relating to manufacturing, servicing and petty business for which there is considerable local demand. Local skills and local crafts should be particularly encouraged. Each City/Town should develop a compendium of such activities/projects keeping in view skills available, marketability of products, costs, economic viability etc. No minimum or maximum educational qualification is prescribed for the selection of beneficiaries under SEP. The percentage of women beneficiaries under SEP shall not be less than 30 percent. SCs and STs must be benefited at least to the extent of the proportion of their strength in the city/town population of poor. A special provision of 3 percent reservation should be made for the differently-abled under this programme. In view of the Prime Minister's 15-Point Programme for the Welfare of Minorities, at least 15 percent of the physical and financial targets under this component shall be earmarked for the minority communities.

7.2 Under this component, setting up of both individual and group micro enterprises will be supported. The project cost ceiling will be Rs. 2 lakh for individual enterprises and Rs. 10 Lakh for group enterprises. Individual and groups may be provided loan from the banks and the application for such loans be preferably recommended by the SHGs.

7.3 Interest subsidy over and above 7 percent rate of interest will be available on a bank loan for setting up of an individual or group enterprise. No collateral is envisaged other than the micro-enterprise itself.

Sub-Component – SHG - Bank Linkage

7.4 Also, Interest Subsidy over and above 7 percent rate of interest will be applicable to all SHGs accessing bank loan. An additional 3 percent interest subvention will be provided to all women SHGs who repay their loan in time in all the cities.

7.5 The interest subvention will be subject to timely repayment by the beneficiaries. Suitable certification from banks will be obtained in this regard. The difference between 7 percent or 4 percent as the case may be and the prevailing rate of interest will be provided to banks under DAY-NULM.

Sub-Component – Credit Card for enterprise development

7.6 Under this component, efforts will be made to cover beneficiaries with credit cards for working capital and other purposes.

Sub-Component – Technology, Marketing and Other Support

7.7 Technology, marketing, consultancy (advice) and other support may also be provided by States/cities to beneficiaries in setting up micro-enterprises, in relation to input procurement, production, packaging, branding, marketing, etc. This may include provision of selling places for poor street vendors in the form of kiosks and *rehri* markets, weekend markets/festival bazaars/ evening markets etc. in municipal grounds or on road sides on one hand and technical assistance with regard to market potential survey, input procurement, joint brand naming/ designing, advertising, marketing, etc. on the other.



Support to Urban Street Vendors

8.1 This component aims at skilling of street vendors, support micro-enterprise development, credit enablement and pro-vending urban planning along with supporting social security options for vulnerable groups such as women, SCs/STs and minorities. Up to 5 percent of the total DAY-NULM budget will be spent on this component.

Sub-Component - Pro-vending urban planning

8.2 Under DAY-NULM, states and cities will conduct a periodic socio-economic survey of street vendors, register street vendors and will issue Identity cards for street vendors. A database of street vendors will be developed and maintained at each city. This will enable States/ULBs to prepare pro-vending urban planning and provide space for street vending.

Sub-component - Skill Development and Micro-enterprise Development support for Street Vendors

8.3 Under DAY-NULM, poor and EWS street vendors in urban areas can access skill training under the EST&P component of DAY-NULM and micro-enterprise development support under the SEP component of DAY-NULM.

Sub-component - Credit-enablement of Street Vendors

8.4 Street Vendors will be encouraged to access basic banking services. Additionally, efforts will be made to cover individual beneficiaries with Credit Cards so as to enable street vendors access for working capital and other purposes.

Sub-component - Development of Vendors' Markets

8.5 Development of vendors' market/vending zones/informal sector markets in accordance with Town Vending Plans with infrastructure/civic facilities such as paving, water supply, solid waste disposal facility, lighting, storage space, parking facilities etc.

Sub-component - Social Security Convergence

8.6 Under DAY-NULM, street vendors will be encouraged to access other social security benefits available to them through various schemes of the Government of India (such as Rashtriya Swasthya Bima Yojana), state-level and city-level social security and social assistance initiatives / schemes.

Funding Pattern and Financial Process

9.1 The financing of the Mission shall be shared between the Centre and the States/UTs on the following basis³:

Sl. No	States/UTs	Central Share (percent)	State / UT Share (percent)
1	North Eastern States -Arunachal Pradesh, Assam, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim and Tripura	90	10
2	Three Himalayan States- Jammu and Kashmir, Himachal Pradesh, and Uttarakhand	90	10
3	Other States (States excluding Sr. No. 1 & 2)	60	40
4	UTs with legislature- Delhi and Puducherry	100	Nil
5	UTs without legislature-A&N Islands, Daman & Diu, Dadra & Nagar Haveli and Chandigarh	100	Nil

[Note: The revised funding pattern will be effective from 1st April, 2015]

9.2 The Central share to be released to States under DAY-NULM will be tentatively allocated between the States / UTs in relation to the incidence of urban poor population. However, additional parameters like absorption capacity (based on the past trend of funds utilisation in poverty alleviation schemes) and special requirement will also be taken into consideration during the course of the year, depending on physical and financial progress of DAY-NULM reported by States.

9.3 State / UT – wise annual physical targets under the Mission will be tentatively fixed on the basis of the all-India targets decided by the Mission Directorate. State / UT – wise progress will be monitored against these targets.

9.4 The release of Central share to States / UTs, will be done in two instalments – directly to the account of the State Mission Management Unit. Central share will be released to States / UTs only after they fulfil the prescribed criteria regarding submission of Utilisation Certificates (UCs) in accordance with the relevant General Financial Rules as well as release of matching State share for the past releases. After retaining the State component, the remaining amount shall be released by the SMMU to CMMU in accordance with targets set/ projects received.

9.5 Under DAY-NULM, there will be periodic monitoring of release of funds. However, in order to promote better utilisation of funds under DAY-NULM, the idle funds at the central level, which could not be released to the States / UTs, not fulfilling the prescribed criteria,

³ As amended vide erstwhile Ministry of HUPA OM No. K-24011/4/2015-UPA/FTS-13207 dated 2nd February, 2016



may be diverted to better performing States / UTs (or to centrally administered components) in the 4th quarter of a given financial year, keeping in view their performance and demand for additional funds.

9.6 Indicative component-wise allocation of central share will be intimated by the Mission Directorate, DAY-NULM, Ministry of Housing & Urban Affairs to the States / UTs from time-to-time so as to ensure balanced coverage of all components under DAY-NULM as well as better utilisation of available funds. The States may change the inter - se allocation between the components of the Scheme depending on their need with the approval of Mission Directorate, DAY-NULM, Ministry of Housing & Urban Affairs.

Scheme of Shelter for Urban Homeless (SUH)

10.1 The main objective of Scheme of Shelter for Urban Homeless (SUH) is to provide shelter and all other essential services to the poorest of the poor segment of urban societies. The shelters should be permanent all-weather 24 x 7 shelters for the urban homeless. For every one lakh urban population, provisions should be made for permanent community shelters for a minimum of one hundred persons. Depending upon local conditions each shelter could cater to between 50 and 100 persons.

10.2 Priority would be given to cities with population above one million in census of 2011, and other cities and towns identified by the Government of India/ State Governments to be of special social, historical or tourist importance.

10.3 For shelter planning purposes, a space of 50 sq. feet or 4.645 Sq. meters or say, 5 square meters per person may be taken as the minimum space to be provided.

10.4 The basic common facilities/amenities such as water, sanitation, electricity, kitchen/ cooking space, common recreation space may be provided at the shelters for dignified human living. Also linkage with Anganwadi, PHC, childcare facilities and other social assistance programme, etc. may be ensured.

10.5 Linkages with entitlements: Shelters should be a space for convergence and provisions of various entitlements of social security, food, education and health care systems. All homeless persons, in shelters should be given priority under various schemes, and Government programmes. This is because the homeless are unable to access many services due to lack of documentary proof such as address and birth proof etc.

10.6 Location of Shelters: Location should be close to homeless concentrations and work sites as far as practicable. They may be located close to the areas where the poorest congregate like railway stations, bus depots, terminals, markets, wholesale *mandis* etc. The Urban Development Projects Formulation and Implementation (UDPFI) guidelines and Master Plans may be suitably amended to permit construction of such shelters in public and semi-public use zones, industrial and recreational areas.

10.7 Design of Shelters: Where existing infrastructure / public buildings are being used, suitable refurbishment and augmentation to meet requisite services / space requirement should be done. Permanent shelters may be built of concrete or durable and weather proof alternate structures. The State Governments will be encouraged to adopt innovative designs for low cost and energy efficient buildings.



10.8 Each implementing Organisation shall set up a Shelter Management Committee (SMC), comprising preferably caretakers, and persons nominated from amongst residents of the shelter. Such a Shelter Management Committee shall be responsible for daily management, upkeep, cleanliness and discipline at the shelter.

10.9 Each shelter will be managed by a full time staff / team comprising a field officer (coordinator, overseeing smooth functioning, Government interface), a home manager (kitchen management, record maintenance, dispute resolution etc.), a resident shelter caretaker, and a watch person. These may or may not be Government staff and resourced through agencies/ institutions responsible for operating the shelters.

10.10 The Community Kitchens may be run by the State agencies or any private agencies for provision of healthy and hygienic food at affordable rates to the poor. Voluntary participation of the beneficiaries should be encouraged to bring in a sense of ownership.

10.11 Funding Pattern for SUH⁶: Government of India would fund 60 percent of the cost of construction of the shelters and 40 percent would be the State contribution. In case of North Eastern and three Himalayan States (Arunachal Pradesh, Assam, Manipur, Meghalaya, Mizoram, Nagaland, Sikkim, Tripura, Jammu and Kashmir, Himachal Pradesh and Uttarakhand), this ratio will be 90:10. In respect of UTs with or without legislature, Government of India will contribute 100 of the cost. It will be the responsibility of the State Governments to bring in land as their contribution.

10.12 For Operation & Maintenance of the shelter also, the funding pattern will be as per Clause 10.11 above for each shelter to all states for 5 years.

10.13 Nominal charges as rent could be collected depending on the income levels of the urban homeless at rates ranging from 1/10 to 1/20 of their income, so as to bring in commitment of the beneficiaries. This fund could be utilized for maintenance of the facilities. For those with no payment capacities, total exemption could be granted.

⁶ As amended vide erstwhile Ministry of HUPA OM No. K-24011/4/2015-UPA/FTS-13207 dated 2nd February, 2016

Innovative and Special Projects

11.1 This component will focus on the promotion of novel initiatives in the form of innovative projects. These initiatives may be in the nature of pioneering efforts, aimed at catalysing sustainable approaches to urban livelihoods through Public, Private, Community Partnership (P-P-C-P), demonstrating a promising methodology or making a distinct impact on the urban poverty situation through scalable initiatives. The projects must demonstrate strategies to create long-term and sustainable livelihood opportunities and may cover organisation of the urban poor, formulation and implementation of innovative skill development programme, provision of support infrastructure, technology, marketing, capacity building, etc. or a combination of these. Innovative / special projects may be undertaken on a partnership mode involving CBOs, NGOs, semi-government Organisations, private sector, industry associations, government departments/ agencies, urban local bodies, national/state/city resource centres or international organisations.

11.2 For this component, 5 percent of the total Central funds will be used. This component will be centrally administered and no state share provision will be needed. Special projects covering proposals under any of the components will be implemented directly by the National Mission Directorate.



Administration and Other Expenses (A&OE)

12.1 2 percent of the allocation under DAY-NULM can be utilized at the Centre/State/City levels for administration and other expenses, including monitoring, development and maintenance of database, MIS, e-tracking, evaluation and other activities.

Information, Education and Communication (IEC)

12.2 3 percent of the allocation under DAY-NULM can be utilized at the Centre/State/City levels for the purpose of IEC.

DAY-NULM Administration and Mission Structure

13.1 The Deendayal Antyodaya Yojana- National Urban Livelihoods Mission will have a three-tier interdependent structure. At the apex of the structure will be the National Mission Management Unit (NMMU), under the Ministry of Housing & Urban Affairs, Government of India as an independent society under the charge of a Mission Director reporting to Secretary, Housing & Urban Affairs. Till such time an independent society is set up, DAY-NULM will operate as a programme of Ministry of Housing & Urban Affairs with a dedicated staffing structure. At the State level, there will be State Mission Management Unit (SMMU) under an independent society headed by a Mission Director reporting to the Secretariat Department dealing with Municipalities, which is responsible for implementing skill development/employment/livelihoods promotion programmes. At the city level, a City Mission Management Unit (CMMU) will be established in all DAY-NULM Cities to work under the overall guidance of the SMMU.

13.2 Technical Advisory Groups (TAGs) at the national, state, and city levels will be established which will consist of experts in skills and livelihoods, financial inclusion, social mobilisation, capacity building, representatives from industry associations, etc. The members of National TAG for NULM and Chairperson will be nominated by Minister (HUA); members and Chairperson of the State TAG will be decided by the Chief Minister of the State/Administrator of the UT concerned and will include two nominations from Ministry of Housing & Urban Affairs. Suitable guidelines will be issued by the State/UT concerned for the formation of City TAGs for DAY-NULM.

National Mission Management Unit (NMMU)

13.3 DAY-NULM will have a Governing Council (GC) chaired by the Minister for Housing & Urban Affairs and an Executive Committee (EC) chaired by the Secretary, Housing & Urban Affairs. The GC will be the policy-making body setting overall vision and direction to the Mission, consistent with the national objectives. It will lay down priorities and review overall progress and development of the Mission. The composition of the GC will be as follows:

Sl No.	Designation	Membership
1.	Minister, Housing & Urban Affairs	Chairperson
2-4.	State Ministers of UD / LSG / MA on a rotation basis (x3) nominated by Chairperson	Members
5.	Member (Urban Development), NITI Aayog	Member
6.	Member (Labour & Employment), NITI Aayog	Member
7.	Secretary, Rural Development	Member
8.	Secretary, Human Resource Development	Member
9.	Secretary, Labour & Employment	Member



Sl No.	Designation	Membership
10.	Secretary, Micro, Small & Medium Enterprises	Member
11.	Secretary, Women and Child Development	Member
12.	Secretary, Social Justice & Empowerment	Member
13.	Adviser to Prime Minister in charge of Skill Development	Member
14.	Deputy Governor, Reserve Bank of India in charge of Banking Affairs	Member
15.	Chairperson of the Board, National Skills Development Corporation	Member
16-18	Eminent Livelihood Expert/Civil Society/Industry Representatives (x3) nominated by the Chairperson	Members
19	Secretary (HUA)	Member-Convenor
20	Any other member(s) co-opted by the Chairperson	Member(s)

13.4 The Executive Committee (EC) will be constituted under the chairpersonship of Secretary, Ministry of Housing and Urban Affairs, GoI, to oversee the activities of the Mission. The EC will ensure smooth functional linkages between different missions, departments and institutions through its constitution. The Chairperson of the EC may nominate additional members to the Committee as per requirement. The composition of the EC will be as follows:

Sl No.	Designation	Membership
1.	Secretary, Housing & Urban Affairs	Chairperson
2.	Secretary, Financial Services, M/o Finance or his nominee	Member
3.	Deputy Governor, RBI or his nominee	Member
4.	Chairman, Indian Banks Association	Member
5.	Secretary, Rural Development or nominee	Member
6.	Secretary, Labour & Employment or nominee	Member
7.	Secretary, Micro, Small & Medium Enterprises or nominee	Member
8.	Secretary, Department of School Education or nominee	Member
9.	Secretary, Women and Child Development or nominee	Member
10.	Secretary, Social Justice & Empowerment or nominee	Member
11-12.	Senior Advisors (UD) & (LEM), NITI Aayog	Members
14.	Mission Director (HFA), Ministry of Housing & Urban Affairs	Member
15.	Joint Secretary & Financial Adviser, Ministry of Housing & Urban Affairs	Member
16-17.	State Secretaries of UD / LSG / MA on a rotation basis (x3)	Members

Sl. No.	Designation	Membership
18.	CEO, National Skills Development Corporation	Member
19-20.	Eminent Livelihood Experts/Civil Society Representatives (x2) as nominated by Minister, Housing & Urban Poverty Alleviation	Members
21-23	Municipal Commissioners (x3) on a rotation basis nominated by the Chairperson	Members
24.	Mission Director (DAY-NULM, Ministry of Housing & Urban Affairs	Member-Convenor
25.	Any other member(s) co-opted by the Chairperson	Member(s)

13.5 DAY-NULM will be set up as an independent society supported by a 'National Mission Management Unit (NMMU)'. This unit will function under the overall supervision of the Mission Director. The NMMU will support implementation of the National Urban Livelihoods Mission. The Mission Director will be supported by two Directors, 4 Under Secretaries, 5 Section Officers and 6 Assistants, other subordinate staff and a technical support team with at least 10 technical experts.

13.6 The NMMU's tasks will be to facilitate the setting up of SMMUs and CMMUs with adequate staffing, provide support in preparing the Perspective Plans (State Urban Poverty Reduction Strategy) and City Livelihood Development Plans, preparation of guidelines under DAY-NULM, oversee the implementation of DAY-NULM, facilitation of the creation of shelters for urban homeless and liaise with other Missions/ Ministries/Departments/ Industry associations to explore areas for convergent action at the national, state and city levels.

State Mission Management Unit (SMMU)

13.7 The implementation of Deendayal Antyodaya Yojana-National Urban Livelihoods Mission at the State level will be managed by a two-tier structure – A Governing Council and an Executive Committee. At the state-level, DAY-NULM will also have a Governing Council chaired by the Chief Minister of the State and an Executive Committee chaired by the Chief Secretary of the State.

13.8 The composition of the GC will be as follows:

Sl No.	Designation	Membership
1.	Chief Minister	Chairperson
2.	Finance Minister	Vice-Chair
3	Minister, Urban Development / LSG / Municipal Affairs/ Administration – in charge of Urban Local Bodies	Member



Sl No.	Designation	Membership
4.	Minister, Rural Development	Member
5.	Minister, Labour & Employment	Member
6.	Minister, Industry	Member
7.	Minister, Health	Member
8.	Minister, Technical Education	Member
9.	Chief Secretary	Member
10.	State Lead Bank Officer	Member
11.	Representative of Ministry of Housing & Urban Affairs, GoI	Member
12-13	Representatives of Urban Local Bodies – Mayors/Chairpersons (2)	Members
14-16	Livelihood Experts/Civil Society/Industry Representatives (3)	Members
17	Secretary/Principal Secretary in charge of DAY-NULM	Member-Convenor
18	Any other member(s) co-opted by the Chairperson	Member(s)

13.9 The composition of the EC will be as follows:

Sl No.	Designation	Membership
1.	Chief Secretary	Chairperson
2.	Secretary/Principal Secretary i/c of Urban Local Bodies	Member
3.	Secretary/Principal Secretary i/c of Urban Development/ Housing	Member
4.	Secretary, Finance	Member
5.	Secretary, Rural Development	Member
6.	Secretary, Labour & Employment	Member
7.	Secretary, Social Welfare	Member
8.	Secretary, Health & Family Welfare	Member
9.	Secretary, Public Works Department	Member
10.	Secretary, Food & Civil Supplies	Member
11.	Secretary Social Justice & Empowerment	Member
12.	Secretary in charge of Primary Education	Member
13-14	State Lead Bank Officer and Head of another Nationalised Bank	Members
15.	State Representative of RBI	Member
16.	Industry Representative	Member

Sl No.	Designation	Membership
17-19.	Representatives of SHGs/Federations (3)	Members
20.	State Mission Director, NRLM	Member
21.	State Officer in charge of Technical Education / Labour/ Industry	Member
22.	Representative of Ministry of Housing & Urban Affairs	Member
23.	State Mission Director, DAY-NULM	Member- Convenor
24.	Any other member(s) co-opted by the Chairperson	Member(s)

13.10 The projects under SUH would be formulated, constructed and operated by the municipal bodies or other agencies including the private organisations identified by the State Government or local bodies. Sanction of suitable and viable projects under SUH after appraisal of each project will be done at the level of State EC.

13.11 The State Urban Livelihoods Mission will be set up as a society and will be supported by a State Mission Management Unit (SMMU) to oversee the implementation of the Mission and other poverty alleviation programmes in the State. The National and the State Missions will have a symbiotic relationship. They will have mutual access to the knowledge and services in the area of urban livelihoods and poverty alleviation.

13.12 The SMMU will be headed by a State Mission Director (SMD) who will be assisted by at least 4 Project Officers in charge of skills and livelihood, micro-enterprises, capacity building and finance & administration. The State Mission will have functional autonomy under the overall charge of the Secretary/Principal Secretary concerned for implementing the Mission in the State.

13.13 As per the requirements, the State Unit would include experts in the areas of social mobilisation, institution development, capacity building and training, micro finance development, livelihoods promotion, skill training and placement in remunerative jobs, gender, communication, MIS, monitoring and evaluation, human resource, finance, administration, etc.

13.14 The SMMU will have a dedicated MIS Cell to undertake online monitoring. The SMMU will coordinate with programme management units for Housing for All and RAY to ensure convergence of programmes.

13.15 The SMMU will have the responsibility to ensure collaboration among various line Departments of the State Government to facilitate convergence of activities to derive optimal benefits from DAY-NULM and other programmes. It will use the services of national, regional



and state resource institutions for the effective implementation of different components of the Mission's programmes and will also ensure proper coordination with the city level units of DAY-NULM.

City Mission Management Unit (CMMU)

13.16 At the city level, DAY-NULM will be managed by an Executive Committee chaired by the Municipal Commissioner. The composition of the EC will be as follows:

Sl No.	Designation	Membership
1.	Municipal Commissioner	Chairperson
2.	Officer in charge of NRLM	Member
3.	Officer in charge of Industry	Member
4.	Officer in charge of Modular Employable Skills	Member
5.	Chief Medical Officer	Member
6.	District Social Welfare Officer	Member
7.	Senior-most CE / SE / EE of PWD posted at the district	Member
8.	Senior-most district-level officer responsible for primary / secondary education	Member
9.	District Supply Officer	Member
10-11	Representatives of Banks (2)	Members
12-13	Representatives of SHGs/Federations (2)	Members
14	City Project Officer, DAY-NULM	Member-Convenor
15	Any other member(s) co-opted by the Chairperson	Member(s)

13.17 In addition to livelihood components under DAY-NULM, the EC at the city level will be responsible for the planning, implementation and management of facilities created under SUH with the participation of municipal authorities, community representatives, civil society organisations, line departments and elected representatives.

13.18 A dedicated unit City Mission Management Unit (CMMU) will be managed by a City Project Officer (CPO). The CPO will be of the rank of a Deputy Municipal Commissioner/ Executive Officer and will be assisted by one or more Assistant Project Officers (APOs) and a team of functional specialists in the fields of social mobilisation, institution and capacity building, micro finance, livelihoods/ micro enterprises. In metropolitan cities, the CPO will be assisted by at least two Assistant Project Officers (APO). The functional specialists will be appointed on contractual basis and will undertake activities in the respective fields under the leadership of City Project Officer. The CMMU will be linked to the community structures

in the cities. The Community Organisers (COs) will be hired by the CMMU to facilitate this linkage. Each CO will cover at least 3,000 urban poor families.

13.19 CMMU will be responsible for implementing the Mission's programmes in the city following the DAY-NULM guidelines, developing and implementing City/Town Livelihood Development Plan and the administration and finance of DAY-NULM in the city.

13.20 The MMUs at the state and city levels are envisaged as long-term structures for livelihood and skill development of the urban poor on a continuous basis. Therefore, states will be expected to source human resources for the state and city-level MMUs through dedicated State/Municipal Cadres for Urban Community Development/ Poverty Alleviation (created where the same do not exist) who will be supported by experts/professionals on contract basis. Until the formulation and operationalisation of the cadres, funds will be available for various positions for managing DAY-NULM on contract basis for a period of five years.



Monitoring & Evaluation

14.1 States / UTs will be required to send in Monthly Progress Reports (MPRs) /Quarterly Progress Reports (QPRs) in prescribed formats with regard to targets and achievements. Apart from MPRs/ QPRs, the Mission Directorate, DAY-NULM may prescribe other progress reports as may be considered appropriate from time to time. The States / UTs will establish suitable monitoring mechanisms and monthly reporting from the CMMUs regarding the progress of various components of DAY-NULM.

14.2 Given the geographic scale and magnitude of the resources and activities to be supported by DAY-NULM, a comprehensive and robust IT enabled NULM MIS would be established for tracking of targets and achievements. States / UTs will be required to submit progress reports online.

14.3 The monitoring activities will include, but not be limited to, third party evaluation, impact evaluation studies and social audit, etc. The evaluation of the mission will be undertaken during the course of its implementation to effect mid-term corrections and align the scheme on the achievement of its key objectives.

14.4 The cost for these activities will be met under the A&OE component of DAY-NULM.

Guidelines for Implementation

15.1 The Mission Directorate in the Ministry of Housing and Urban Affairs, Government of India will issue a set of detailed operational guidelines from time to time for each component and sub-component of DAY-NULM, for effective operationalisation, implementation and monitoring of the Mission.

Annexure: List of States/UTs

List of big states	List of small states/UTs
1. Andhra Pradesh	1. Arunachal Pradesh
2. Assam	2. Goa
3. Bihar	3. Himachal Pradesh
4. Chhattisgarh	4. Jammu & Kashmir
5. Gujarat	5. Manipur
6. Haryana	6. Mizoram
7. Jharkhand	7. Meghalaya
8. Karnataka	8. Nagaland
9. Kerala	9. Sikkim
10. Maharashtra	10. Tripura
11. Madhya Pradesh	11. Uttaranchal
12. Orissa	12. Andaman & Nicobar Islands
13. Punjab	13. Chandigarh
14. Rajasthan	14. Dadra & Nagar Haveli
15. Tamil Nadu	15. Daman & Diu
16. Uttar Pradesh	16. Lakshadweep
17. West Bengal	17. Puducherry
18. Delhi	
19. Telangana ¹	

¹ As amended vide erstwhile M/o HUPA OMLno.K-14011/7/2013-UPA/FTS-9789 dated 3rd August, 2015



**Ministry of Housing
and Urban Affairs**
Government of India



Ministry of Housing
and Urban Affairs
Government of India



Guidelines for Swachh Bharat Mission - Urban

Revised as on 5th October 2017



HARDEEP S PURI

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

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

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

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

Jai Hind!



DURGA SHANKAR MISHRA
Secretary
Ministry of Housing & Urban
Affairs

MESSAGE FROM SECRETARY- HOUSING AND URBAN AFFAIRS

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

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

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

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



VINOD KUMAR JINDAL
Mission Director –
Swachh Bharat Mission
(Urban)

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

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

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

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

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1. Introduction

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



2. Swachh Bharat Mission (Urban)– Overview

2.1 Mission Objectives

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

2.2 Duration of the Mission

The Mission will be in force till 2nd October 2019

2.3 Mission Components

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

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

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

2.4 Mission Coverage: Cities and target population

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

2.5 Mission Strategy

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

10 Swachh Bharat Mission (Urban) Guidelines

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

The State Governments shall pursue the following:

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

2.6 Mission Funding

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

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

3. Concept Sanitation Strategy

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

4. SBM (Urban) Component 1: Household Toilets

4.1 SBM (Urban) aims to ensure that

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

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

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

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

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

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

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

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

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

- 4.3. For this component, beneficiary shall mean any household that does not have access to an individual household toilet or has an insanitary toilet (dry / bahou and single pit latrine). No other criteria is to be applied.
- 4.3.1. Selection of Beneficiary Household shall be as per the strategy adopted by ULB under the guidance of state government. However, the following guiding principles may be followed:
- (i) Initially, a campaign to create awareness may motivate beneficiaries to come forward on their own. This should be taken at the ULB level and followed up by accepting a simple application and undertaking, to be verified within 7 days and approved at ULB level.
 - (ii) ULBs are expected to carry out a house-to-house survey; in so doing they shall also take into consideration Census 2011 data or any recent survey available to them. This baseline data shall be put in public domain by 15.02.2015.
 - (iii) Any claims and objections received shall be addressed in a transparent manner and continuous modifications can be made in the baseline data.
 - (iv) Based on this house to house survey, all households practicing open defecation shall be identified and ULB's need to approve either a Household toilet or plan for community toilets for each of such identified household/group of household.
- 4.3.2. Beneficiary households will be targeted under this scheme irrespective of whether they live in authorized/unauthorized colonies or notified / non-notified slums. Under SBM (Urban), tenure security issues are to be de-linked with benefits.
- 4.3.3. The states and ULBs must ensure that the maximum number of beneficiaries from individual household toilets will be normally limited to the numbers indicated in the Census of India 2011 for each town.
- 4.4. Central government incentive for the construction of household toilets will be Rs. 4,000 per household toilet for each identified beneficiary household, in states and UTs. However, for North eastern and Hilly states, the Central government incentive will be Rs 10,500 per unit.
- 4.4.1. 50% of the Central Government incentive will be released to the identified beneficiary household by the ULB as 1st instalment on approval by the ULB along with share of the state government. There is no bar on releasing any extra funds at any stage using additional resources generated/provided by state government/ ULB.
- 4.4.2. The ULB shall verify each application before releasing any incentive. Verification of the application should be completed within 7 working days of its submission of application by the beneficiary.
- 4.4.3. The remaining 50% of Central Government incentive as 2nd instalment should be released to the identified beneficiary household along with the State Government's incentives upon verification of physical progress of construction of the household toilet. The actual process of verification will be as per the directions of the respective State Government.

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- 4.4.4. Final Verification of the construction of the household toilet should be supported by location-based technologies, wherein self-attested geo-tagged photographs of the construction, along with the applicant are taken out. These photographs must be uploaded to the SBM (Urban) MIS and be monitored by the ULBs and the States.
- 4.4.5. All financial incentives (government and /or private) for this component will be deposited directly (by electronic clearing service) into the bank accounts of the beneficiary households (including accounts opened under the Pradhan Mantri Jan Dhan Yojana). No cash/cheque disbursements shall take place. The ULBs should ensure that financial incentives to beneficiary households are transferred in a timely and hassle-free manner. The State government should evolve standard norms for this throughout the state and ensure the monitoring of its implementation.
- 4.4.8 States will contribute a minimum of Rs 2,867 per IHHL towards individual toilets to match Central Share of Rs 4,000 per IHHL. For UTs without legislature, Central share will be 100% (Rs 4000 per IHHL) and UT share of Rs 1333 will also be borne by the Centre. For UTs with legislature, Central share will be Rs 4,000 per IHHL and UT share will be Rs 1,333 per IHHL. For North Eastern and Himalayan states, the Central share will be Rs 10,800 per IHHL, and state share will be Rs 1,200 per IHHL.



5. SBM (Urban) Component 2: Community Toilets

- 5.1. Under SBM (Urban), it is estimated that about 20% of the urban households in cities, who are currently practicing open defecation are likely to use community toilets as a solution due to land and space constraints in constructing individual household latrine.
- 5.2. Community toilet blocks will consist of a given number of toilet seats, as per requirements, toilet superstructure including the pan and water closet, and a substructure (either an on-site treatment system, or a connection to underground sewerage/septage system) shared by all the toilet seats and facilities for hand wash.
 - 5.2.1. Care should be taken to ensure that these facilities have adequate provision for separate toilets and bathing facilities for men, women and facilities for the disabled (e.g. ramp provision, braille signage, etc.).
 - 5.2.2. The norms for connection of the superstructure to an on-site system or connection to an underground sewerage system as defined in paragraphs 4.2.1 and 4.2.2 above will apply here.
 - 5.2.3. ULBs should ensure that all community toilets being constructed under SBM (Urban) are built in tandem with water supply arrangements in ULBs. Suggested technical specifications, technologies and tentative cost of community toilets are available at Annexure II.
- 5.3. For this component, beneficiaries shall be groups of households ("beneficiary household group") in urban areas whose members practice open defecation and who do not have access to household toilet, and for whom the construction of individual household toilets is not feasible. Beneficiary household groups under this component of SBM (Urban) shall be identified by the procedure as designed by the ULB. This may be application based or survey based, with or without participation of community based organisations. Involvement of civil society organisations is to be encouraged. NGOs, Area, Ward or Mohalla Sabha's may be used for this purpose. Beneficiary household groups will be targeted under this scheme irrespective of whether they live in authorized/unauthorized colonies or notified / non-notified slums. Under SBM (Urban), tenure security issues are to be de-linked with benefits.
- 5.4. Once a sufficient number of households are identified as a group, the ULB shall identify suitable piece of land adjoining their houses/dwelling and design the toilet block. Efforts should be made to look into all possible sources of revenue generation by leveraging land, use of rooftop or any other means.)

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- 5.5. Central government incentive for the construction of community toilets will be in the form of 40% Grant/VGF, for each community toilet block constructed. The base unit cost of CTs will be calculated at Rs 98,000 per seat, wherein the VGF/Grant will be upto 40% of the project cost (i.e. VGF/Grant of Rs 39,200 per seat). ULBs may also provide mobile toilets for use as community toilets. In order to address the issue of open defecation by dwellers/ encroachers on Railway land, ULBs may put up mobile toilets and or eco-friendly toilets on Railway land, as per clearance received from Ministry of Railways.
- 5.6. Projects will be prepared and sanctioned by ULBs. In the entire project approval and procurement process, all provisions and procedures as prescribed by respective State Governments for ULBs must be followed in their entirety. The entire approval procedure except for release of Central funds will end at the ULB level. To this end the States are required to empower the ULBs if not already done so. This includes the delegation of powers to allot land (for this purpose) to ULB's and mechanisms to leverage this land to make the Community Toilet a viable project.
- 5.7. All community toilets constructed under SBM must have a minimum 5 year maintenance contract.
- 5.8. States will contribute a minimum of Rs 26,134 per seat towards community toilet projects to match Central Share of Rs 39,200 per seat. For UTs without legislature, Central share will be Rs 39,200 per seat, and UT share of Rs 13,067 will also be borne by the Centre. For UTs with legislature, Central share will be Rs 39,200 per seat while UT share will be Rs 13,067 per seat. For North Eastern and Hilly states, Central share will be Rs 39,200 per seat while state share will be Rs 4,356 per seat.

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



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

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

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- 6.8. The Projects will be prepared, sanctioned and implemented by ULBs. In the entire project approval and procurement process, all provisions and procedures as prescribed by respective State Governments for ULBs must be followed in their entirety. The entire approval procedure should end at the ULB level. To this end the States are required to empower the ULBs if not already done so. This includes the delegation of powers to allot land (for this purpose) to ULB's and mechanisms to leverage this land to make the Public Toilet a viable project.
- 6.9. All Public Toilets and urinals constructed under SBM must have a minimum 5 year maintenance contract.
- 6.10. ULBs should ensure that for the convenience of the public, at every public place (banks, post offices, bus stops, petrol pumps, metro stations, hospitals, restaurants, schools, health centres, anganwadis, citizen centres) there should be at least one public toilet available, and that the facility should be kept functional and open for public use.



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

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

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

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

- 8.1. A key strategy under SBM (Urban) is behavior change communication to ensure that sanitation as an issue is mainstreamed with the general public at large and should cover issues of open defecation, prevention of manual scavenging, hygiene practices, proper use and maintenance of toilet facilities (household, community or otherwise), etc., and its related health and environmental consequences. Communication material for behavior change shall be designed in consultation with the M/o Information and Broadcasting, M/o Health & Family Welfare, and should be in sync with the material being used under SBM (Rural).
- 8.2. A total of 15% of the total central allocation will be earmarked for this component. Of this, 12% will be earmarked for States to undertake massive public awareness campaigns on sanitation and establishing its link to public health, hygiene and the environment through various means including –radio, social media, documentaries, plays, workshops, etc. The remaining 3% will be earmarked for the MoHUA to draw a national media campaign and developing standard campaign tools for effective awareness and communication on sanitation.
- 8.3. Expenditure on national Newspaper and national TV is not an admissible item under this component for the state government or for the ULB's as this is taken care by government of India ministries and organisations. **However, for faster procurement of short-term IEC interventions, ULBs may procure IEC-linked services and items from local agencies on nomination basis up to Rs 5 lakhs per intervention.**
- 8.4. States shall prepare an annual action plan, with details of State funding commitment, for Public Awareness & IEC and State HPC shall approve it. At least 50% of the IEC fund in each annual plan, as approved by State HPC, must go to the ULB's for IEC activities at the grass root level.
- 8.5. HPEC at State level shall be the competent authority to authorize and delegate administrative powers for use of the state level funds within the approved plan. ULB's shall be competent to spend the minimum 50% part of the ULB level funds, as per approved plan.
- 8.6. Under no circumstance shall this fund be utilized for purchase of vehicles, construction and maintenance of buildings, creation of posts and payment of salary, and purchase of furniture and fixtures.
- 8.7. **States will contribute a minimum of 40% of project costs towards IEC & Public awareness to match 40% of project costs as Central Share. For UTs without legislature, Central share will be 100% of project cost. For UTs with legislature, Central share will be 80% of project cost, and state share will be 20% of project cost. For north Eastern and hilly states, Central share will be 90% of project cost, while state share will be 10% of project cost.**

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

- 9.1. 3% of the total Central Government allocation under the mission will be earmarked for capacity building, administrative and office expenses of States and ULBs.
- 9.2. 2% of the total Central Government allocation under the mission will be utilized at MoHUA level for capacity building, convening national and regional workshops, various awards and best practice recognition, programme research, studies, international cooperation for capacity building and technology development, A&OE and various eligible purposes in consultation with the Integrated Finance Division (IFD) of the M/o UD.
- 9.3. States shall propose extensive capacity building activities to be implemented in a mission-mode manner, which will enable the progressive achievement of objectives of SBM (Urban) in a time-bound manner. These will be specified in the comprehensive annual action plan prepared by each state. This will be approved by State Level High Power Committee after sharing and considering suggestions from MoHUA. At least 50% of this fund, in each annual plan, as approved by State HPC, must go to the ULB's for activities at the ULB level.
- 9.4. HPEC at State level shall be the competent authority to authorize and delegate administrative powers for use of these funds. ULB's shall be competent to use the minimum 50% fund, as per approved plan, passed on to them.
- 9.5. States will be encouraged to use other available capacity building funds to dovetail or integrate capacity building activities of ULB's.
- 9.6. States and ULBs should identify relevant officials (both senior level officials and field-level functionaries) for training and draw up a calendar of training for them. It will be the responsibility of the State Mission Director to ensure that identified officials undergo adequate capacity building / training to ensure the success of SBM (Urban) in the state. Additionally, states should also identify relevant officials / persons capable of spreading the training on sanitation under SBM (Urban) as "master trainers" who can attend central government training on SBM (Urban) and then organize subsequent training to diffuse the message of SBM (Urban) in the states.
- 9.7. MoHUA has listed experts who can conduct workshops at the ULB level and provide the requisite training. This list shall be updated from time to time by MoHUA. ULBs may

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

- 9.8. All support structures for implementing the mission at the state and ULB levels defined in the Mission Management Structure (section 11 of the SBM (Urban) guidelines), i.e., the Programme Management Units (PMUs) at the State level, the Programme Implementation Units (PIUs) at the city level, and Independent Project Review & Monitoring Agencies (IPRMA) etc., engaged on an outsourced basis, shall be funded under this head.
- 9.9. ULBs may also utilise capacity building funds of SBM-Urban to:
 - 9.9.1. engage Quality Council of India to map all public toilets in the city on Google maps platform.
 - 9.9.2. engage M/s ITI Ltd, Telecommunications Consultants India Ltd or Bharat Sanchar Nigam Ltd to implement ICT based solution for monitoring Community and Public toilet performance.
 - 9.9.3. make 5 months' payment to implementation partner (BSNL/DIMTS/MTNL) for ICT-based vehicle tracking solution as mentioned in para 11.3.2
- 9.10. Under no circumstance shall this fund be utilized for purchase of vehicles, construction and maintenance of buildings, creation of posts and payment of salary, and purchase of furniture and fixtures
- 9.11. States will contribute a minimum of 40% of project costs towards Capacity building & A&OE to match 40% of project costs as Central Share. For UTs without legislature, Central share will be 100% of project cost. For UTs with legislature, Central share will be 80% of project cost, and state share will be 20% of project cost. For north Eastern and hilly states, Central share will be 90% of project cost, while state share will be 10% of project cost.
- 9.12. All ULB staff will be required to mandatorily register for and complete with certification the e-learning training modules that have been compiled on the e-courses portal on www.swachhbharaturban.in.

10. Funding Pattern and Financial Process

10.1 Funding Pattern: Guiding principles

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

10.2 Clarification on Grant vs VGF

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

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

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

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

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

10.3 Allocation of funds to States / UTs

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

S. No.	Classification	Percentage Allocation (Central Govt. funding)	Total Amount for Mission Period Rs. Crore
i.	Project Fund based on Normative Criteria	60%	8773.80
ii.	Performance Fund based on Performance Matrix	20%	2024.50
iii.	Public Awareness & IEC Activities	15%*	2183.44
iv.	Capacity Building & A&OE	3%	438.69

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

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

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

*Flexi Funds in terms of the Department of Expenditure OM No. No.555/PEI/2011 dated 05.01.2014 will be available to states.

ii.	Research, Capacity Building & A&OE (MoU/UD)	2%	252.40
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* 2% will be retained by MoHUA

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

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

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

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

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

10.4 Disbursal of funds to States / UTs and ULBs

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

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

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

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

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

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

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

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

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

10.5 Sanction of projects (DPR):

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

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

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

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

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

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

11. Mission Management Structure

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

11.1 National Level

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

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

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

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

11.2. State level

11.2.1. A State High Powered Committee (SHPC) under the chairpersonship of the State's Chief Secretary, and with members drawn from concerned departments (including a MoHUA representative) shall be responsible for the management of SBM (Urban) at the State / UT level. The functions of the HPC will include:

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

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

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

- (i) The SBM State Mission Directorate will be headed by a State Mission Director (SMD) of appropriate seniority. The SMD will also function as Member-Secretary to the State Level HPC.
- (ii) The SMD will create / notify a uniform structure across the state for the planning, designing, project preparation, appraisal, sanction and implementation of sanctioned projects under the mission at the ULB level. This shall be done keeping in mind the advisories issued by the National Mission Directorate from time-to-time.
- (iii) The Mission Directorate shall be supported by a dedicated Project Management Unit (PMU) on an outsourced basis.

11.3. ULB level

- 11.3.1 The SBM is envisaged as a People's movement (Jana Andolan) for ensuring hygiene, waste management and sanitation across the country. It is therefore essential that in its implementation the ULBs elicit the active participation of the Ward Committees, Area Sabhas, Resident Welfare Associations, NGOs and Civil Society Groups.
- 11.3.2 ULBs may enter into agreements with Bharat Sanchar Nigam Ltd / Mahanagar Telephone Ltd / Delhi Integrated Multi-modal Transit Systems Ltd for procuring ICT based vehicle tracking and monitoring solution for the city.
- 11.3.3 The Swachhata mobile application has been launched to facilitate redressal of cleanliness related grievance of citizens under SBM (Urban). ULBs are advised to enact the services available in Swachhata app via the State Public Service Delivery Act.
- 11.3.4 ULBs are advised to engage Quality Council of India to map all public toilets, including those in commercial establishments, on Google maps.

12. Monitoring & Evaluation (M&E)

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

13. Logo and Tagline

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



Annexure I: Targets and Definitions under SBM (Urban)

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

Targets under SBM (Urban)

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

Sl No	Objective	Action under SBM (Urban) - Targets	Census 2011 - definition
1	Elimination of open defecation	• 80% urban households defecating in the open to be targeted for construction of household toilets	• No latrine within premises – open
2		• 20% urban households defecating in the open to be targeted for construction of community toilets	• No latrine within premises – open
3		• Construction of public toilets for floating population (presumed at 5% of total urban population)	• Total urban population
4	Conversion of insanitary latrines into sanitary latrines	• 100% of urban households having insanitary latrines to be targeted for construction of household toilets	<ul style="list-style-type: none"> • Night soil disposed into open drain • Service latrine with night soil removed by humans • Service latrine with night soil serviced by animals
5	Conversion of single pit latrines	• 60% of urban households having pit latrines	<ul style="list-style-type: none"> • Pit latrines with slab • Pit latrines with ventilated improved pit • Pit latrines without slab / open pit
6	Solid Waste management	• 60% of the urban population to be covered by SWM services (allowing for a 2% increase year on year)	• Total urban population

Definition of Types of latrines under Census 2011

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

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

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

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

- (i) Statutory towns are urban areas defined by administrative units that have been defined by 'statute' as urban such as municipal corporations, municipalities, cantonment boards, notified town area committees, town panchayats, or nagar palikas; and
- (ii) Census Towns: All administrative units satisfying the following criteria:
 - it should have a minimum population of 5,000 persons;
 - at least 75% of the male main working population should have been engaged in non-agricultural pursuits; and
 - it should have a density of population of at least 400 persons per km² (1,000 per mile²)

Annexure II: Technical Options for Toilets under SBM (Urban)

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

On-Site Sanitation (OSS) vs. Underground Sewerage

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

Features of OSS Systems

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

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

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

S.No.	OSS option	Kind of latrine				Application
		IHL	Shared latrine	Community toilets	Public toilets	
1	Trench-pit latrines / Leach Pits	√				<ul style="list-style-type: none"> In low- to medium density areas, particularly peri-urban areas, where there is space to install pits and where the digested sludge can be applied to local fields and/or gardens as a fertilizer and soil conditioner. Where water use is in the range 30-50 liters per capita per day depending upon the characteristics of the soil or groundwater level.
2	Septic Tank System with soak pit	√	√	√	√	<ul style="list-style-type: none"> Septic tanks are widely used to provide partial treatment of wastewater from individual homes, household clusters or institutional buildings where there is no sewerage network. For soak pits to function, soil conditions must be suitable for infiltration of effluent from septic tanks.
3	Biogas toilets (Anaerobic - developed by DRDO)	√	√	√	√	<ul style="list-style-type: none"> Widely used to provide 80% treatment of wastewater from IHL, household clusters or institutional buildings where there is no sewerage network. The effluent should be passed through a reed bed or soak pit before discharge. For soak pits to function, soil conditions must be suitable for infiltration of effluent from septic tanks.
4	Aerobic BioTank	√	√	√	√	<ul style="list-style-type: none"> Widely used to provide 100% treatment of wastewater from IHL, clusters of houses or institutional building where there is no sewerage network. The effluent can be directly discharged since it is completely safe. Chlorination is followed after treatment.

Technical features and specification for toilets under SBM (Urban)

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

I. Twin-Pit Latrine

Description	<p>It consists of superstructure (Toilet) and treatment units (two chambers). The two underground chambers (pits) are provided to hold fecal sludge. These are normally offset from the toilet and should be at least 1 meter apart. A single pipe leads from the toilet to a small diversion chamber, from which separate pipes lead to the two underground chambers. The pits should be lined with open-jointed brickwork. Each pit should be designed to hold at least 12 months accumulation of fecal sludge.</p> <p>Wastewater is discharged to one chamber until it is full of fecal sludge. Discharge is then switched to the second chamber. Just before the second chamber is full of fecal sludge, the contents of the first pit are dug out. During the time of storage, digestion should ensue that it is odorless and free of pathogens.</p>
O & M Requirements	<p>The pits must be used alternately and the diversion chamber must be accessible so that flow can be diverted between chambers. Wastewater should never be diverted back to the first chamber before digested sludge has been removed from it.</p> <p>Responsibility for O&M of the twin-pit latrine rests primarily with the household, who needs to ensure that the pits are used in the correct sequence and are emptied at the appropriate time. However, ULB utility or private contractors are required for emptying and to ensure safe disposal of septage at a treatment plant.</p>
Additional Infrastructure / treatment requirements	<p>If digested material cannot be used in local fields and gardens, provision will have to be made for transportation to areas outside the city for reuse on agricultural land.</p>
Limitations	<ul style="list-style-type: none"> • Households may not understand the system and as a result may not use the pits alternately, or may omit to use the filled pit at least for one year so that the contents degrade and become harmless. • Explanation of the operation and maintenance requirements is therefore essential at the time of installation. • Water may percolate through the soil surrounding the pit and pollute groundwater, which is a potential problem if water is used for drinking.

	<p>a) Size options for Toilet/ Super Structure (as shown in Fig. 1):</p> <ul style="list-style-type: none"> 750 mm x 900 mm x 1000mm; or 800 mm x 1000 mm x 1900 mm <p>b) Material – Brick work (as per Fig. 1) / FRP/Pre-cast Cylindrical Unit</p> <p>c) Minimum Land Requirement – 40 Sq. ft. - 60 Sq. ft. (depending upon the location of superstructure and distance between two pits)</p> <p>d) Size of Pits is shown in Table -1 below:</p> <table border="1" style="margin-left: auto; margin-right: auto;"> <thead> <tr> <th></th> <th colspan="2">5 users¹</th> <th colspan="2">10 users²</th> <th colspan="2">15 users³</th> </tr> <tr> <th></th> <th>Dia</th> <th>Depth (A)</th> <th>Dia</th> <th>Depth (A)</th> <th>Dia</th> <th>Depth (A)</th> </tr> </thead> <tbody> <tr> <td>Pit size</td> <td>900</td> <td>1000</td> <td>1100</td> <td>1300</td> <td>1300</td> <td>1400</td> </tr> </tbody> </table> <p>¹Only for VHL ²Group household toilets ³The specification for pits given at Fig 2 may be referred to.</p>		5 users ¹		10 users ²		15 users ³			Dia	Depth (A)	Dia	Depth (A)	Dia	Depth (A)	Pit size	900	1000	1100	1300	1300	1400
	5 users ¹		10 users ²		15 users ³																	
	Dia	Depth (A)	Dia	Depth (A)	Dia	Depth (A)																
Pit size	900	1000	1100	1300	1300	1400																
Cost (for 5 users)	Tentative cost varies from Rs. 15,000 ¹ to Rs. 20,000 ¹ depending upon the construction material																					

DESIGN OF PITS UNDER DIFFERENT CONDITIONS	

II. Septic Tank

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

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<p>Specifications</p>	<p>(a) Size options for toilet / super structure as shown in Fig. 1, 750 mm x 900 mm x 1900mm or 800 mm x 1000 mm x 1900 mm</p> <p>(b) Material – Brick work (as per Fig. 1) / FRP / Pre-cast Cylindrical Unit</p> <p>(c) Minimum Land requirement –40 Sq. ft. to 50 Sq. ft. (depending upon the location of superstructure)</p> <p>(d) Soak-pit size –The seepage pit may be of any suitable shape with the least cross-sectional dimension of 0.90 m and not less than 1 m in depth below the invert level of the inlet pipe. The construction shall be of perforated brickwork.</p> <p>(e) Recommended sizes of septic tanks for households (up to 20 users – group / shared toilets) is given in table below:</p> <table border="1" data-bbox="646 705 1356 985"> <thead> <tr> <th rowspan="2">No. of users Length (m) Breadth (m)</th> <th rowspan="2">No. of users Length (m) Breadth (m)</th> <th rowspan="2">No. of users Length (m) Breadth (m)</th> <th colspan="2">Liquid depth (m) (Cleaning interval of)</th> </tr> <tr> <th>2 years</th> <th>3 years</th> </tr> </thead> <tbody> <tr> <td>5 *</td> <td>1.5</td> <td>0.75</td> <td>1.0</td> <td>1.05</td> </tr> <tr> <td>10 **</td> <td>2.0</td> <td>0.90</td> <td>1.0</td> <td>1.4</td> </tr> <tr> <td>15 **</td> <td>2.0</td> <td>0.90</td> <td>1.3</td> <td>2.00</td> </tr> <tr> <td>20 **</td> <td>2.3</td> <td>1.10</td> <td>1.3</td> <td>1.8</td> </tr> </tbody> </table> <p>* Only for SH. ** Group household toilets</p> <p>Note 1: The capacities are recommended on the assumption that discharge from only WC will be treated in the septic tank. Note 2: A provision of 300 mm should be made for free board. Note 3: The sizes of septic tank are based on certain assumption on peak discharges, as estimated in IS: 2470 (part 1) and while choosing the size of septic tank exact calculations shall be made.</p>	No. of users Length (m) Breadth (m)	No. of users Length (m) Breadth (m)	No. of users Length (m) Breadth (m)	Liquid depth (m) (Cleaning interval of)		2 years	3 years	5 *	1.5	0.75	1.0	1.05	10 **	2.0	0.90	1.0	1.4	15 **	2.0	0.90	1.3	2.00	20 **	2.3	1.10	1.3	1.8
No. of users Length (m) Breadth (m)	No. of users Length (m) Breadth (m)				No. of users Length (m) Breadth (m)	Liquid depth (m) (Cleaning interval of)																						
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20 **	2.3	1.10	1.3	1.8																								
<p>Cost (for 5 users)</p>	<ul style="list-style-type: none"> Tentative cost varies from Rs. 25,000/- to Rs. 30,000/- depending upon the construction material (toilet and septic tank). Pre-fabricated septic tanks are available at lower cost in the market, which also may be explored to speed up the implementation. 																											

III Bio-digester toilet (developed by DRDO)

Description	<p>A bio-digester toilet is an anaerobic multi-compartment tank with inoculum (anaerobic bacteria) which digests organic material biologically. The details of biogas toilets are shown in Figure 7. This system converts faecal waste into usable water and gases in an eco-friendly manner. It can be connected to the toilet or a series of toilets. The toilet can be a superstructure fixed on the bio-digester or a separate unit. Bio-digester has an inlet, an outlet and a gas pipe.</p> <p>The tank has two components, namely, anaerobic microbial inoculum (seed bacteria) and specially designed fermentation tank. The tank can be made out of Stainless steel, Mild steel, FRP or concrete. Semi-treated water from bio-digester tank is needed to be further disposed into a soak pit or a septic bed arrangement for its treatment to acceptable levels of discharge.</p>															
Advantages	<ul style="list-style-type: none"> • As there is no sludge formation, there is no need for de-sludging and treatment. It is therefore more economical in the long-term as it conserves water and has minimum O&M • Night soil degradation, occurs through microbial reaction which converts it into bio gas and odorless water. • Technology is environmental friendly, maintenance free and efficient without depending on conventional energy sources. • Permits use of toilet cleaning agents. • Suitable for mobile and stationary platforms. • Lifelong usage bio-digester tank does not need recharging, re-stuffing or maintenance. • Costs lesser than the conventional toilets. • Easy to transport and install. • One-third to one-fourth capacity of septic tank • Space requirement is less. 															
Specifications	<p>Toilet Superstructure</p> <p>(a) Size of Toilet /super structure – as shown in Fig. 1</p> <ul style="list-style-type: none"> • 750mm x 500mm x 1500mm or • 800 mm x 1000 mm x 1600 mm <p>(b) Material – Brick work (as per Fig. 1)/ FRP/Precast Cylindrical Unit</p> <p>Bio tank</p> <p>(a) Land requirement – 20 sq. ft.</p> <p>(b) Tank internal dimensions – 1395mm x1095 mm x 900 mm</p> <p>(c) Diagonal partition wall of 8mm thickness (adequately stiffened by ribs)</p> <p>(d) Tank is buried 600mm deep and anchored by 300mm long stainless steel (SS316) anchor bolts at corners</p> <p>(e) FRP tanks of 8mm thickness</p> <p>(f) Provision of water sealed outlet from the tank</p> <p>(g) For 5-6 users:</p> <ul style="list-style-type: none"> • Total capacity, 700 litres (1000 mmX700 mm and 1000 mm depth) • Where space is a constraint the depth of the tank can be increased to 1.5 m • Volume of anaerobic Compartment (30% of total capacity): 210 litres • Tank may be constructed with masonry also. <p>Table 3 – Volume of bio-digester tank for various user groups:</p> <table border="1" data-bbox="654 1512 1356 1736"> <thead> <tr> <th rowspan="2">Bio-digester tank No. of users / capacity</th> <th colspan="3">Material of construction</th> </tr> <tr> <th>Masonry</th> <th>Precast cylindrical unit</th> <th>Fiber reinforced plastic</th> </tr> </thead> <tbody> <tr> <td>5 to 7 users (700 Litre)</td> <td>17,100</td> <td>11,600</td> <td>22,000</td> </tr> <tr> <td>10 to 12 Users (1000 Litre)*</td> <td>19,000</td> <td>13,600</td> <td>24,000</td> </tr> </tbody> </table> <p>* Group / Shared toilets</p>	Bio-digester tank No. of users / capacity	Material of construction			Masonry	Precast cylindrical unit	Fiber reinforced plastic	5 to 7 users (700 Litre)	17,100	11,600	22,000	10 to 12 Users (1000 Litre)*	19,000	13,600	24,000
Bio-digester tank No. of users / capacity	Material of construction															
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10 to 12 Users (1000 Litre)*	19,000	13,600	24,000													

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

Description	<p>This technology differs from that of the bio-digester toilets developed by ORDO since the process adopted is aerobic - which involves a different multi-strain of bacteria which breaks down the waste matter through oxidation. Bio-toilets consist of a purpose built multi-chambered bio-tank in which the waste is stored as shown in Figure 8. The movement of the waste is slowed down as the waste flows from one chamber to another by a special process in the Bio-tank such that the multi-strain bio-media present in the tank can digest the waste and convert it fully into non-toxic neutral water. This water then passes through the last chamber for disinfection. Here water is treated with Chlorine where the majority of the germs are killed. The resultant water is free from all sorts of E-coli and local coliforms.</p> <p>The bricks and mortar Bio-tank is described in the last diagram of Figure 8. The superstructure is made of bricks and mortar. These are available in both flush and non-flush models.</p>
Advantages	<ul style="list-style-type: none"> • Aerobic bacteria are very efficient in breaking down organic waste and the waste is decomposed into water by the bacteria within 24 hours. The end products of aerobic degradation are carbon dioxide (CO₂) and water (H₂O). • The aerobic pathway also releases a substantial amount of energy. • The Bio-toilet is available in both portable as well as fixed models. The advantage of the portable model is that it can be shifted from one location to another as and when required, and the module can be assembled and disassembled easily. • The Bio-toilet eliminates the need for any periodic sludge removal.
Limitations	<ul style="list-style-type: none"> • The bacteria functions best in temperatures between 4 and 55 degrees centigrade • Bio-toilets need proper bacteria inoculation periodically depending on the usage at particular sites. An in-depth understanding of the operation and use of toilets in a given area must be undertaken BEFORE choosing bio-toilets as a solution. Attention must be given to O&M, especially in dense urban settlements where chances of blockage of bio-toilets increase, making it dysfunctional over a period of time if the inoculation is not done in time. • Pheny/ Harpic or any strong detergent/acid and bleaching powder should not be used to clean the pan. Only herbal / ayurvedic cleaning agents should be used. • Chlorine dose is necessary for disinfection.
O&M	<p>Responsibility of cleaning the toilet / superstructure is with the owner of the household in the case of IHUs / shared latrines and with the ULB in the case of community / public toilets.</p>
Specifications	<p>(a) Size of Toilet/ Super Structure as shown in Fig. 1 –</p> <ul style="list-style-type: none"> • 700 mm x 900 mm x 1800mm or • 800 mm x 1000 mm x 1900 mm <p>(b) Materials – Bricks and Mortar walls of Bio Digester tank and Superstructure, PCC tank feet, RCC toilet floor, PVC Door and Frame, RCC/PVC/ISI sheet Toilet Roof.</p> <p>(c) The Bio-toilet system consists of</p> <ul style="list-style-type: none"> • Bio digester Tank (Bricks & Mortar/FRP/Steel), • Superstructure (Bricks & Mortar/FRP) • Indian Pan/WC • Size: 4 feet x 4 feet tank base, 4 feet tank height, 6 feet superstructure height. • Maximum usage recommended 30 defecations/ day/ bio-toilet (no limit on urination) <p>(d) Land requirement - 16 Sq. ft.</p>

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

Description	<p>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.</p> <p>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.</p>																																
Septic tanks for public / community toilets	<p>Recommended sizes of septic tanks for community/ public toilets (up to 300 users) is given below in Table B.</p> <table border="1"> <thead> <tr> <th rowspan="2">No. of users</th> <th rowspan="2">Length (m)</th> <th rowspan="2">Breadth (m)</th> <th colspan="2">Liquid depth (cleaning interval of)</th> </tr> <tr> <th>2 years</th> <th>3 years</th> </tr> </thead> <tbody> <tr> <td>80</td> <td>5.0</td> <td>2.00</td> <td>1.0</td> <td>1.24</td> </tr> <tr> <td>100</td> <td>7.5</td> <td>2.65</td> <td>1.0</td> <td>1.24</td> </tr> <tr> <td>150</td> <td>10</td> <td>3.00</td> <td>1.0</td> <td>1.24</td> </tr> <tr> <td>200</td> <td>12.0</td> <td>3.00</td> <td>1.0</td> <td>1.24</td> </tr> <tr> <td>300</td> <td>15.0</td> <td>4.00</td> <td>1.0</td> <td>1.24</td> </tr> </tbody> </table> <p>[Source: Manual on Sewerage and Sewage Treatment Systems, 2013 Part A Engineering]</p> <p>Note 1: A provision of 300 mm should be made for free board.</p> <p>Note 2: The sizes of septic tanks are based on certain assumptions on peak discharges, as estimated in IS: 2470 (Part 1) and while choosing the size of septic tank exact calculations shall be made.</p> <p>Note 3: For population over 100, the tank may be divided into independent parallel chambers of maintenance and cleaning.</p>	No. of users	Length (m)	Breadth (m)	Liquid depth (cleaning interval of)		2 years	3 years	80	5.0	2.00	1.0	1.24	100	7.5	2.65	1.0	1.24	150	10	3.00	1.0	1.24	200	12.0	3.00	1.0	1.24	300	15.0	4.00	1.0	1.24
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200	12.0	3.00	1.0	1.24																													
300	15.0	4.00	1.0	1.24																													
Community Toilet - Norms for toilet seats	<ul style="list-style-type: none"> • One seat for 35 men; • One seat for 25 women; • Adequate bathing facilities 																																

42 Swachh Bharat Mission (Urban) Guidelines

<p>Public Toilets - Norms for toilet seats</p>	<p>Norms for toilet seats for public toilets are given in Table 8 below: (Source: Manual on Sewerage and Sewage Treatment Systems, 2013 Part A Engineering)</p> <p>Note (i) It may be assumed that two-thirds of the number are males and one-third female (ii) One water tap with drainage arrangements shall be provided for every 50 persons or part thereof in the vicinity of water closet and urinals. * At least 50% of female WCs may be Indian pan and 50% EWC (iii) Separate seat may also be provided for trans-genders (iv) Special arrangements may be made for physically challenged.</p> <table border="1" data-bbox="671 689 1353 1032"> <thead> <tr> <th>S. No</th> <th>Sanitary unit</th> <th>For males</th> <th>For females (A)</th> </tr> </thead> <tbody> <tr> <td>1</td> <td>Water closet (W.C)</td> <td>One per 100 persons up to 400 persons; For over 400 persons, add at the rate of one per 250 persons or part thereof</td> <td>Two for 100 persons up to 200 persons; over 200 persons, add at the rate of one per 100 persons or part thereof</td> </tr> <tr> <td>2</td> <td>Abution taps</td> <td>One in each W.C</td> <td>One in each W.C</td> </tr> <tr> <td>3</td> <td>Urinals</td> <td>One for 50 persons or part thereof</td> <td>Nil</td> </tr> <tr> <td>4</td> <td>Wash Basin</td> <td>One per W. C. and urinal provided</td> <td>One per W. C. provided</td> </tr> </tbody> </table>	S. No	Sanitary unit	For males	For females (A)	1	Water closet (W.C)	One per 100 persons up to 400 persons; For over 400 persons, add at the rate of one per 250 persons or part thereof	Two for 100 persons up to 200 persons; over 200 persons, add at the rate of one per 100 persons or part thereof	2	Abution taps	One in each W.C	One in each W.C	3	Urinals	One for 50 persons or part thereof	Nil	4	Wash Basin	One per W. C. and urinal provided	One per W. C. provided							
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<p>Treatment units</p>	<p>1. Bio-Digester with road bed systems/ soak pits 2. Bio Tank 3. Septic Tank with Soak Pits</p>																											
<p>Cost</p>	<p>Tentative basic cost for community toilets is Rs. 65,000/- per seat and public toilets is Rs. 75,000/- per seat. However, the cost per seat would vary depending upon the construction material, quality of construction, type of treatment technology adopted and O&M for specified period etc. However the cost of toilet in bio-digester given by NBCC are as under.</p> <table border="1" data-bbox="671 1283 1353 1637"> <thead> <tr> <th colspan="3">Superstructure- 5 Cubicle for 200 users</th> </tr> </thead> <tbody> <tr> <td>Pre-Painted galvanized Sheets</td> <td>Masonry</td> <td>Cement Board</td> </tr> <tr> <td>Rs 1,63,000/-</td> <td>Rs 86,000/-</td> <td>Rs 80,000/-</td> </tr> <tr> <th colspan="3">Superstructure- 10 Cubicle for 400 users</th> </tr> <tr> <td>Pre-Painted galvanized Sheets</td> <td>Masonry</td> <td>Cement Board</td> </tr> <tr> <td>Rs 3,26,000/-</td> <td>Rs 1,80,000/-</td> <td>Rs 1,60,000/-</td> </tr> <tr> <th colspan="3">Bio-Digester Tank- 10 KLD for every 200 users</th> </tr> <tr> <td>Masonry</td> <td></td> <td></td> </tr> <tr> <td>Rs 1,74,000/- per 20 users</td> <td></td> <td></td> </tr> </tbody> </table>	Superstructure- 5 Cubicle for 200 users			Pre-Painted galvanized Sheets	Masonry	Cement Board	Rs 1,63,000/-	Rs 86,000/-	Rs 80,000/-	Superstructure- 10 Cubicle for 400 users			Pre-Painted galvanized Sheets	Masonry	Cement Board	Rs 3,26,000/-	Rs 1,80,000/-	Rs 1,60,000/-	Bio-Digester Tank- 10 KLD for every 200 users			Masonry			Rs 1,74,000/- per 20 users		
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<p>Additional Infrastructure</p>	<p>It must be ensured that adequate water supply arrangement shall be made for proper functioning and upkeep of toilets. Whenever possible, ULBs should ensure that public and community toilets are outfitted with solar panels for the generation of electricity to ensure uninterrupted power supply and bring down O&M costs.</p>																											
<p>Implementation mode</p>	<p>All toilets shall be constructed through PPP mode with inbuilt provision of O&M for at least a period of 5 years</p>																											

For additional details the guidelines developed by NBCC can be downloaded, (www.nbccindia.gov.in)

Figures

Figure 1: Detailed layout of toilet

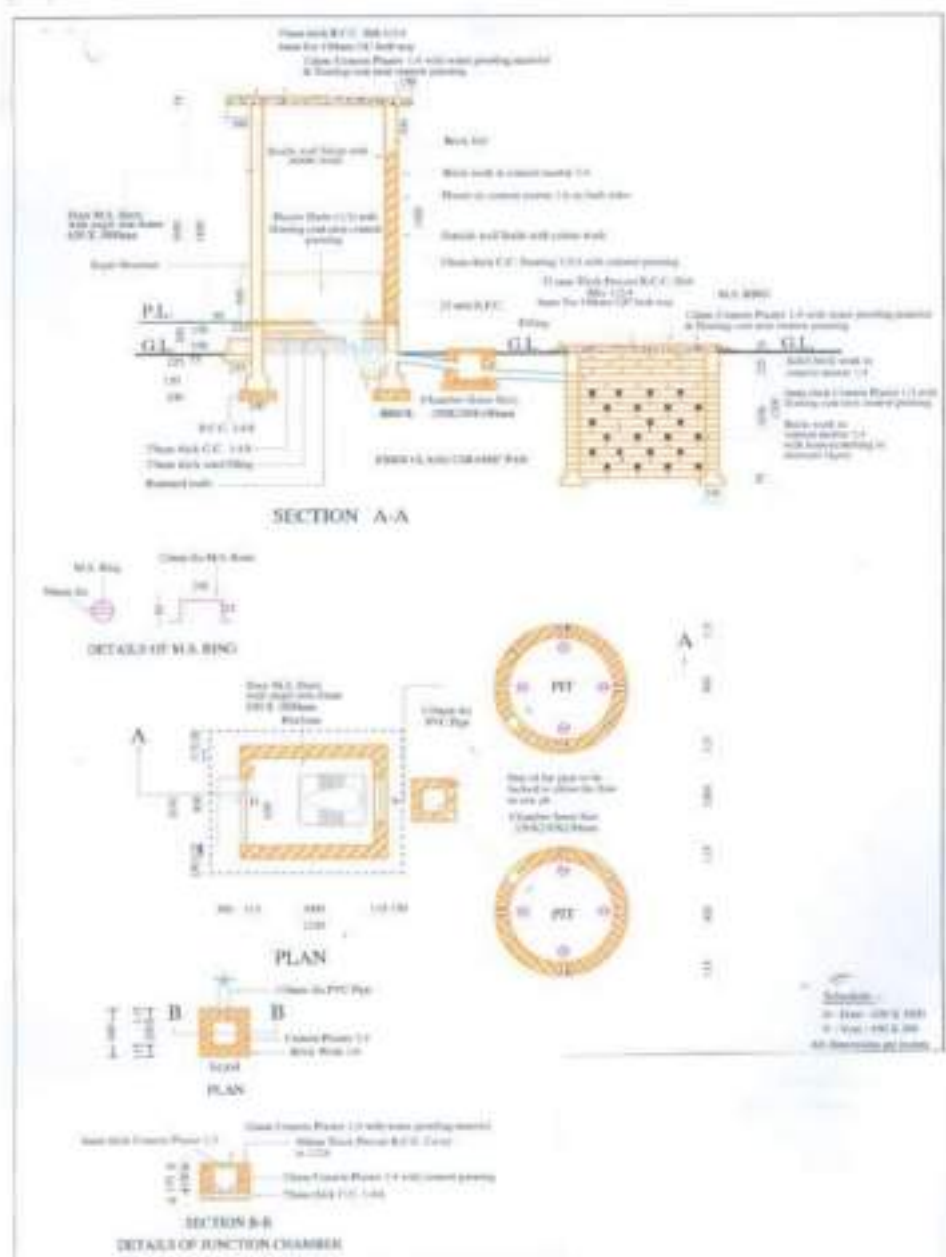


Figure 2: Pour-flush latrine with circular pits

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

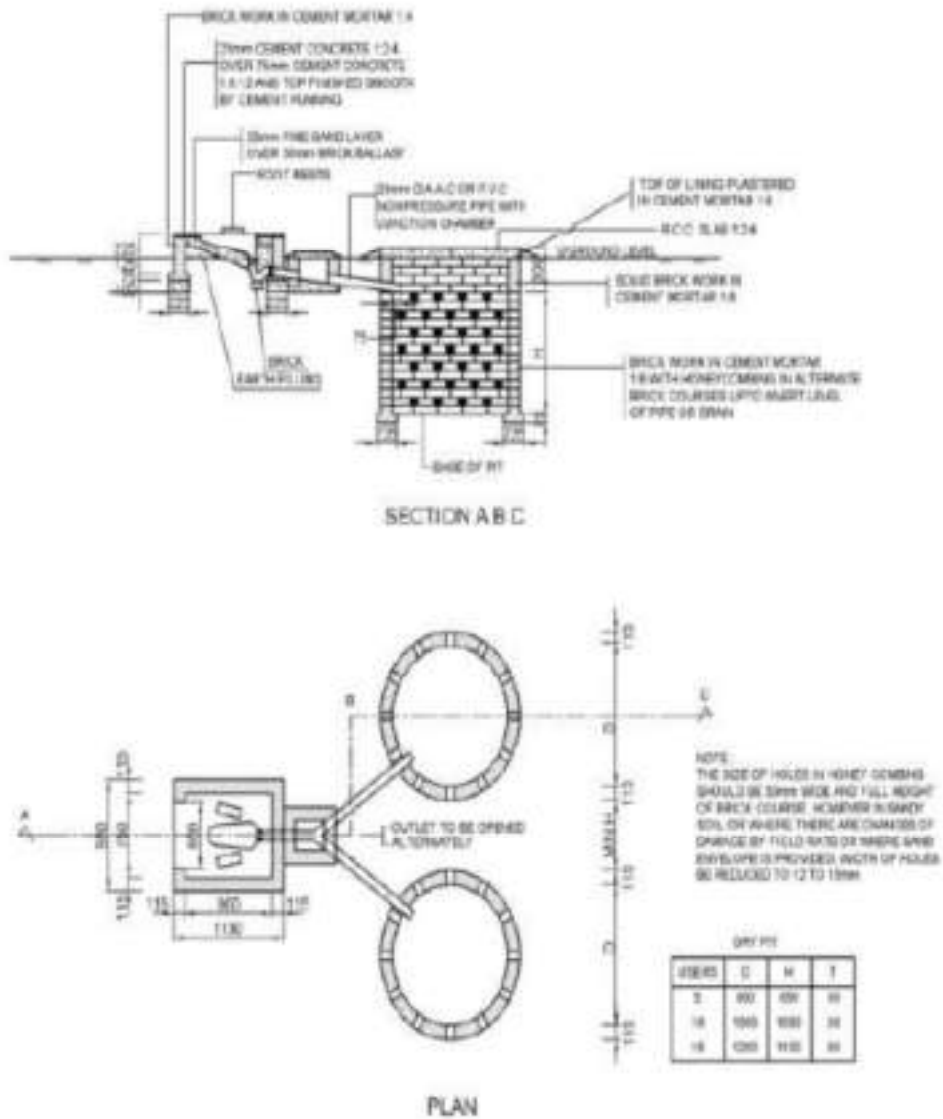


Figure 3: Pour-flush latrine in water-logged areas

Source: Manual on Sewerage and Sewage Treatment Systems, 2012, Part A: Engineering

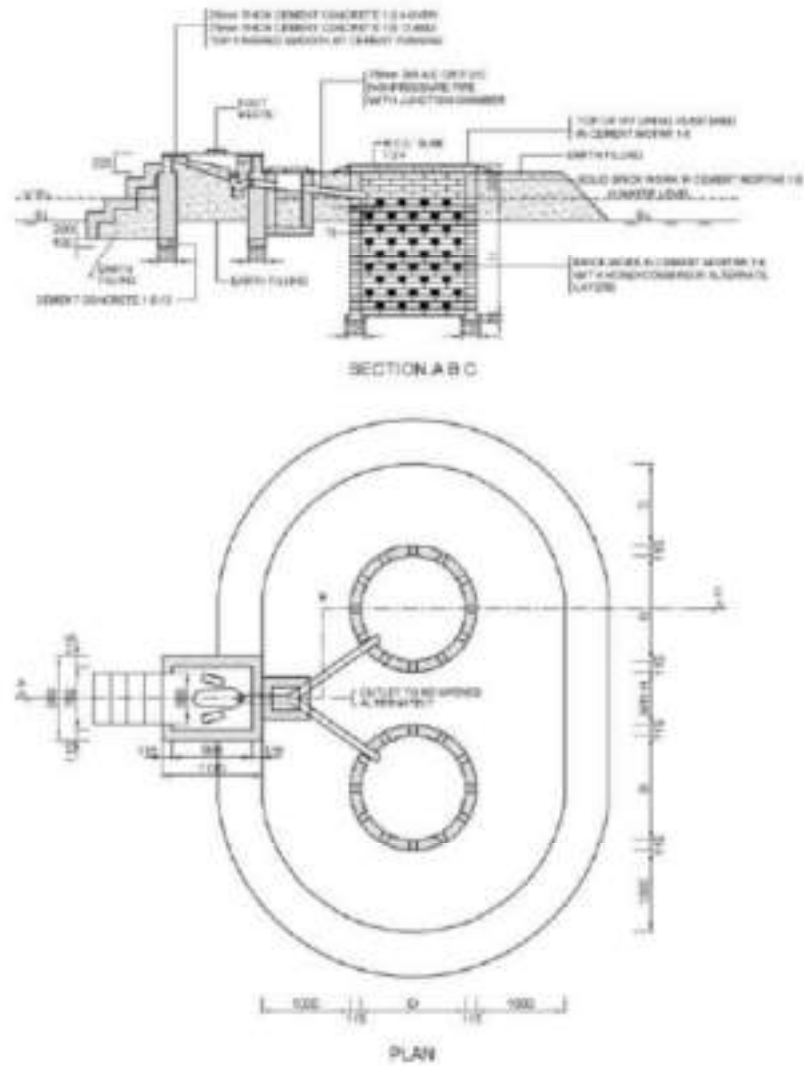


Figure 4: Leach pits in high subsoil water level

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

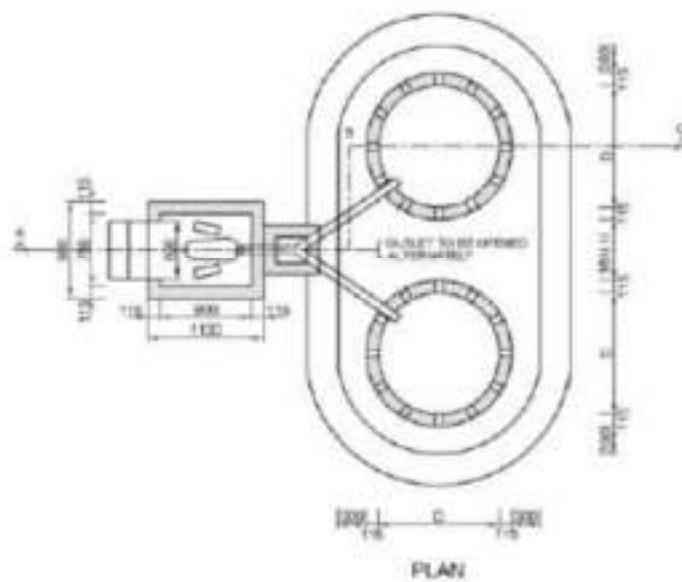
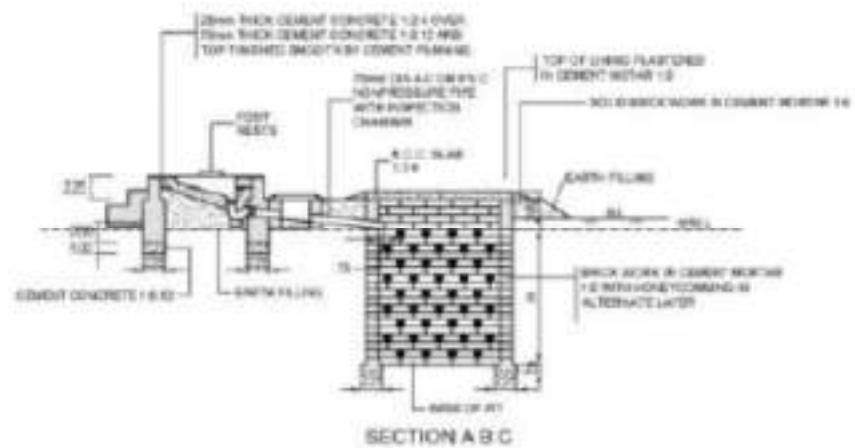


Figure 6: Typical sketch of two-compartment septic tank for 5 users

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

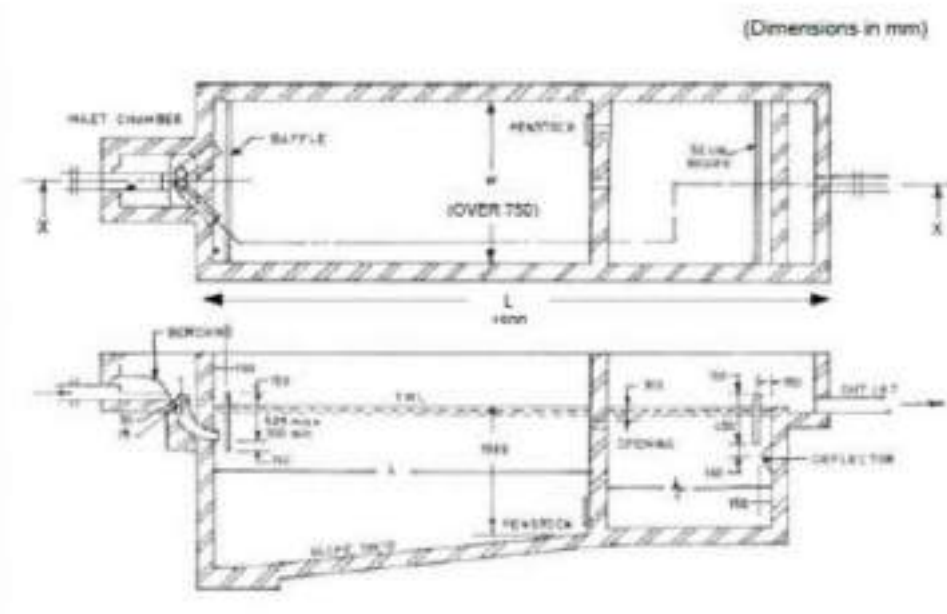


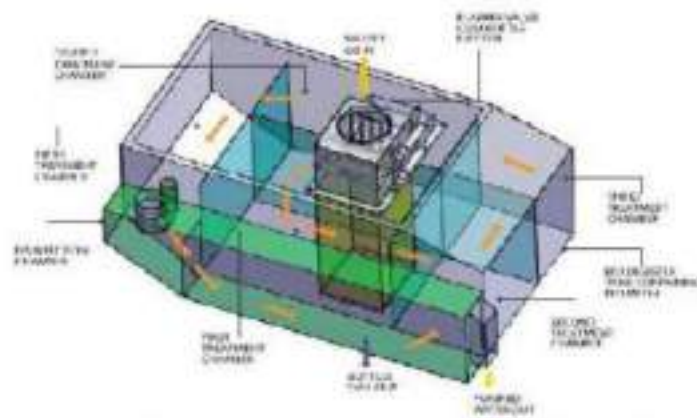
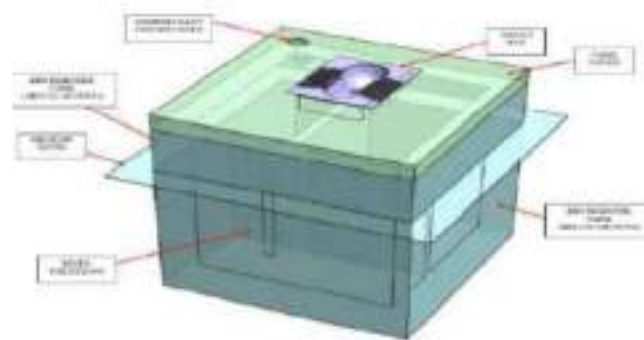
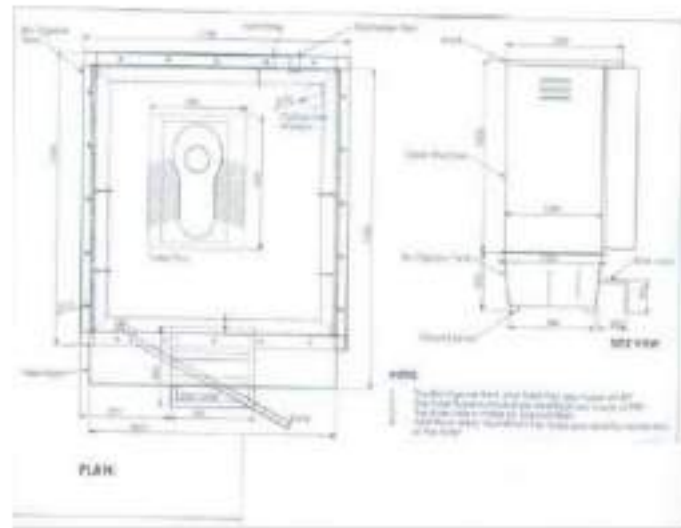
Figure 7: Details of bio-digester with reed bed

Source: OROCS



Figure 8: Details of Bio-Toilet

(Source: Private Agency)



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

States/UTs	POPULATION OF STATUTORY TOWNS			STATUTORY TOWNS		OPEN URBAN		Fund Share* (%)
	Pop. (in lakhs)	Population Share (%)	No.	ST Share %	Inhab.	Inhab.	Inhab.	
ALL INDIA	21.3.2011		2,641					
NON-NE STATES	81,70,00,000		8,825					
ANDAMAN & NICOBAR ISLANDS	1,02,254	0.01%	1	0.01%	1,209	0.01%	0.01%	0.01%
ARUNACHAL PRADESH	2,30,04,194	7.87%	275	3.27%	5,81,673	7.40%	5.17%	5.17%
ASSAM	1,12,41,874	3.60%	139	3.64%	5,46,409	6.96%	3.61%	3.61%
BIHAR	9,61,587	0.31%	1	0.03%	6,397	0.08%	0.17%	0.17%
CHHATTISGARH	56,87,885	1.82%	160	4.29%	4,15,147	5.20%	3.11%	3.11%
GOA	48,342	0.02%	1	0.05%	1,982	0.05%	0.05%	0.05%
GUJARAT	68,273	0.02%	2	0.05%	679	0.01%	0.04%	0.04%
HARYANA	4,01,479	0.19%	14	0.17%	5,798	0.07%	0.15%	0.15%
HIMACHAL PRADESH	2,33,88,344	7.46%	159	3.10%	8,88,888	4.90%	3.27%	3.27%
JHARKHAND	79,61,917	2.52%	80	2.09%	1,18,059	1.83%	2.31%	2.31%
KARNATAKA	4,33,036	0.21%	58	1.40%	10,911	0.14%	0.34%	0.34%
KERALA	29,30,098	0.94%	88	2.58%	44,821	0.17%	1.60%	1.60%
MAHARASHTRA	53,05,353	1.70%	40	1.05%	1,54,374	1.34%	1.17%	1.17%
MIZORAM	2,71,65,098	7.30%	270	5.79%	5,14,879	6.80%	6.41%	6.41%
NEPAL	82,47,624	1.60%	59	3.48%	18,429	0.23%	1.61%	1.61%
ODISHA	1,87,83,104	6.01%	164	8.32%	7,39,000	10.05%	7.77%	7.77%
PUNJAB	4,67,83,521	14.30%	254	6.20%	6,54,830	8.84%	10.85%	10.85%
RAJASTHAN	1,14,02,709	3.85%	3	0.08%	62,210	0.79%	1.87%	1.87%
TAMIL NADU	59,69,842	1.91%	107	2.80%	4,09,170	5.10%	2.35%	2.35%
TELANGANA	7,48,287	0.24%	6	0.16%	18,941	0.24%	0.20%	0.20%
TRIPURA	89,55,795	3.06%	143	3.74%	2,02,026	3.30%	3.40%	3.40%
UTTAR PRADESH	2,57,17,489	5.04%	185	4.34%	4,31,290	5.40%	4.54%	4.54%
States/UTs	POPULATION OF STATUTORY TOWNS	STATUTORY TOWNS	POPULATION OF STATUTORY TOWNS	STATUTORY TOWNS	OPEN URBAN	OPEN URBAN	POPULATION OF STATUTORY TOWNS	STATUTORY TOWNS
	Pop. (in lakhs)	Population Share (%)	No.	ST Share %	Inhab.	Inhab.	Pop. (in lakhs)	Population Share (%)
TAMIL NADU	2,48,52,746	5.54%	771	18.80%	11,38,697	14.34%	14,71%	14.71%
UTTAR PRADESH	4,06,94,676	13.04%	648	16.95%	9,65,917	12.39%	15.00%	15.00%
UTTARANCHAL	24,89,380	0.07%	74	1.94%	29,106	0.24%	1.37%	1.37%
WEST BENGAL	2,00,94,148	6.76%	329	8.37%	2,89,174	3.81%	5.07%	5.07%
NE STATES	66,41,895		218		42,968			
ARUNACHAL PRADESH	1,13,517	4.79%	26	11.93%	4,241	8.27%	8.36%	8.36%
ASSAM	13,19,375	50.74%	88	40.17%	27,900	64.94%	48.56%	48.56%
MANIPUR	6,16,618	9.74%	18	12.64%	9,417	7.80%	11.29%	11.29%
MIZORAM	3,70,930	6.76%	13	4.69%	1,087	4.10%	5.17%	5.17%
MIZORAM	5,71,771	8.74%	23	10.55%	1,013	2.17%	9.65%	9.65%
NAGALAND	5,09,480	7.71%	19	8.77%	1,376	5.30%	8.17%	8.17%
SHIMLA	1,47,895	2.16%	8	6.67%	313	1.67%	2.56%	2.56%
TRIPURA	6,50,902	10.36%	14	7.16%	1,494	1.48%	8.80%	8.80%

Annexure IV: Concept Note on State Urban Sanitation Strategy for the State of _____

PART A: Parameters determining the existing urban sanitation situation

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

2	Status of Sanitation Situation as per Census 2011/[FOR STATUTORY TOWNS ONLY]	Total no. as per Annexure 1 (State)*
2.1	Number of urban households resorting to open defecation (not in premises - open)	
2.2	Number of urban households having pit latrines	
2.3	Number of urban households having insanitary latrines	

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

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

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

	Provide Detail:		
Name of the Nodal Agency for SBM	<i>[Provide name of Nodal Agency else if not designated, provide details of process by which nodal agency will be appointed]</i>		
Name and Designation of Nodal Officer with contact no.	<i>[Provide name of Nodal Officer else if not designated, provide details of process by which nodal officer will be appointed]</i>		
Institutional Mechanism		Start date (Month / Year)	End date (Month / Year)
a. Constitution of the State-level High Powered Committee (S- HPC)	<i>[Provide details of S- HPC, else if not constituted, provide details of process by which S- HPC will be constituted; timeline should be max. within 1 month of submission of concept note]</i>		
b. Setting up of State Mission Directorate	<i>[Provide details of Mission Directorate, else if not constituted, provide details of process by which Mission Directorate will be constituted; timeline should be max. within 1 month of submission of concept note]</i>		
c. Setting up of PMU at the state-level under SBM	<i>[Provide details of PMU set-up; else if not set-up, provide details of process by which PMU will be put in place; timeline should be max. within 2 months of submission of concept note]</i>		
Submission of State Sanitation Strategy as per the National Urban Sanitation Policy, 2008 (please refer Ministry's website www.mood.gov.in)		Start date (Month / Year)	Date of submission (Month / Year)

Annexure V: ODF Protocol

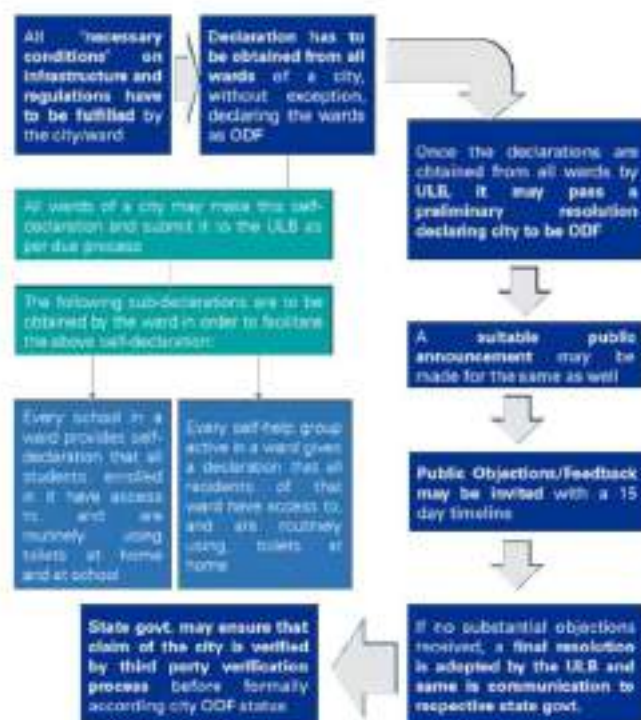
Definition of Open Defecation Free city / ward

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

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

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

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



The protocol is elaborated below:

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

ODF Declaration Formats

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

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

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

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

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

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

Date:

Seal

2. Format for declaration to be submitted by Ward Councilor

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

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

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

.....
(Signature, and Name of Ward Councilor)

Date:

Seal:

3. Format for declaration to be submitted by schools

I do hereby declare that:

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

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

Date:

Annexure - 1

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

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

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

Date:

Annexure - 2

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

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

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

Date:

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

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

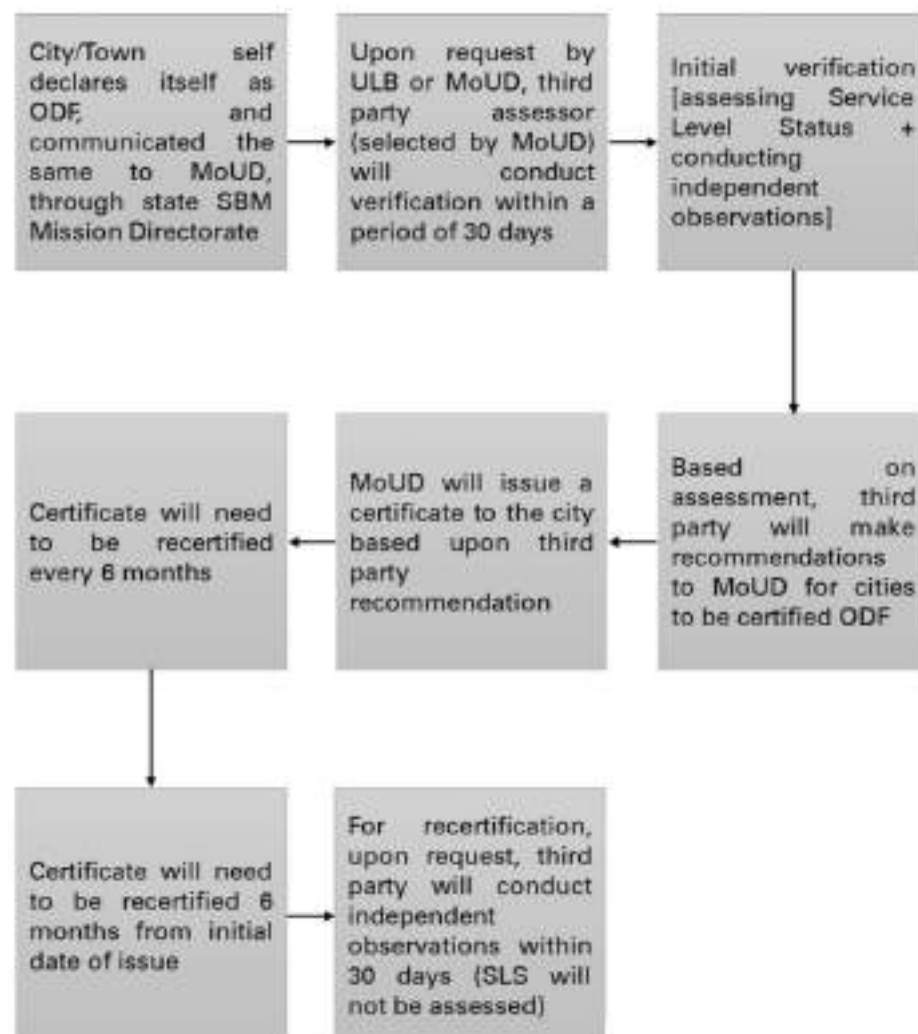
.....
(Signature OR thumb impression, and Name, of President of the Self-Help Group)

Date:

(Attach list of names of SHG members)

Swachh Certification for ODF

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



Protocol to be followed for Swachh Certification for ODF

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

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

Methodology for Swachh Certification for ODF

The verification process will be conducted in two parts:

- i. Service Level Status
- ii. Independent Observations

a. Service Level Status :

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

b. Independent Observations :

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

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



Ministry of Urban Development
Government of India

Swachh Bharat Mission - Urban 2.0



Making Cities Garbage Free

Operational Guidelines
October 2021



“ ... स्वच्छ भारत मिशन २.० का लक्ष्य है
गार्बेज फ्री शहर, कचरे के ढेर से पूरी तरह मुक्त,
ऐसा शहर बनाना ... ”

Shri Narendra Modi

Prime Minister of India

[Excerpt from the address of the Prime Minister on the occasion of launch of
Swachh Bharat Mission - Urban 2.0, on 1st October, 2021]

MESSAGE FROM HON'BLE UNION MINISTER

हरदीप एस पुरी
HARDEEP S PURI



Message

आवासन और शहरी कार्य मंत्री
पेट्रोलियम एवं प्राकृतिक गैस मंत्री
भारत सरकार
Minister of
Housing and Urban Affairs; and
Petroleum and Natural Gas
Government of India

The Swachh Bharat Mission – Urban launched in October 2014 by the Hon'ble Prime Minister resulted in the most fundamental behavioural change brought about in Urban India, primarily because the Mission was not implemented as a Government programme but as a "Jan Andolan".

The second phase of SBM-Urban launched by Hon'ble Prime Minister on 1 October 2021, with a total outlay of ₹1,41,600 crores – nearly 2.5 times of the SBM-Urban - is a reaffirmation of the confidence placed on us by the people of India to take them to the next level of Swachhata over the next five years. The fact that the SBM-Urban 2.0 has been launched during India's 75th anniversary of independence, under the overall ambit of Azadi ka Amrit Mahotsav, provides an added historical significance to Urban India's tryst with sanitation and swachhata.

In this context, I am happy to see the operational guidelines for SBM-Urban 2.0 issued by the Ministry of Housing & Urban Affairs, which is not only a testament to how far we have travelled in our quest for a clean India but also provides Urban Local Bodies and State Governments with comprehensive directions to fast track their journey towards becoming "Garbage Free cities" by 2026.

New Delhi
25 October 2021

(Hardeep S Puri)

MESSAGE FROM HON'BLE MINISTER OF STATE

कौशल किशोर
KAUSHAL KISHORE



अवकाश और शहरी कार्य राज्य मंत्री
भारत सरकार
Minister of State, Housing & Urban Affairs
Government of India

महात्मा गाँधी जी ने जिस स्वच्छ भारत का स्वप्न देखा था, आज उसे माननीय प्रधानमंत्री के मार्गदर्शन और स्वच्छ भारत मिशन के द्वारा पूरा किया जा रहा है। आज हमारा शहर पहले की अपेक्षा ज्यादा साफ, सुंदर और स्वस्थ हो गया है। आज स्वच्छ भारत एक मिशन ही नहीं, बल्कि एक जन आंदोलन बन गया है। आज स्वच्छ भारत मिशन 1.0 की सफलता और जन भागीदारी को देखते हुए तथा देश को और भी बेहतर और सशक्त बनाने के लिए हमारे माननीय प्रधानमंत्री जी ने 1 अक्टूबर 2021 को स्वच्छ भारत मिशन 2.0 की शुरुआत की है।

स्वच्छ भारत मिशन 2.0 में तोस अपसिफ्ट प्रबंधन, प्रदूषित जल प्रबंधन, फ्रीकल स्लाज मैनेजमेंट, सेनिटेशन जैसे अन्य कई विषयों में ध्यान दिया जाएगा। इस मिशन के तहत अर्बन लोकल बॉडीज, उनके कर्मचारी और हमारे सफाई मित्र की क्षमता निर्माण पे विशेष ध्यान दिया जाएगा। स्वच्छ भारत मिशन 2.0 न केवल अर्बन लोकल बॉडीज बल्कि देश को भी सरटेनेबिलिटी की दिशा में ले जाएगा।

हम सब को ध्यान में रखते हुए आज मैं गर्व से कहना चाहता हूँ कि स्वच्छ भारत मिशन 2.0 की गाइडलाइंस, जोकि एस डी एम-अर्बन मिशन प्रबंधन विभाग के द्वारा लॉच किया गया है, जो न केवल शहर बल्कि देश को एक नए आयाम की तरफ ले जाएगा। आने वाले समय में हम सब देखावसी मिलकर इस स्वच्छ भारत मिशन 2.0 को सफलतापूर्वक अपनाएंगे और देश को पूर्ण रूप से स्वच्छ और स्वस्थ बनाएंगे।

धन्य हिन्द।

MESSAGE FROM SECRETARY – MoHUA

दुर्गा शंकर मिश्र
सचिव
Durga Shanker Mishra
Secretary



मानव संसाधन
आवासन और शहरी कार्य मंत्रालय
निर्मल भवन, नई दिल्ली-110011
Government of India
Ministry of Housing and Urban Affairs
Nirman Bhawan, New Delhi-110011

Foreword

The last seven years has witnessed a radical change in the Urban sanitation scenario in India. Our cities, streets, neighbourhoods have become visibly cleaner, and there has been a marked positive change in attitudes and mindsets of citizens towards 'swachhata'. In fact, Swachh Bharat Mission has emerged as the largest behavioural change programme in the world.

In order to sustain the outcomes achieved under SBM-Urban, we have now embarked on the second phase of our swachhata to realise the vision of Hon'ble Prime Minister. In the second phase, our efforts towards complete Solid Waste Management will continue, with greater focus on issues such as remediation of all legacy dumpsites, where approximately 15,000 acres of land can be reclaimed through remediation of 16 crore tonnes of legacy wastes, setting up Construction & Demolition (C&D) waste plants and procuring mechanical sweepers in large cities, setting up Material Recovery Facilities and waste processing plants, and strengthening of Plastic Waste Management through focus on reuse and recycle of plastic waste and reduction in single use plastic usage, in order to achieve the ultimate vision of Garbage Free cities. Additionally, a new component has been added in this phase - that of used water management, in smaller cities (with less than 1 lakh population). Over the next 5 years, our focus will be on ensuring that no untreated used water is discharged into open lands and water bodies and significant amounts of treated waste water are reused. Parallely, we will be focusing on formalising the informal sector of waste collectors and sanitation workers by integrating them into the formal waste management chain, capacity building, especially for smaller ULBs, and sustaining the Jan Andolan i.e. for large scale citizens engagement.

I hope that States/UTs and Urban Local Bodies (ULBs) will find these guidelines extremely helpful, to facilitate speedier implementation towards achieving the vision of "Garbage Free" India.

Durga Shanker Mishra

New Delhi
25th October, 2021

MESSAGE FROM NATIONAL MISSION DIRECTOR, SBM (URBAN)

रुपा मिश्रा
संयुक्त सचिव एवं मिशन निदेशक
ROOPA MISHRA
Joint Secretary & Mission Director
Swachh Bharat Mission - Urban



भारत सरकार
आवासन और शहरी कार्य विभाग
पिपरा भवन, नई दिल्ली-110011
GOVERNMENT OF INDIA
MINISTRY OF HOUSING AND URBAN AFFAIRS
NEERAN BHAVAN, NEW DELHI-110011

Preface

The success story scripted under Swachh Bharat Mission - Urban over its 7-year journey has poised urban India for its leap into the next level of 'Swachhata'. Swachh Bharat Mission - Urban 2.0, launched by Hon'ble Prime Minister on 3rd Oct 2021 on the eve of Swachhata Divas has raised the aspirations of citizens, with the ambitious vision of creating "Garbage Free Cities".

2. For time-bound realization of this vision, it was felt necessary to further streamline existing systems and processes so that States/UTs, ULBs and parastatal bodies can duly accelerate the pace of implementation. The new guidelines are based on the following principles: (a) saturation approach with inclusion and "people first" as its core - to ensure that every category of citizen is covered; (b) ease of governance - where Mission is completely technology-agnostic, with sufficient flexibility and discretion given to States/UTs; (c) transparency and accountability - through extensive use of digital interventions for ease of user access and real-time information flow; (d) equity - to ensure that smaller ULBs are provided with adequate opportunities to improve their cleanliness status; and (e) outcome focused - by emphasizing on capacity building and behavior change, and financial support tied to achievement of specific deliverables; to ensure that the Mission's vision is realized, within the defined time frame of 2021-26.

3. These guidelines have evolved after multiple rounds of stakeholder consultations, and incorporating their feedback. This is a dynamic document which can be supplemented from time to time based on the changes in ground realities. I sincerely hope that these Guidelines will constitute the bedrock to achieve the goals of SBM-U 2.0 that will in turn shape the face of urban transformation in India, and collectively, we will realize the vision of "Garbage Free Cities".

(Roopa Mishra)
Joint Secretary & National Mission Director
Swachh Bharat Mission-Urban

New Delhi
26th October 2021

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INTRODUCTION

Provides an overview of achievements of SBM–Urban, so far, and introduces SBM Urban 2.0.

1.1 Background

The Sustainable Development Goals (SDGs) place significant emphasis on sanitation, cleanliness and hygiene. There is evidence globally that better sanitation, hygiene and cleanliness helps in effective control of various vector borne diseases, parasite infections and nutritional deficiencies. There have been studies linking cleanliness and hygiene with reduction in respiratory disorders, gastrointestinal diseases (especially diarrhea), psychological issues and allergic conditions.

Decades ago, Mahatma Gandhi said that '*sanitation is more important than political freedom*'. The launch of Swachh Bharat Mission on 2nd October 2014 by the Hon'ble Prime Minister Shri Narendra Modi was a historic moment for India. It not only placed the issue of sanitation at the centre of the Government's developmental agenda, but also sent out a resounding message- through the Prime Minister's address from the ramparts of the Red Fort.

Swachh Bharat Mission (Urban) (SBM-U) had three major objectives: (a) achieving 100% Open Defecation Free (ODF) status, (b) ensuring 100% scientific Solid Waste Management

(SWM), and (c) behavior change through '*Jan Andolan*', by 2nd October 2019, in all statutory towns. The outlay of the Mission was ₹62,009 crores, including GoI share of ₹14,623 crores, and minimum State share of ₹4,874 crores. Balance funds (₹42,535 crores) were to be generated through individual beneficiary contribution, PPP and other sources.

1.2 Achievements

This Mission has achieved significant levels of success against the above objectives, with massive engagement of citizens across all categories of society.



1.2.1 India's journey in Solid Waste Management: the launch of SBM-U, coupled with the promulgation of SWM Rules 2016 C&D waste rules, Plastic Waste Management rules etc, all combined to set the stage for India

to accelerate its progress on effective Solid Waste Management. Where unsightly heaps of garbage dotting the urban landscape, wreaking havoc on citizens' health used to be a common phenomenon prior to 2014, today there have been noteworthy improvements. Cities have become visibly cleaner, thanks to the fleet of more than 2.5 lakh collection vehicles that travel from door to door, collecting household and other solid waste. Source segregation of waste, which was negligible earlier, have now captured the imagination of citizens and being adopted by more and more households. An enabling eco-system has been created through policy reforms designed to encourage conversion of waste to value added products. Awareness has also been generated on critical issues such as source segregation of waste, effective management of construction & demolition waste, reduction in single-use plastic usage, etc.



The results are there for all to see. At the time of its launch, the Municipal Solid Waste (MSW) treatment capacity was 26,000 TPD of waste (18%). This has been enhanced substantially in the last 7 years, and presently, waste processing capacity stands at nearly 1 lakh TPD (70%).

Door to door collection and source segregation have gone up from negligible levels in 2014 to cover 86,228 wards (97%) and 72,493 wards (85%) respectively. Economically weaker sections of society, especially women self-help group members from urban poor communities have more livelihood options, and over 90,000 informal waste workers have been formalized into the waste management value chain.

1.2.2 India's ODF journey: Urban India has become Open Defecation Free (ODF) under SBM-Urban: a fitting tribute to Mahatma Gandhi's vision. Not only has the sanitation objective of the Mission been fulfilled, but lakhs of citizens, especially women, have been provided dignity and safety, and significant reduction in vector borne diseases with consequent improvement in health parameters have been experienced, setting Urban India on the path of holistic cleanliness. Sanitation workers and SafaiMitras, a largely ignored section earlier, have become a key stakeholder for the Mission, with initiatives being taken to ensure safe, healthy and improved living conditions for them, and providing them with



better livelihood options, dignity and respect. In terms of tangible outcomes, all Urban areas of 35 States/ UTs have become ODF (except 1 ULB of West Bengal), i.e. 4,371 ULBs (out of 4,372) have become ODF. This has been achieved through the construction (including under construction) of 66.86 lakh Individual Household Toilets (113% progress), and 6.40 lakh seats of Community/ Public toilets (CT/ PT) (126% progress).



1.2.3 Third party assessments & standardized protocols: In order to sustain the ODF status and ensure that no slippage occurs, MoHUA has introduced the ODF+ and ODF++ protocols. ODF+ protocol focuses on O&M of CT/ PTs by ensuring their functionality and proper maintenance for continued usage. ODF++ protocol focuses on addressing safe containment, evacuation, transportation and processing of fecal sludge from toilets and ensuring that no untreated sludge is discharged into open drains, water bodies or in open fields.

Water+ protocol helps ensure that no untreated waste (used) water is discharged into the open environment or water bodies. Till 2nd October 2021, 3,309 cities have been certified ODF+, 960 cities have been certified ODF++, and 9 cities have become Water+, through third party verification.



1.2.4 Behavior change through Jan Andolan: SBM-U has emerged as the largest urban sanitation behaviour change program in the world and has been able to accelerate India's progress in ensuring availability and sustainable management of water and sanitation for all (SDG 6). Under SBM-U, the sanitation discourse has been brought onto the centre stage of the nation's development agenda and has helped to transform a government mandate into a 'Jan Andolan'. Through the personal leadership and involvement of the Prime Minister, SBM has been able to put the sanitation discourse into a 'Jan Andolan', a people's movement. Massive mass media campaign, intensive outreach programs, stringent monitoring of Information, Education and Communication (IEC) fund spend, multiple stakeholder involvement including by celebrity brand ambassadors and influencers have been the pillars of its behavior change strategy. However, the major trigger for

behaviour change has been the ownership that people from the community have taken when it comes to leading and sustaining change on the ground. Through a judicious use of traditional, digital, social media campaigns and intensive interpersonal communication, SBM-U has been able to activate all categories of citizens – community volunteers, youth, students, home makers, senior citizens, celebrities, elected representatives, media and the industry. Till date, over 20 crore citizens have been engaged in the Mission, which is testimony to the 'Jan Andolan' that has been created.



1.2.5 Innovations

A variety of innovations have contributed to the success of the first phase of the Mission, as given below.

1.2.5.1 Swachh Survekshan: An innovative survey conducted by the Ministry of Housing and Urban Affairs (MoHUA) under the SBM-U, to rank cities on various sanitation and cleanliness parameters. The survey has been successful in enthusing cities with a spirit of healthy competition towards the concept of 'swachhata'. Swachh Survekshan has now emerged as one of the largest Urban sanitation surveys in the world, with participation from crores of citizens. As on 2nd October 2021, 6 rounds of surveys have been conducted, in which Indore has been adjudged the cleanest city for four years in a row. The 7th edition has now been announced, and is set to kick-off.

1.2.5.2 Star rating protocol for Garbage free cities: The protocol, based on various SWM parameters follows a SMART framework – Single metric, Measurable, Achievable, Rigorous verification mechanism and Targeted towards outcomes. The indicators include all components of SWM, viz. source segregation, scientific processing of waste, dumpsite remediation, penalties & spot fines for littering, compliance by bulk waste generators, cleanliness of drains & water bodies, plastic waste management, and managing construction & demolition waste, etc. which are critical for cities to achieve garbage free status. Till date, 6

cities have been rated as 5-star cities, 86 cities as 3-Star and 65 cities as 1-Star.

1.2.5.3 Citizen connect through ICT initiatives:

- MoHUA has partnered with Google to map all public toilets on Google maps, thereby improving ease of access of sanitation facilities to citizens. Till date, more than 65,500 public toilet blocks across more than 3,100 cities are accessible through Google maps covering more than 70% of India's urban population.



- More than 2 crore citizens have downloaded Swachhata App (citizens' grievance redressal platform for all sanitation and waste management related complaints). Nearly 2.22 crore complaints have been registered and 2.08 crore complaints have been resolved with more than 90% resolution rate.



- MoHUA has deployed e-learning platform to train municipal functionaries across India.

The platform hosts over 175 modules on various topics covering sanitation and waste management. More than 90,000 municipal employees and other users have actively used the platform, and successfully completed over 8.8 Lakh certifications (including 7.56 lakh certifications to govt. employees).

1.2.5.4 Swachhata becomes everybody's business:

The Mission engaged with a wide variety of stakeholders, from celebrities as brand ambassadors, engaging with influencers in society, partnering with industry partners and corporate entities, as well as social entrepreneurs, citizens, students and youth, women SHG groups, homemakers and senior citizens, to make 'swachhata' everybody's business.

1.2.5.5 Equity, inclusiveness, addressing special requirements:

In order to ensure that benefits of the Mission accrue to every citizen in an equitable and inclusive manner, standardized protocols were put in place. For example, the ODF+ protocol specified mandatory gender-friendly, child-friendly, divyang-friendly features to be included in every CT/PT. These protocols, along with mapping of all CT/PTs on Google maps ensured that every citizen's needs were catered to, with nobody left behind.

1.3 Need for SBM-U 2.0

NSSO had undertaken an impartial assessment

of the Mission in 2018. In its report of the 76th Round (with theme of Drinking Water, Sanitation, Hygiene and Housing Conditions of India: July – December 2018), the study found that 98% of toilets are being used in urban areas. Further, NITI Aayog has evaluated various Centrally Sponsored Schemes, including SBM-U, in its report dated 18th January 2021. Its recommendations include the following:

- need for continued investment in IHHLs and CT/PTs;
- need for focusing on entire sanitation value chain for inclusive sanitation, which also includes collection, containment, treatment, disposal and recycling of faecal waste and waste water;
- need for managing different types of solid wastes (including plastic, C&D and sanitary waste);
- need for budgetary support for disposal of legacy waste, management of plastic waste, C&D waste.



The above recommendations suggest, inter alia, to need for Mission to continue.

Moreover, the achievements under SBM-Urban need to be sustained in the long run with creation of adequate infrastructure, and their implementation needs to be accelerated manifold.

Hence, SBM-U 2.0 is needed, with the following areas of focus:

- to achieve the vision of a “Garbage Free” Urban India, more focus is required to be given to issues such as source segregation, collection & transportation, and processing, including effective management of Construction & Demolition waste, plastic waste management including reduction in single use plastic, and remediating all legacy dumpsites;
- to sustain the ODF status and prevent slippage, there is a need to ensure that all fecal sludge and waste(used) water are safely contained, transported, processed and disposed off, so that no untreated fecal sludge or used water pollutes the ground or water bodies;
- intensified focus is required to be given to IEC and behavior change through citizen outreach and *jan andolan*, as well as capacity building and skilling of all relevant stakeholders, towards achieving the Mission’s objectives.

1.4 Mission is now being extended for a period of 5 (five) years, from 1st October 2021 to 1st October 2026, as Swachh Bharat Mission

(Urban) 2.0 (SBM-U 2.0), for completing the work remaining, institutionalizing 'swachh' behavior and making it sustainable. The Government of India in partnership with States/ UTs and ULBs is committed to make all cities 'Garbage Free' under SBM-Urban 2.0 in order to contribute to the achievement of the Sustainable Development Goals (SDG) 2030, which will ultimately improve the quality of life and ease of living of urban populations, thus leading to urban transformation.

SBM-U 2.0 will be implemented by MoHUA through States/ UTs in all statutory towns (as per Census 2011, and statutory towns added subsequent to that), in accordance with these guidelines.

OVERVIEW OF SBM-U 2.0

Sets out the overall approach for achieving the Mission's vision of creating a "Garbage Free" Urban India.

Salient features of SBM-U 2.0 including Mission components, funding pattern and guiding principles are detailed in the following sections.

2.1 Mission : Overall Vision, and Specific Objectives

SBM-U 2.0 will be implemented with a vision of achieving "Garbage Free" status for all cities. This will involve the following:

- all households and premises segregate their waste into "wet waste" (from kitchen and gardens) and "dry waste" (including paper, glass, plastic, and domestic hazardous waste and sanitary waste wrapped separately);
- 100% door to door collection of segregated waste from each household/ premise;
- 100% scientific management of all fractions of waste, including safe disposal in scientific landfills;
- all legacy dumpsites remediated and converted into green zones;
- all used water including fecal sludge, especially in smaller cities are safely contained, transported, processed and disposed so that no untreated fecal sludge

and used water pollutes the ground or water bodies.

In order to achieve this vision, the following specific objectives are targeted to be achieved:

In order to achieve this vision, the following specific objectives are targeted to be achieved:

- a) Sustainable Solid Waste Management
 - i. *ensuring cleanliness and hygiene in public places to make all cities clean and garbage free, with 100% scientific processing of MSW;*
 - ii. *reducing air pollution arising out of SWM activities;*
 - iii. *phased reduction in use of single-use plastic.*
- b) Sustainable Sanitation and treatment of used water
 - i. *holistic Sanitation, with end-to end solutions (from discharge, containment, evacuation, transportation to safe disposal of all effluents from toilets);*
 - ii. *treatment of used water¹ before discharge*

¹ Henceforth, wastewater will be referred to as 'used water' in the document and in all subsequent communications. All formal communication on wastewater management from Centre, States/ UTs and ULBs may refer to "used water management" instead of wastewater management.

into water bodies, and maximum reuse of treated used water;

- iii. *eradication of hazardous entry into sewers and septic tanks, and sustaining elimination of manual scavenging, through mechanization of sewer and septic tank cleaning operations;*

c) awareness creation along with large scale citizen outreach to create 'jan andolan', and institutionalize 'swachh' behavior.

d) create institutional capacity to effectively implement programmatic interventions to achieve mission objectives

2.2 Mission Components for Funding

2.2.1 Sustainable Solid Waste Management

Objective: To make all cities clean and garbage free, with 100% scientific processing of Municipal Solid Waste

The following components would be eligible for funding:

- i. setting up of waste processing facilities such as MRFs, transfer stations, composting plants, bio methanation plants, RDF processing facilities, plastic waste processing facilities, waste to electricity, sanitary landfill, etc.
- ii. procuring mechanized sweeping equipment and setting up processing facilities for effective management of Construction and Demolition (C&D) waste (in 154 cities - as per list given in Annex 1)

- iii. *bio-remediation/ capping* of all legacy dumpsites in all ULBs

Note: No Central Government funds will be available for cost of setting up primary collection & transportation (C&T) systems, including modernization of existing systems.

2.2.2 Sustainable Sanitation

Objective: To sustain Open Defecation Free status in all Statutory towns

The eligible components for funding are (i) construction of Individual Household Latrines (IHHL), (ii) construction of Community and Public Toilet (CT and PT) seats, and (iii) construction of urinals, along with retrofitting of insanitary toilets.

2.2.3 Used water management

Objective: To ensure that no untreated fecal sludge or used water is discharged into the environment, and all used water (including sewerage and septage, grey water and black water) is safely contained, transported and treated, along with maximum reuse of treated used water, in all cities with less than 1 lakh population.

The following components would be eligible for funding:

- i. desludging equipment, for scheduled and need-based desludging of all septic tanks;
- ii. interception and diversion of drains (I&D) (including last mile connectivity for nearest sewer network);

iii. construction of Sewage Treatment Plants (STPs)/ STP cum Fecal Sludge Treatment plants (PSTPs) for used water treatment.

2.2.4 IEC/ BCC

Objective: To ensure awareness creation along with large scale citizen outreach to intensify 'Jan Andolan' and institutionalize swachh behavior and related set of actions, towards achieving the vision of "Garbage Free" cities

The following components would be eligible for funding:

- a) National Level – A part of the overall IEC funds would be retained by MoHUA for the following:
- hiring of professional IEC/ BCC agency (on an outsourced basis) for developing IEC strategies, collaterals, content and tools and managing Social Media outreach;
 - dissemination of national level campaigns regarding various components of SBM Urban;
 - promotion of national level initiatives such as Swachh Survekshan, ODF+/ ODF++/ Water+ and Garbage Free certifications etc;
 - organisation of national level people centric events to raise advocacy for Garbage Free India.

b) State/ ULB level – the balance funds can be utilized at State/ULB for:

- dissemination of State/ ULB level campaigns regarding various components of SBM-U 2.0, including through interpersonal communication
- empanelment and engagement of NGOs/ CBOs/ CSOs for grassroots mobilization and sensitization regarding SBM-U 2.0;
- promotion of good practices at household/ individual level, collectives, RWAs, schools/ colleges, market associations etc;
- organization of promotional events (such as 'plog' runs, mass triggering activity, competitions etc.) related to SBM-U 2.0.

2.2.5 Capacity Building (CB)

Objective: To create institutional capacity to effectively implement programmatic interventions to achieve mission objectives

The following components would be eligible for funding:

- a) National Level – A part of the overall CB funds would be retained by MoHUA for the following:
- establishment of Center of Excellence (CoE);
 - funding Chair Professor positions in selected academic institutes and selected areas of expertise;

- iii. training of PHE officials and technical staff of MoHUA
 - iv. engaging knowledge partners, empaneling and hiring professional organizations to provide handholding and capacity building support to States/ UTs and ULBs;
 - v. creation and maintenance of eLearning portal;
 - vi. hiring of technical experts and professional agencies for smooth implementation of Mission, development and maintenance of ICT initiatives, creating videos and documentation for good practices, conducting national/ international exposure visits etc;
 - vii. funding Innovative pilots/ Startups as identified by relevant expert committees (subject to approval of NARC);
 - viii. organizing workshops and lectures;
 - ix. procuring third party vendors for field assessments and certifications for Swachh Survekshan, ODF+/ ODF++/ Water+ protocols, Garbage Free Star Rating protocols, etc;
 - x. procurement of Mission Management Unit (MMU);
 - xi. hiring interns for supporting SBM-U 2.0 at various levels;
 - xii. creating and supporting digital outreach tools such as Swachhta App 2.0, Swachh Manch 2.0, etc;
 - xiii. skill development activities as required;
 - xiv. any other activity required for creating institutional capacity
- b) State level- the following components would be eligible for funding:
- i. procurement of Program Management Unit (PMU) at State/ UT level;
 - ii. procurement of vendors/ agencies for Information & Communication Technology (ICT) initiatives, carrying out gap analysis, social audits, conducting workshops, lectures, exposure visits etc;
 - iii. hiring young professionals and interns for augmenting their internal human resources and also integrating the youth with SBM-U 2.0;
 - iv. hiring of NGOs/ CBOs/ CSOs for grassroots capacity building;
 - v. hiring technical institutions for training of manpower at State/ UT levels.
- c) ULB level- the following components would be eligible for funding:
- i. hiring young professionals and interns for augmenting their internal human resources and also integrating the youth with SBM-U 2.0;
 - ii. procurement of vendors/ agencies for ICT initiatives, carrying out gap analysis, social audits, conducting workshops, lectures, exposure visits etc;

- iii. hiring of NGOs/ CBOs/ CSOs for grassroots capacity building.

It may be noted Administrative and Office expenditure in a year should be kept as a proportion of actual expenditure / output rather than as a percentage of indicative outlay.

2.3 Duration of the Mission

The Mission will be in force for five years, from 1st October 2021 to 1st October 2026.

2.4 Mission Coverage: Cities and Target Population

All Statutory towns in India will be covered under the Mission

2.5 Mission Implementation:

Memorandum of Understanding: States/ UTs and ULBs have signed a tripartite Memorandum of Understanding (MoU) with MoHUA. This MoU represents collective intent of MoHUA, State/ UT and ULBs for creating "Garbage Free Cities", through focus on complete source segregation, complete processing of all waste fractions, including processing of construction & demolition waste, plastic waste along with phased reduction of single use plastic, and remediation of all legacy dumpsites. MoHUA, States/ UTs and ULBs shall align themselves to the roles and responsibilities as per the MoU.

2.6 Mission Strategy: Guiding Principles

Drawing on learnings from SBM-U, the

following guiding principles and strategies are proposed to be adopted for implementing components of SBM-U 2.0, towards achieving the ultimate vision of a "Garbage Free" Urban India.

2.6.1 Jan Andolan: Equity and Inclusion at the heart of 'swachhata'

- a) Bringing citizens to the centre of the Mission, by engaging all categories of citizens (e.g. women and homemakers, students and youth, senior citizens and retired personnel, religious leaders, social media influencers, celebrities and brand ambassadors, SHG groups, market and other industry associations, RWAs, elected representatives, etc.);
- b) All Self-help groups, especially women SHGs, either affiliated to Government programmes (e.g. NULM, NHM) or otherwise, to be used for ground level/ community level facilitations and interpersonal communication initiatives under SBM-U 2.0;
- c) Women leadership to be promoted in various phases of sanitation and waste management, from planning to O&M;
- d) ULBs to give special focus on sanitation and waste management needs of the urban poor (especially slum dwellers) and other vulnerable groups (senior citizens, girls, pregnant and lactating mothers, especially abled, third gender groups, migrants, homeless,

- construction labour etc.);
- c) All infrastructure created under the Mission, be it toilets, and waste processing facilities, as well as work places to have gender friendly and divyang-friendly features, for ease of access for all;
 - f) All infrastructure/ assets created under the Mission to be disaster resilient.
 - g) Recyclers and scrap dealers (both formal and informal sectors) to be integrated into the SWM recycling value chain;
 - h) Continued focus on behaviour change, with focus on functional outcomes (e.g ODF sustainability, regular desludging of septic tanks, ensuring cleanliness and hygiene in public and community toilets, and source segregation of household waste);
 - i) Ensuring safety and well-being of sanitation workers, through
 - i. Elimination of hazardous entry for sewer and septic tank cleaning through mechanization of cleaning operations, provision of protective gear/ PPE kits to sanitation workers, etc;
 - ii. Setting up of helpline numbers to enable citizens to register their request/ complaints and suggestions regarding desludging of septic tanks;
 - iii. Enabling social welfare benefits for all sanitation workers (formal, informal and contractual) such as life and health insurance, supporting formation of sanitation workers' collectives;
 - iv. Mandatorily setting up Responsible Sanitation Authority (RSA) and Sanitation Response Units (SRUs) covering all ULBs.
 - v. All categories of Sanitation workers to be given special focus through recognition as Champion safaimitras, and institutionalizing mechanisms for identifying and acknowledging their services.
- 2.5.2 Competition for Impact: Leveraging healthy competition among cities, with special focus on ULBs of aspirational districts**
- The Swachh Survekshan in SBM-Urban has demonstrated how a competitive monitoring framework can help to accelerate implementation, while also evolving into a governance tool. This approach will be continued through annual ranking survey Swachh Survekshan, for continuous monitoring and enabling agile governance for delivery of sanitation and waste management services to all citizens, including in aspirational districts.
- 2.6.2 Swachhata Standards**
- MoHUA has introduced several standardized protocols which include the ODF, ODF+,

ODF++, Water+ and Star Rating Protocol for Garbage Free Cities to ensure standardized outcomes in sanitation and solid waste management across Urban India under SBM-U. These protocols have provided a standard uniform framework to evaluate cities on 'Swachhata' criteria and is acting as a guiding document for cities and city representatives. These standardized protocols (ODF+, ODF++, Water+, Star Rating protocol for Garbage Free Cities, etc) with independent third-party assessment and certification will be continued for standardization of Mission outcomes.

2.5.4 Capacity Building

Building capacity for sustainable outcomes and aligning ULBs with Mission will be taken up in a focused manner, through:

- i. Strengthening of e-Learning and other proven platforms to build institutional and individual capacities in technical as well as governance aspects;
- ii. Focus on skill development in the sanitation and waste management sector.

2.5.5 Partnerships

The Mission will actively engage with all development partners, knowledge partners, sector partners and industry to leverage their support and assistance to accelerate Mission outcomes on the ground, as well as to strengthen institutional capacities in the SWM and Used water management sectors.

2.5.6 Digital Enablement

Robust ICT enabled governance, already a key feature under SBM-Urban, will be continued with intensified focus, to enable real-time monitoring of assets, to ensure their full capacity utilization, and make the Mission **digital and paperless**. It shall be mandatory for all projects and services to deploy digital tools to provide real time data on efficiency parameters in the operation phase.

2.5.7 Technology promotion, innovation and encouragement for social enterprises

The Mission will encourage adoption of locally innovated, cost-effective solutions and business models in sanitation and solid waste management by small scale and private entrepreneurs and start-ups, through investments in R&D, technology challenges, and facilitation for inclusion in GeM, in order to take forward the government's vision of an "AatmaNirbhar Bharat", and "Make in India".

2.5.8 Focus on planning:

ULBs will be required to draw up and submit various action plans, based on gap analysis, viz.

- a) City Solid Waste action plans (CSWAP) including inter-ministerial convergence with Government of India programs such as SATAT (MoPNG) (refer Annex 2 for action plan format);
- b) City Sanitation Action Plans (CSAP) for sanitation and for sewage and septage Management (refer Annex 3A and 3B

for action plan format), including inter-ministerial convergence with Government of India program of Namami Gange (National Mission for Clean Ganga);

- c) States/UTs would be required to aggregate the action plans to charter the overall journey for **Garbage Free** cities.

2.5.9 *Focus on functional outcomes and their monitoring*

A key feature of the Mission will be Outcome - based fund releases, where first and second instalments of funds of Central share will be released to States/ UTs subject to achievement of specified targets/ outcomes by States/ UTs and ULBs. The SBM-U MIS portal will be capturing ground-level data to monitor the extent to which the guiding principles are being taken forward in practice.

2.5.10 *Urban-Rural convergence*

Infrastructure projects will be taken up on cluster basis to cater to groups of neighboring ULBs and rural areas, so that common waste processing facilities are utilized efficiently.

2.5.11 *Creation of enabling environment, through:*

- a) creation of Model RFPs that States/ UTs and ULBs can refer to prepare their tender documents;
- b) facilitating procurement by States/ ULBs through GeM;

- c) encouraging start-up ecosystem/ Public Private Partnership in the States/ ULBs: Under SBM-U 2.0, projects under PPP mode are encouraged, to invite private capital in urban infrastructure as well as to bring in private sector efficiency in delivery of urban services and O&M. It is also understood that in the current scenario, there may be a requirement for viability gap funding. For Solid Waste Management, revenue streams such as Compost from organic waste, recycled construction material from C&D waste, etc. can be leveraged, while for used water Management, revenue streams such as compost from fecal waste, sale of recycled waste water, etc. can be leveraged for PPP projects.

2.5.12 *Leveraging 15th Finance Commission Grants (both tied and untied) to achieve outcomes*

Under 15th FC, cities with 10 lakh population and above are provided with a Challenge Fund of ₹13,029 crores over a 5-year period for meeting service level benchmarks on sanitation and Solid Waste Management. Further, out of total grant of ₹82,859 crore for ULBs with less than 10 lakh population, 40% of grants are untied, while 60% is tied to national priorities including sanitation and Solid Waste Management. States/ UTs and ULBs should leverage the 15th FC grants in addition to the SBM-U funds, for meeting Mission outcomes. However, it is to be noted that 15th FC grants shall not be used by State/ UTs to meet their

minimum share, as given in Table 4.5.2.

2.5.13 Aligning with National Missions and National Priorities:

The SBM-Urban 2.0, through its implementation components will strive to align with national priorities, Missions and programmes, a few indicative examples of which are given below:

- dust mitigation through C & D waste management would align with **National Clean Air Program (NCAP)**;
- focus on encouraging start-ups and social entrepreneurs as part of the Mission's private sector engagement strategy would dovetail with mandates of **Start-up India & Make In India**;
- given its intensified focus on digital enablements to accelerate Mission outcomes and citizen outreach, and integrated approach for monitoring all Mission outcomes, the Mission will be aligning with the mandates of **Digital India, National Urban Digital Mission (NUDM) and Smart Cities Mission**;
- intensified focus on capacity building with skill development at its core will be aligning to mandates of **Skill India**;
- special focus on Ganga towns and accelerating their Solid Waste Management initiatives will align with the **Namami Gange** programme;
- special focus on bio-methanation of wet waste is proposed to be undertaken in

alignment with the **SATAT** programme of Ministry of Petroleum & Natural Gas;

- focus on sanitation workers and SafaiMitras to ensure their safety, well-being and improved livelihood options will align with the mandates of **Ministry of Social Justice and Welfare**;
- additionally, Mission will work to ensure that all government offices, work places and premises adhere to the standards of Garbage Free protocol, so that 'swachhata' and Garbage Free becomes everybody's business.

2.6 Mission Outcomes

The following measurable outcomes are expected to be achieved by the end of the Mission tenure:

- i. All statutory towns are certified at least 3-star Garbage Free, or higher.
- ii. All statutory towns become at least ODF+;
- iii. All statutory towns with less than 1 lakh population become at least ODF++;
- iv. At least 50% of all statutory towns with less than 1 lakh population become Water+;

2.7 Overall Funding

The estimated cost of implementation of SBM-U 2.0 for its various components is **₹1,41,600 crores**. The Government of India share will be **₹36,465 crores**. The balance amount shall

be contributed by individuals as beneficiary contribution, States and UTs/ ULBs/ Private Sector under PPP. Wherever private sector funding is not available, State/ UT will need to provide the necessary funds. Balance funds are to be generated through various other sources of funds including Corporate Social Responsibility (CSR) funds from public/ private sector, external assistance etc.

MISSION MANAGEMENT STRUCTURE

Sets out the overall approach for creating a multi-level governance structure that is empowered to facilitate speed and ease of implementation, including fund release, along with adequate oversight and checks for quality .

SBM-Urban 2.0 will have a four-tier mission management structure as follows:

3.1 National Level

3.1.1 National Advisory and Review Committee (NARC)

NARC, headed by Secretary-MoHUA and comprising representatives of SBM-Grameen and other relevant line ministries will be notified by MoHUA. NARC will consist of the following members:

- i. Secretary – MoHUA: Chairman
- ii. National Mission Director , SBM-Urban (MoHUA): Member Secretary
- iii. Joint Secretary & Financial Advisor, MoHUA: Member
- iv. Advisor/ Joint Advisor , CPHEEO: Member
- v. Director, NIUA: Member
- vi. Members from :
 - a. Ministry of Jal Shakti / Department of Drinking Water and Sanitation (DDWS);
 - b. Ministry of Environment, Forests & Climate Change ;
 - c. Ministry of Chemicals and Fertilizer;

- d. Ministry of Petroleum & Natural Gas;
- e. Ministry of New & Renewable Energy;
- f. Ministry of Social Justice;
- g. Department of Expenditure;
- h. NITI Aayog;
- i. DAVP (Ministry of I&B);

The Chairman-NARC may, at his discretion, induct any other members based on requirement.

NARC will meet at least twice a year. The functions of NARC will be:

- i. overall planning for Mission progress;
- ii. reviewing and approving State/ UT action plans to achieve SBM-U 2.0 targets;
- iii. advising States/ UTs to explore avenues for innovative resource mobilization of private financing and leveraging land for PPP in sanitation projects;
- iv. approving installments and release of installment of funds for States / UTs by Central Government under SBM (Urban) 2.0;
- v. facilitating inter-ministerial convergence for accelerating Mission progress;
- vi. monitoring outcomes and performance of projects sanctioned under SBM (Urban) 2.0;

vii. any other issue which may be referred to it by the Government.

NARC may delegate, as it considers appropriate, some of the functions within prescribed limits, to the National Mission Director (NMD) of the SBM National Mission Directorate to ensure speedy implementation of the Mission.

3.1.2 National Mission Directorate (NMD)

- SBM National Mission Directorate will be headed by a National Mission Director (NMD) who will not be below the rank of Joint Secretary to the Government of India;
- NMD will be the overall in-charge of all activities related to SBM-U 2.0 and will be supported by a suitable team of officers at the National Mission Directorate. Further, NMD will be Member-Secretary of NARC;
- NMD shall be supported by a dedicated Project Management Unit (PMU)/ Technical Support Unit (TSU) with adequate numbers of experts and support staff mainly on an outsourced basis. Technical support to NMD to achieve Mission objectives will be provided by Central Public Health & Environmental Engineering Organisation (CPHEEO).

3.2 State Level

3.2.1 State High Powered Committee (SHPC):

- SHPC under the chairpersonship of the State's Chief Secretary, and with members drawn from concerned departments shall be responsible for the management of SBM-Urban 2.0 at the State/ UT level;

- An indicative composition of SHPC is given below:

- i. Chief Secretary: Chairman;
- ii. Principal Secretary (Urban Development): Member;
- iii. Principal Secretary (Public Health & Engineering): Member;
- iv. Principal Secretary (Finance): Member;
- v. Principal Secretary (Housing): Member;
- vi. Principal Secretary (Environment & Forest): Member;
- vii. Chairman - State Pollution Control Board: Member;
- viii. Representative of MoHUA: Member;
- ix. Mission Director of SBM-Grameen at State/ UT level: Member;
- x. State Mission Director: Member Secretary;

The SHPC may co-opt/ induct any other members based on requirement.

- The SHPC will play a majorly strategic role, including oversight of regulatory compliances, and will include:

- Planning
 - i. approving overall plan for achieving SBM objectives;
 - ii. planning for fund flow in the short, medium and long term;
 - iii. planning for additional resource mobilization;

- iv. selection of clusters so that common infrastructure could be shared between a group of cities/ towns/ contiguous rural areas;
 - v. planning for encumbrance free land to be made available for setting up necessary infrastructure.
- Review and Implementation of project progress
 - i. ensuring convergence of action for sanitation and waste management in the urban and rural areas of the State and bringing about inter-departmental coordination for this purpose;
 - ii. conducting independent review and monitoring during execution of projects;
 - iii. ensuring timely audits of funds released and reviewing the "Action Taken Reports" on various audit reports of the mission and other similar reports.
 - Capacity building of stakeholders
 - i. facilitating capacity building of parastatal bodies that would help ULBs to implement used water management;
 - ii. reviewing the progress of capacity building initiatives, IEC and public awareness activities under the mission.
 - Miscellaneous
 - i. addressing violation of norms and conditions;
 - ii. reviewing legal issues, if any;
- iii. taking up any other matter relevant for the efficient implementation of the mission, or matters referred to it by the SBM National Mission Directorate.
- 3.2.2 *State Level Technical Committee (SLTC):*
- For review and sanctioning of projects, there will be a State Level Technical Committee (SLTC), under the Chairpersonship of Principal Secretary – Urban Development, and State Mission Director- SBM as Convenor. An indicative composition of SLTC is given below:
- xi. Principal Secretary: Chairman;
 - xii. State Mission Director: Convenor;
 - xiii. Pr. Secretary in charge of SBM-Grameen: Member;
 - xiv. Pr. Secretary (PHE): Member;
 - xv. Pr. Secretary (Finance): Member;
 - xvi. Pr. Secretary (Environment & Forest): Member;
 - xvii. Representative, SPCB: Member;
 - xviii. Representative of MoHUA: Member;
 - xix. Representative of relevant parastatal entities.
- The SLTC may co-opt/ induct any other members based on requirement.
- The role of SLTC will include:
- i. preparation of State action plans with annual timelines to create ULBs ODF+, ODF++, Water+, 3-star Garbage Free;
 - ii. helping ULBs to prepare ULB level CSAP and CSWAP for sanitation, used

- water and SWM for all cities covered under SBM-Urban 2.0;
- iii. facilitating use of IT enabled tools and solutions for preparation of DPRs;
- iv. reviewing DPRs and projects relating to Sanitation, Solid Waste Management, used water management, IEC and CB as recommended by the ULBs;
- v. approving projects for uploading on Proposal Tracking System (PTS) for fund release.

It is recommended that the SHPC meet at least twice a year, or more, while SLTC meets at least once in 3 months, or more frequently, based on frequency of receipt of proposals from ULBs.

3.2.3 SBM State Mission Directorate

- The SBM State Mission Directorate will be headed by a State Mission Director (SMD) of appropriate seniority. The SMD will also function as Member-Secretary to the SHPC, and Convenor to the SLTC;
- The State Mission Directorate shall be supported by a dedicated PMU on deputation/ outsourced basis. The funding for the same can be met from the Capacity building funds under SBM-U 2.0 allotted to State/ UT.

Role of State Mission Director will include the following:

- i. creating / notifying a uniform structure across the state for the planning, designing, project preparation, appraisal, sanction and implementation

- of sanctioned projects under the mission at the ULB level;
- ii. reviewing CSAP, CSWAP for all cities covered under SBM-U 2.0;
- iii. putting up consolidated State level plan (summation of all ULBs' plans) in terms of physical and financial targets, to SLTC
- iv. planning for additional resource mobilization;
- v. developing IT enabled tools and solutions for preparation of DPRs, or facilitate use of existing tools provided by MoHUA for DPR preparation;
- vi. planning for fund flow in the short, medium and long term under guidance of SHPC;
- vii. recommending proposals for release of instalments of funds for projects under the Mission;
- viii. ensuring convergence of action for sanitation in the state and bring about inter-departmental coordination for this purpose as and when required;
- ix. ensuring timely audits of funds released and review the "Action Taken Reports" on various audit reports of the mission and other similar reports;
- x. empaneling agencies for conducting independent review and monitoring during execution of projects;
- xi. technical scrutiny of DPRs received from ULBs and facilitating convening of SLTC meetings under chairmanship of

- principal secretary(UD);
- xii. supporting Additional Chief Secretary/ Principal Secretary/ Secretary (Urban Development) in developing and placing agenda for SHPC meetings.
 - xiii. any other matter relevant for the efficient implementation of the mission, or matters referred to it by the SBM-U 2.0 National Mission Directorate.

3.3 District Level

- A District Level Committee (DLC) under the Chairpersonship of the District Collector will be set up at the District headquarters;
 - The DLC will be responsible for overseeing all aspects of convergence between SBM-Urban 2.0 with SBM-Grameen, while implementing the respective Missions.
- ii. conducting gap analysis and preparation of CSAP and CSWAP;
 - iii. preparation of DPR;
 - iv. coordinating with State for getting sanctions from SHPC/ SLTC, and fund release for projects;
 - v. implementing projects in a time-bound manner, along with continuous monitoring to ensure sustained functionality;
 - vi. collection of user charges for ensuring financial sustainability of operations;
 - vii. awareness and citizen engagement;
 - viii. setting up City Sanitation Committees with participation of selected citizen representatives for periodically reviewing and monitoring efficient functioning of assets created.

3.4 ULB Level

- The Municipal Commissioner (MC)/ Executive Officer (EO) of a ULB shall be the administrative authority responsible for implementing all components of the Mission at the ULB level.
- The MC/ EO will also be responsible for smooth and seamless implementation of all Mission components.
- The responsibilities of the MC/ EO will include the following:
 - i. facilitating capacity building of Municipal staff;

FUNDING PATTERN

Sets out the overall principles for release of funds by Centre to States/ UTs, and leveraging of 15th FC grants by States/ UTs and ULBs to augment their fund availability for various Mission components.

Fund allocation under SBM-U 2.0 to States/ UTs, along with entry conditions for ULBs to receive funding, fund sharing pattern and method of leveraging funds from other sources to fund Mission components are outlined below in this chapter.

4.1 Entry level conditions

In order to participate in SBM-U 2.0, the following entry conditions would need to be mandatorily fulfilled by States/ UTs and ULBs:

- 4.1.1 *aligning property tax floor rates with market rates, with periodic revisions in line with GSDP, as recommended by 15th FC ** (refer Note below)
- 4.1.2 *levy and collection of user charges for services provided, to recover operational costs, with periodic increase; ** (refer note below)
- 4.1.3 *adoption of Public Financial Management System (PFMS) by all ULBs.*

* Note: Notification of property tax floor rate by States / UTs along with its adoption by ULBs and notification of user charges to recover a component of operational cost will be made mandatory conditions for Central Assistance. The States/UTs will have to implement them in first two years from launch of continuation Mission to be eligible for Central assistance from third year onwards

For user charge collection against 4.1.2 above, ULBs may, at their discretion, cross-subsidise urban poor families and economically weaker sections, the quantum of subsidy to be decided by the ULB.

4.2 State Nodal Account (SNA) and PFMS

To receive funds under SBM-U 2.0, all transactions will have to be made through DBT and/ or EAT modules, as applicable. In this respect, revised procedure for fund release as per Ministry of Finance OM number F.No. 1(13) PFMS [ECD/ 2020 dated 23rd March 2021, or as updated from time to time, will be applicable.

4.3 Public Private Partnership (PPP)

4.3.1 Under SBM-U 2.0, projects under PPP mode are encouraged, to invite private capital in urban infrastructure as well as to bring in private sector efficiency in delivery of urban services and O&M. It is also understood that in the current scenario, there may be a requirement for viability gap funding. For Solid Waste Management, revenue streams such as Compost from organic waste, recycled construction material from

- C&D waste, etc. can be leveraged, while for waste water Management, revenue streams such as compost from fecal waste, sale of recycled waste water, etc can be leveraged for PPP projects.
- 4.3.2 All ULBs must first explore possibility to take up the projects in a PPP mode (including cluster level projects catering to ULBs of varying population categories) for the above reasons. Government of India funds as per prescribed funding pattern will be available for claiming VGF. Payment of VGF from Central assistance will be 50% of the gap funding subject to maximum of 30% of project cost, or as could be the prevalent Central government guidelines. This could be paid in normal PPP mode or Hybrid Annuity Model (HAM) through escrow account. Government of India guidelines for financial support to PPP projects under VGF scheme can be referred for this purpose.
- 4.3.3 Release of VGF grants will be as per contractual arrangement with the private partner and as approved by State Government. However, it will be ensured that funds do not remain parked with the State Governments.
- 4.3.4 For cluster projects taken up on EPC mode, the fund release will be on pro-rata basis, depending on population category of ULBs proposed to be covered under the cluster.
- 4.3.5 State Governments can also add or generate funds for ULBs as additional funds over and above the minimum share prescribed for each component, required to make the projects viable.
- 4.3.6 Adequate funds will be released on acceptance of the proposal of the State Government for Toilets, SWM and Used water management projects.
- 4.3.7 States will release the Central Government share of VGF after adding their share in conformity with the contractual requirements of the project taken up on PPP mode.
- 4.3.8 In case State Government feels that a project is not suitable to be taken under PPP methodology, it may then consider the GoI share (as per funding pattern) to be treated as Grant from GoI to the ULB. It will be up to the State Government and ULB to arrange for the balance resources for the project, which must be ensured at the time of approving a project. Government of India guidelines for posing, implementation & monitoring of Externally Aided Projects (EAP) can be referred for this purpose.
- 4.4 Allocation of funds:**
- 4.4.1 The mission will be implemented with the following classification of funds for various components:

S. No.	Classification	Total Amount for Mission Period (₹ crore)
i.	Project Fund (for sanitation, SWM and Used water management)	1,25,430
	⊖ For SWM	39,837
	⊖ For sanitation	5,610
	⊖ For used water Management	79,983
iii.	Public Awareness & IEC Activities	6,271
iv.	Capacity Building & A&OE	3,763
v.	Committed Liability (Carried over from SBM-U)	6,136 *
vi.	TOTAL OUTLAY	1,41,600

* It may be noted that the 'Committed liabilities' will only be valid for release till 31st March 2023, beyond which the unclaimed amount would lapse.

4.4.2 The funding for SWM has been decided in a manner as to leverage the investments already made under SBM-Urban in SWM, whereas for used water management, the funding has been decided keeping in view the fact that it is a new component, requiring considerable ground work to be done.

- 90%:10% for ULBs in NE/Himalayan States,
- 100% for UTs without legislature,
- 80%: 20% for UTs with legislature,
- 25%: 75% for 10 lakh plus ULBs
- 33%: 67% for ULBs with 1 lakh to 10 lakh population (both included),
- 50%: 50% for ULBs with less than 1 lakh population

The structure of fund sharing among Centre and States/ UTs for various components are given below:

4.5 Fund Sharing

The Centre: State distribution of the Project fund will be as under:

4.5.1 For IHHLs

Sl No	Type of State/ UT	Central Share per unit (₹)	State/ UT share per unit (₹)
1	UTs without legislature	4,000	1,333 (to be borne by Centre)
2	UTs with legislature	4,000	1,333
3	North East and Hilly States	10,800	1,200
4	Other States	4,000	2,667

Note: - The estimated cost of IHHL is assumed to be ₹30,000 per unit

4.5.2 For CT/ PT/ Urinals/Used water management / SWM

Sl No	Type of State/ UT	Central Share per unit * (%)	Minimum State/ UT share per unit (%)	Balance (from 15 th FC funds, ULB share, pvt sector share)
1	UTs without legislature	100	0	-
2	UTs with legislature	80	20	-
3	North East and Hilly States	90	10	-
4	Other States: ULBs with population of above 10 lakh	25	16	59
5	Other States: ULBs with population between 1 - 10 lakh (both included)	33	22	45
6	Other States: ULBs with population of less than 1 lakh	50	33	17

4.5.3 For IEC and CB

Sl No	Type of State/ UT	Central Share (%)	State/ UT share (%)
1	UTs without legislature	100	0
2	UTs with legislature	80	20
3	North East and Hilly States	90	10
4	Other States	60	40

4.5.4 It is to be noted that the Central share of funds will be released in two (2) / three (3) instalments. Release clauses for each component have been detailed out in the respective chapters for each component. For IHHL, release clauses for 2 instalments are described in Section 5.1.6.1 and 5.1.6.2; for CT/PT/Urinals, the clauses are described in 5.2.7.3 and 5.2.7.4; for SWM, the clauses

are described in Sections 6.9.2, 6.9.3 and 6.9.4; for used water management, the clauses are described in Sections 7.10.2.1, and 7.10.2.2, and 7.10.2.3; for IEC, the clauses are described in Sections 8.7.3 and 8.7.4; and for CB, the clauses are described in Sections 9.16.3 and 9.16.4.

4.6 Others

4.6.1 The total funds allocated for IHHL,

- CT/ PT and Urinals will be part of a consolidated package, with States/ UTs having the flexibility to interchange their fund requests between any type of toilet. It may be noted that 25% of the allocated amount will be kept aside as 'floating funds' at GoI for sanitation, to cater to additional funding requests from States/ UTs for additional toilets (IHHL, CT/ PT/ Urinals)
- 4.6.2 For the balance amounts required for all the above component, States/ UTs and ULBs will need to leverage 15th FC funds, private sector participation or any other source of funds.
- 4.6.3 MoHUA will endeavour to earmark at least 10% of total fund allocation for each year for NE and Himalayan States.
- 4.6.4 Distribution of Project Fund across States/ UTs are at **Annex 4**. The distribution is calculated on the basis of weighted average of (a) percentage of urban population of State to total urban population of India (90% weightage), and (b) percentage of area of State to total area of India (10% weightage).
- 4.6.5 Sanction of projects (DPR):
- 4.6.5.1 Projects will be sanctioned by SLTC as prescribed in these guidelines.
- 4.6.5.2 Only new projects will be considered under the Mission and it will be ensured that there is no duplication. Projects will be considered as "new" if they are not already sanctioned and ongoing under State and central schemes and externally-aided programmes/ projects.
- 4.6.5.3 For Detailed Project Reports (DPRs) to be prepared for project sanction, fund release and monitoring, the cost of DPR preparation and their vetting through empaneled agencies/ institutes for the projects under the Mission shall be reimbursed from the project funds of respective components. Cost of DPR preparation should be discovered through open competition, and subject to an upper limit as may be prescribed separately by MoHUA from time to time.
- 4.6.5.4 States/ UTs will be required to present their consolidated action plan for achieving all Mission components to NARC within 6 months of submitting their State vision for the specific component.
- 4.6.5.5 States/ ULBs are encouraged to use IT-enabled solutions for DPR preparation.
- 4.6.6 Emerging/ innovative solutions and technologies may be shared by States and ULBs for consideration by the Technology Evaluation Committee (TEC) for Solid & Liquid waste management set up by MoHUA. Some of these potential technologies would be extended financial support to test them on pilot basis subject to recommendations of the TEC, and approval of NARC.

- 4.6.7 Amendment in nature of projects:
- 4.6.7.1 The SLTC will have the flexibility to re-determine the targets for IHHLs and CT/ PTs/ Urinals, subject to State-wise overall funds envelope (sum of allocation for IHHL and CT/ PTs for the entire mission period) remaining unchanged.
- 4.6.7.2 Under special circumstances, States/ UTs may change nature (costing, type) of projects for which funds have already been released by MoHUA, but before actual expenditure is incurred. In order to effect such changes, the amendments of the project should be approved by SHPC and sent to MoHUA for concurrence, before the revised project is implemented.
- 4.6.7.3 States/ UTs may also redistribute released funds among its ULBs, subject to SHPC approval of such redistribution, and subsequent concurrence by MoHUA, before actual expenditure. This will ensure fungibility of funds and optimum utilization of resources towards achieving the Mission objectives.

TOILETS (IHHL, COMMUNITY/PUBLIC TOILETS, URINALS)

Sets out a saturation approach to ensure that every citizen of Urban India has access to safe sanitation infrastructure, along with access to safe containment facilities for fecal sludge.

5.1 Individual Household Latrines (IHHL)

5.1.1 Target Group

The target group for construction of Individual Household Latrines (IHHLs)/ Toilets is:

- (i) *new independent households;*
- (ii) *all new households who might have migrated to urban areas;*
- (iii) *all households with previous access to community toilets, who might want to have their own facility;*
- (iv) *all households with insanitary latrines.*

5.1.2 Selection of Beneficiary Households

5.1.2.1 Selection of Beneficiary Household shall be as per following guiding principles:

- i. *ULBs to conduct gap analysis to evaluate the number of new IHHLs required;*
- ii. *In case a family has received funds for construction of IHHL under any earlier scheme, the same family would not be eligible to receive funds for toilets again;*
- iii. *A ULB which has been declared at*

least ODF+ may also request funds under SBM-U 2.0 provided the survey reveals the need for additional IHHL units.

5.1.2.2 Eligible beneficiary households will be provided toilets under this scheme irrespective of whether they live in authorized/ unauthorized colonies or notified/ non-notified slums. Under SBM-U 2.0, tenure security issues are to be de-linked from benefits.

5.1.3 Construction & Design

5.1.3.1 Household toilets constructed will have two main structures: (i) toilet superstructure (including pan and water closet), and (ii) substructure with septic tank and soak pit (on-site treatment system), or a connection to an existing underground sewerage system. The on-site disposal system comprising of a septic tank with soak pit will be designed as per IS -2470 Pt-1 & 2 (in the event that a sewerage system is not available within 30 meters from the proposed household toilet).

5.1.3.2 Wherever a sewerage system is available within 30 metres from the proposed household toilet, only the toilet superstructure may be constructed

- and toilet connected to the existing sewerage system. In case there are more than one house beyond 30 meters from nearby sewer line, ULB will endeavor to connect these houses with nearby sewerage system by pooling resources from beneficiary households including from State/ UT & ULB's shares.
- 5.1.3.3 All IHHL being constructed should be built in tandem with water supply arrangements in ULBs. Beneficiaries will be responsible for the operation and maintenance of the household toilets. Additionally, ULBs may explore innovative household toilet models brought out by private sector players/ entrepreneurs, as long as they meet the accepted scientific standards of safe disposal.
- 5.1.4 Operation & Maintenance
ULB will need to carry out periodic desludging of pits (as per ODF++ protocol) to prevent slippage or slide-back to OD practices.
- 5.1.5 Application for IHHL
- 5.1.5.1 ULB must ensure Aadhar seeding of all IHHL beneficiaries. All financial incentives (government and/ or private) for this component will be deposited directly (by electronic clearing service) into the Aadhar-linked bank accounts of the beneficiary households;
- 5.1.5.2 Application for IHHL may either be made through UMANG app, or through the mSBM app and uploaded online on the SBM portal. Final verification of the construction of the household toilet should be supported by location-based technologies, wherein geo-tagged photographs of the construction, along with the applicant are taken.
- 5.1.5.3 These photographs must be uploaded through the UMANG or mSBM app, to the SBM-Urban 2.0 MIS;
- 5.1.5.4 The ULB shall verify each application for genuineness of requirement before releasing any funds. Verification of the application should be completed within 7 working days of its submission by the beneficiary.
- 5.1.6 Fund Release Mechanism for IHHL (as mentioned in section 4.5.4)
- 5.1.6.1 50% of the Central Government funds will be released to the State/ UT as 1st instalment, on fulfilment of the entry conditions given in Section 4.2, and following additional condition:
- *ULBs to upload their latest progress data on the MIS portal.*
- 5.1.6.2 The remaining 50% of Central Government funds as 2nd instalment shall be released to the State/ UT, along with fulfilment of following conditions:
- *Documentary evidence of 50% completion of construction target (State/ UT level);*

- *State has expended 75% of State/ UT share;*
 - *UC submitted by State / UT for 75% of first instalment released.*
- 5.1.6.3 States/ UTs to invite private sector funds/ CSR to the maximum extent possible for any additional IHHL that may be required.
- 5.2 **Community Toilets (CTs)/ Public Toilets (PTs) & urinals**
- 5.2.1 Target Group
- While CT/ PTs and Urinals have been constructed under SBM-U, it is expected that there will still be some households which are at considerable distances from the nearest CT. Higher influx of floating population is also expected in Urban areas. Hence, additional number of CTs, PTs and Urinals will be targeted for construction under SBM-U 2.0 for better accessibility and functionality, even if ULB is at least ODF+ certified. In this context, it may be noted that ULBs should prioritise IHHL access for all households, and only in cases of land constraints should CTs be provided, with seats earmarked for selected families so that they the families feel a sense of ownership and maintain them as their own.
- 5.2.2 Location of CTs, PTs, Urinals
- 5.2.2.1 ULBs will need to identify all possible Open Defecation/ Open Urination vulnerable points (yellow spots) ("OD/ OU hot spots") and make provisions for adequate numbers of CTs/ PTs and Urinals at easily accessible distances, which in turn will lead to elimination of hotspots.
- 5.2.2.2 ULBs should ensure that:
- i. every household dependent on CTs has access to one within a maximum distance of 500 metres from their homes, and
 - ii. every public place (bus stops, petrol pumps, metro stations, market places, religious and tourist locations, health centres, citizen centres) has at least one PT/ Urinal available within 500 metre distance, and that the facilities are kept clean, functional and open for public use.
- 5.2.3 Aspirational toilets
- ULBs will have to provide additional **PTs in all tourist destinations/ places with high footfall/ iconic cities/ religious destinations, etc.** It is suggested that these additional PTs be made in "aspirational category", with the following indicative features:
- a) Walls and floors are clean and stain / graffiti free
 - b) Low height toilets/Indian toilets and basins for children
 - c) Plants / shrubs in the vicinity of toilet complex are well maintained

<p>d) Space earmarked for advertisement for revenue generation (Even if advertisement is not available marks will be awarded)</p> <p>e) Hand dryer / paper napkin available</p> <p>f) Ladies' toilets have vending machine for sanitary napkins</p> <p>g) Incinerator facility available for disposal of used sanitary napkins for toilet having > 10 seats</p> <p>h) Toilet identification number, name of ULB under which jurisdiction toilet is covered, ward number and maintenance authority prominently displayed for each toilet block</p> <p>i) SMS based feedback with number displayed on which SMS has to be sent</p> <p>Annex 9 details out all the features that are required for a toilet to be as "aspirational toilet".</p>	<p>5.2.5.2 CT/ PT blocks will consist of a given number of toilet seats (as per requirements), toilet superstructure including the pan and water closet, and a substructure (either an on-site treatment system, or a connection to underground sewerage system) shared by all the toilet seats along with facilities for hand wash.</p> <p>5.2.5.3 The norms for connection of the superstructure to an on-site system or connection to an underground sewerage system as defined in paragraph 5.1.3 above will apply here.</p> <p>5.2.6 Operation & Maintenance</p> <p>There should be a digital system for capturing user feedback on a regular basis, multiple times per day, for each CT/ PT, with each feedback tagged to a unique user ID. Additionally, the Swachhata App may be used to provide feedback/register complaints regarding poorly maintained or non-functional CT/ PTs.</p> <p>5.2.7 Fund Release Mechanism for CT/ PT/ Urinals (as mentioned in section 4.5.4)</p>
<p>5.2.4 Central assistance as per the norms outlined in paragraphs 5.2.5.2 & 5.2.5.3 below will be provided for such PTs. ULBs will be required to indicate the additional footfall expected at these tourist locations while preparing the DPRs for fund release.</p> <p>5.2.5 Construction & Design</p> <p>5.2.5.1 Care should be taken to ensure that all CT/PT/Urinals being constructed under</p>	

5.2.7.1 Central government funds for the construction of CT/ PT seats & Urinals will be in the following form:

- 90% for ULBs in NE/ Himalayan States,
- 100% for UTs without legislature,
- 80% for UTs with legislature,
- 25% for 10 lakh plus ULBs,
- 33% for ULBs with 1 lakh to 10 lakh population (both included),
- 50% for ULBs with less than 1 lakh population

5.2.7.2 The unit cost of CTs/ PTs will be calculated at ₹1,50,000 per seat, and at ₹2,50,000 per seat for aspirational PTs, while base unit cost of Urinals will be calculated at ₹32,000 per seat wherein the VGF/ Grant will be as per the proportions given in paragraph 5.2.5.1 above. ULBs may also provide mobile toilets or eco-friendly toilets for use as CT/ PTs.

5.2.7.3 The **1st instalment** of 40% of allotted Central share from MoHUA will be released to the State/ UT provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:

- *City Sanitation Action plans (CSAP) Part 1 (approved by SLTC) along with gap analysis;*
- *ULB to upload their latest progress data on the MIS portal*
- *declaration from Municipal*

Commissioner/ EO of ULB that all existing CTs/ PTs & Urinals in the ULB are fully functional, with provision for water;

- *SLTC approved & complete proposals for a city (based on gap analysis), along with O&M plans for at least 5 years for maintaining functionality of CT/ PT;*
- *ULB has provided for encumbrance free land for construction of the CT/ PT complexes and Urinals.*

5.2.7.4 The **2nd instalment** of 60% of allotted Central share from MoHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- *Documentary evidence of 30% completion of construction target;*
- *UC for 75% of first instalment fund released;*
- *State has expended 75% of its allotted share;*
- *City has been certified as ODF+ (or above) at least once;*

SOLID WASTE MANAGEMENT

Sets out the overall approach to be taken by ULBs to put in place systems and processes to ensure that Urban India becomes Garbage Free.

6.1 Municipal Solid Waste and its management

Approximately 1,32,000 Metric Tonnes of MSW is generated from all urban areas of the country, which translates to about

300-550 grams per person per day. The waste generation is higher in larger cities and lower in smaller cities. The general trend of per capita waste generation is as follows:

S. No.	ULB Population Class	Typical Per Capita Waste Generation (in grams)
1.	>10 Lakh	550
2.	1 to 10 Lakh	450
3.	< 1 Lakh	300



6.1.1 Components of MSW Management: of various components of Solid Waste management systems:
The table below gives a tabular depiction

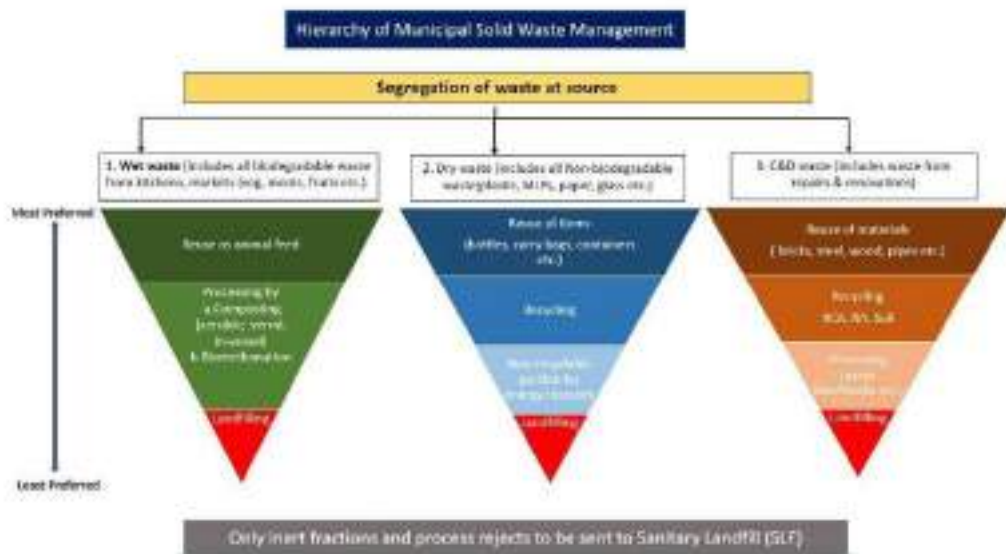
#	Components	Description
1	Source Segregation	Source Segregation of waste at the place of its generation in following categories is fundamental to MSWM: <ul style="list-style-type: none"> · Biodegradable wastes (wet waste - food waste, fruits & vegetables and parts thereof, meats, etc.). · Non-biodegradable wastes (dry waste - plastics, paper, cardboard, rags, glass, metal, wood and inert waste, etc.) · Sanitary waste and disposables thereof · Domestic hazardous wastes (such as aerosol cans, paint material, discarded medical supplies etc.) · Construction & Demolition waste · Generators of E-waste (including fluorescent and mercury containing bulbs & lamps) shall not mix e-waste with any other waste but deposit the same at e-waste collection centre
2	Door to Door Collection	Collection of solid waste from the door step of households, apartments, housing societies, shops, commercial establishments, offices, institutional or any other non-residential premises, including collection of such waste from entry gate or a designated location on the ground floor in a housing society, multi storied building or apartments, large residential, commercial or institutional complex or premises;
3	Separate transportation	Transportation of the segregated waste collected from source premises in specially designed, partitioned and covered transport vehicles, to the respective processing facilities.
4	Waste Processing	Processing of different fractions of MSW i.e. dry, wet, C&D and plastic as per Solid Waste Management Rules 2016. Processing is to be done differently for different categories of waste.

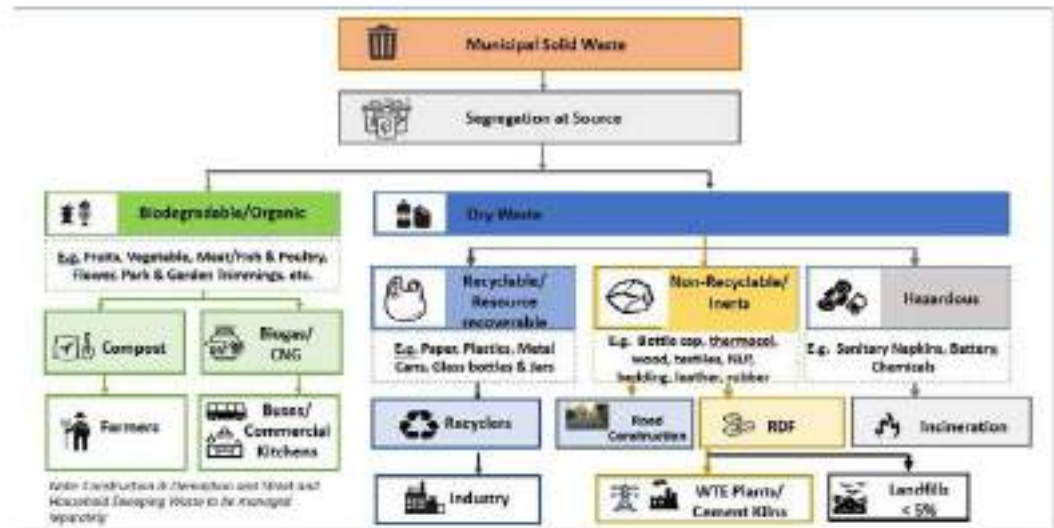
#	Components	Description
4(i)	Wet Waste	<ol style="list-style-type: none"> Home / Family sized Decentralized Composting Community /larger Decentralized (Less than 5 TPD) composting facilities Centralized composting facilities (More than 5 TPD) Bio-methanation - most suited for segregated wet waste like food waste from hotels/restaurants, and waste from dairy, vegetable market, meat/fish markets, mela waste etc.
4(ii)	Dry Waste	<ul style="list-style-type: none"> Material Recovery Facility (MRF) is a facility where non-compostable solid waste can be temporarily stored and processed by authorized agencies for further segregation, sorting and recovery of recyclables/non-recyclables/inert such as segregation of plastic, glass, metal, paper, clothes etc. The recyclable fraction like plastics and metals are to be sent to authorized recyclers. The non-recyclable/ combustible waste is to be sent to Waste to Energy plant/ Cement Kilns as Refuse Derived Fuel (RDF). <ol style="list-style-type: none"> Incinerators: Sanitary napkins and Diapers are to be separated, specially marked and sent to a bio-medical waste/ waste to electricity plant for incineration. Waste to Electricity plants: The combustible fraction of waste out of MRF/ Processing Facilities which is non-recyclable and has calorific value of 1,500 Kcal per kg and above can be used in waste to electricity plants.

#	Components	Description
4(iii)	Sanitary Landfill	<p>Only the inert waste (mostly from street sweeping) and process rejects (in no case should this exceed 20% of total waste) which are not suitable for any of the above dry and wet waste treatment processes can be sent to sanitary landfills.</p> <p>It is recommended that SLFs are set up as separate business entities levying tipping/ gate fee as per the quantity and quality of waste received at the facility. Free use of SLF / LF may not be allowed, to increase the processing & recycling efficiency by the ULBs and its contractors.</p>
4(iv)	C&D Waste	<p>Construction & Demolition (C&D) waste is generated whenever construction/ demolition activity takes place such as building roads, bridges, highways, flyovers, subway and redevelopment of old structures. It consists mostly of inert, non-biodegradable material such as concrete, soil, steel, wood & plastics, bricks & mortar etc. C&D waste is sorted into different streams and sent to C&D waste processing plant.</p>
5	Bulk Waste Generators	<p>All Bulk waste generators have to manage their own wet waste and also make own arrangements for dry waste management.</p>
6	User Fee	<p>Suitable User Fee and relevant penalty provision needs to be notified by all ULBs as per Rule 15 (ze) (zf) of SWM Rules 2016 on the lines of advisory circulated by MoHUA.</p>

6.1.2 Hierarchy and Process Flow of Municipal Solid Waste Management:

The basic principles involved in scientific solid waste management are given below which is called the Hierarchy of Integrated Solid Waste Management (ISWM).





6.2 General Principles for Designing of Waste Processing Facilities:

6.2.1 The composition of Municipal Solid Waste in India is as follows:

- *Organic / compostable fraction: 40 - 60%;*
- *Recyclable/ Resource Recoverable fraction: 20 - 30%;*
- *Non-Recyclable/ Combustible (RDF): 10 - 20%;*
- *Construction & Demolition (C&D) waste & unusable combustible: 5 - 15%.*

6.2.2 City Solid Waste Action Plan (CSWAP):

The vision of SBM 2.0 for scientific MSWM is that cities will ensure segregation of waste at source,

process waste in segregated fractions, recover resources and recycle to the maximum extent and minimize landfilling to 20% or less (including reject material coming out of processing). Cities must be seen to be clean 360°, duly remediating the legacy dumpsites. Further, Cities with non-conforming air quality need to replace the common manual street sweeping with air quality friendly mechanical sweeping and process the C&D wastes as well.

6.2.2.1 As a first step in fulfilling the vision, ULBs will prepare the CSWAP duly identifying the projected waste generation, segregation as wet and dry waste, the available processing capacity and the gap thereof. The CSWAP should also capture the gaps in dumpsite

remediation, mechanical sweeping and C&D waste processing facilities. Funds will be available for addressing the assessed gaps.

6.2.2.2 Cluster of ULBs can also be considered for creation of common infrastructure, keeping in mind the techno-commercial viability. For ULBs with population of more than 3 lakh (including ULB clusters), it is recommended that the wet waste will be processed using Bio-methanation, to produce biogas/bio-CNG for higher economic returns.

6.2.3 CSWAP will identify sanitary landfills (SLFs) which shall be set up preferably on cluster model. In order to ensure economies of scale and operational efficiency, State/ UTs may encourage creation of common infrastructure to cater to a group of small ULBs and their surrounding rural areas (in convergence with SBM-Grameen), including shared O&M of the infrastructure. In this SLF matter, the "one-district-one-operator" approach may also be considered.

6.3 The templates of CSWAP for various funding components of SWM is at Annex 2. The targeted outcomes of scientific MSWM will also be brought out in the CSWAP such as:

- timelines for implementation of required infrastructure
- timelines for achieving stages of

Star Rating under GFC protocol. A minimum 3 Star Rating will be achieved before the end of mission.

6.4 As achieving the mandatory GFC 3 Star Rating is linked to the creation of required infrastructure identified in the CSWAP, Cities and States /UTs need to examine strategic implementation plans. Bottlenecks such as land and environmental clearances need to be taken up in parallel with administrative and financial approvals so that the grounding of project works is not delayed. States/ UTs may develop a matrix of implementation issues for all their ULBs and select ULBs for their annual Action Plans which will mature to immediate implementation.

6.5 SBM 2.0 interventions in MSWM envision discrete project categories such as (i) MSW processing plants (ii) Legacy Dumpsites Remediation (iii) C&D Waste Processing plants (iv) Mechanical Sweepers and (v) SLFs which can be implemented simultaneously as independent projects, and also have vastly different implementation characteristics and different sets of vendors/contractors. Cities and States/ UTs need to link such different implementation factors into their Annual Action Plans. Considering these factors, the State / UT SBM Urban Mission

- Directorates are advised to prepare immediately ULB-wise CSWAPs and the corresponding implementation schedules.
- 6.6 Cities and States/ UTs can also develop implementation strategies responsive to the annual Swachh Survekshan to improve their rankings therein.
- 6.6.1 CSWAPs prepared duly incorporating the planned phasing of different modules will be the input for State/ UT Annual Action Plan and will be part of the proposal taken to SHPC for approval. State SBM Urban Mission Directorate will combine all CSWAPs and furnish the State Action Plan for achieving the mandatory 3 Star Rating of all ULBs in the State, spread across the 5 years of Mission. The State/ UT Annual Action Plans covering all ULBs will be approved in the first three years of mission, leaving a cushion of two years for implementation of outputs and achieving the mandated outcomes.
- 6.6.2 CSWAPs will also identify sanitary landfills (SLFs) which shall be set up preferably on cluster model. In order to ensure economies of scale and operational efficiency, State/ UTs may encourage creation of common infrastructure to cater to a group of small ULBs and their surrounding rural areas (in convergence with SBM-Grameen), including shared O&M of the infrastructure. In this matter, the "one-district-one-operator" approach may also be considered. Relevant CSWAPs will be part of the proposal taken to SLTC for approval. State SBM Mission Directorate will combine all CSWAPs and furnish the timeline for achieving the mandatory 3 Star Rating of all ULBs in the State, spread across the 5 years of Mission.
- 6.6.3 ULBs are to prepare DPRs for Solid Waste Management in consultation with State Governments, in compliance with MoHUA checklist (**Annex 6**). Smaller cities can be formed into clusters to become viable entities for economies of scale and to attract private investment. State Governments may handhold ULBs in preparing DPRs for SWM by engaging agencies/ institutions for this purpose. The DPRs should be ideally bankable, having a viable financial model. DPRs should be aligned with the guiding principles, SWM Rules 2016, CPHEEO Manuals and MoHUA Advisories.
- 6.6.4 Co-processing - Cement plant / RDF: For RDF produced from non-recyclable fraction of dry waste, the first priority should be given to using it in nearby cement plants or other similar industries (as alternative fuel).

- 6.6.5 It is stressed that waste to electricity projects are financially and operationally viable only with assured input of minimum 150 – 200 tonnes per day (TPD) of non-recyclable, high-calorific value segregated dry waste (RDF). Ideally, only ULBs with population of 10 lakhs and above (individually or in cluster) may opt for waste to electricity projects. While approving Waste to Electricity projects, ULBs are advised to ensure adequate quantity of waste/ RDF of specified calorific value. In this respect, ULBs may refer to the waste processing flowchart given under para 6.1.2 for recommended processing options for various waste fractions.
- 6.7 State Government can engage qualified institutes/ organizations for the technical and economic appraisal for project DPRs recommended by ULBs.
- 6.8 **Governance and Administrative provisions:**
- While considering projects under SWM, it will be ensured that there is no duplication in terms of funding under any other scheme or programme.
 - States/ UTs shall be free to choose the technology for SWM projects. MoHUA would be technology-agnostic as far as project funding is concerned, subject to overall allocation for State/ UT.
- MoHUA shall, from time to time, bring to the notice of the States/UTs, through Advisories and Manuals, and other consultative mechanisms, various technology options available in the field.
 - States/ UTs and their ULBs are recommended to use the GeM (government e-market place) portal for procuring waste management equipment.
 - The State Governments are recommended to put in place a single-window clearance system for SWM projects for ease of setting-up of facilities in timely manner and encourage private sector participation.
- 6.9 Funding mechanism for the SWM projects (as mentioned in section 4.5.4):**
- The GoI contribution for setting up MRFs, transfer stations, waste processing plants (including C& D waste processing plants), procurement of mechanized sweeping equipment and bio-mining of legacy dumpsites shall be as follows:
- 90% for ULBs in NE/ Himalayan States
 - 100% for ULBs in UTs without legislature
 - 80% for ULBs in UTs with legislature

- legislature
- 25% for other 10 lakh plus ULBs
 - 33% for other ULBs with 1 lakh to 10 lakh population (both included)
 - 50% for other ULBs with less than 1 lakh population
- 6.9.1 Components that can be funded include the following (as given in section 4.5.4):
- i. In all statutory towns:
 - *Setting up of waste processing facilities such as MRFs, transfer stations, composting plants, bio methanation plants, RDF processing facilities (for ULBs with 5 lakh population and above), plastic waste processing facilities, waste to electricity, sanitary landfill, etc.*
 - *Remediation and land recovery of legacy dumpsites*
 - ii. In 154 ULBs (NCAP cities +> 5 lakh population ULBs as per list given in **Annex 1**)
 - *Procuring mechanized sweeping equipment.*
 - *Setting up processing facilities for effective management of Construction and*
- Demolition (C&D) waste.*
- 6.9.2 The **1st instalment of 40%** of allotted Central share from MoHUA will be released to the State, provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:
- *SLTC approved CSWAP for respective modules (viz. C&D, Mech. Sweeping, Legacy dumpsites, MRF+waste processing) and action plans for respective component submitted;*
 - *Receipt of SLTC approved proposals for a city along with O&M arrangements for at least 5 years, and its funding arrangements;*
 - *Land identified & earmarked for setting up SWM facility/facilities.*
- 6.9.3 The **2nd instalment of 40%** of allotted Central share from MoHUA will be released to the State, provided the following conditions are satisfied:
- *UC submitted for 75% expenditure of Central and State share of first instalment;*
 - *Physical progress of at least 25% should have been completed in each of the sub components*

- (such as processing plants, MRFs, SLFs, legacy dumpsite remediation, etc.)*
 - Receipt of documentary evidence of completion of construction of SWM facilities and their functionality with funds received under SBM-U earlier.*
- 6.9.4 The 3rd instalment of 20% of allotted Central share from MoHUA will be released to the State, provided the following conditions are satisfied:
- UC submitted for 75% expenditure of Central and State share of second instalment*
 - City is at least 1-star certified as per Star Rating Protocol for Garbage Free Cities, and is segregating at least 60% of its municipal solid waste at source;*
 - Physical progress of at least 60% should have been completed in each of the sub components (such as processing plants, MRFs, SLFs, legacy dumpsite remediation, etc.)*
- 6.10 **Outcomes (in all statutory towns):**
- 100% Door to Door collection;
 - 100% source segregation of MSW;
 - 100% waste processing (in separate fractions of Wet , Dry, C&D waste);
 - Safe, quantified and scientific disposal of inert waste and processing rejects to Scientific Landfills;
 - Legacy waste in dumpsites is remediated;
 - C&D Waste management in all 154 non-attainment cities under Nation Clean Air Program (NCAP) and remaining cities >5 lakh population is achieved;
 - All cities achieve at least 3-Star Garbage Free rating.

USED WATER MANAGEMENT

Sets out the overall approach to be taken by ULBs to put in place systems and processes to ensure that no untreated used water is discharged into water bodies, along with reuse of treated used water.

7.1 Used water management

In the current scenario in India, only 40% of urban population have access to sewerage system, while the remaining 60% is dependent on unregulated on-site sanitation systems.

In the first phase of SBM (U), there were no funds earmarked for waste water management for towns. Based on learnings from the seven years, used water management for towns less than 1 lakh population has been newly added as a component under Swachh Bharat Mission-Urban 2.0 and Govt of India's AMRUT 2.0

Mission has funds earmarked for used water treatment including Faecal Sludge management, for cities with more than 1 lakh population.

Some basic definitions & terms used under this chapter are as given below for ready reference.

7.2 Components of Used Water Management Systems

The table below gives a tabular depiction of various components of domestic used water management systems:

S.No.	Components	Description
1.	Sewage (Used Water)	Used Water comprises of the following two components: Grey Water from kitchens, bathrooms, wash basins etc. Black Water from toilets & urinals. These may sometimes be mixed with other municipal flows such as surface water and storm water.
2.	Generation of Domestic Used Water	Generation of Domestic Used water: GOI/States/UTs endeavor to provide 135 Litres per capita per day (LPCD) of potable water through various Missions/ programmes. Of this, 80% (108 LPCD) is expected to be generated as used water.
3.	Management of Used Water	Management of Used Water includes collection, conveyance, treatment & recycling/ disposal of all the above stated flows.

S.No.	Components	Description
4.	Collection	Grey water from kitchens, bathrooms, wash basins etc. and black water from toilets shall be collected and let into the nearby sewer (i.e off-site sanitation system) or into the onsite sanitation systems (septic tanks with soak pits)
5.	Conveyance	
5.1.	Off-site System	Offsite System consists of sewage conveyance and treatment at STP
5.1.1	Interception & Diversion drains	This is a system of intercepting & collecting sewage from municipal drains (where sewer network is absent) and to divert it to STP for treatment.
5.1.2	Sewer network	Sewer network consists of continuous pipes laid underground, mostly along roads, to collect sewage from households and other establishments. Central portion of city area often characterized by high population density is designated as Core Sanitation Zone (CSZ) which is suitable/ viable for laying of sewer network. The outskirts of a city often characterized by sparse population density is designated as fringe areas. These areas are often based on on-site sanitation system, as laying of sewer network is often unviable.
5.2.	On-site System	Onsite treatment system (OTS) is a privately owned and maintained sewage disposal system (other than municipal body) that treats used water and produces partially treated water. However, some packaged onsite sewage treatment systems are also available.
5.2.1	Septage (from septic tanks with soak-pits)	In on-site systems, the fecal sludge and black water is accumulated in septic tank and soak pit, situated within the premises. Periodically, specialized collection vehicles will be used for desludging the septic tanks and transporting the same for treatment.
6.	Treatment	Sewage is treated in STP and faecal sludge can be treated either at STP or STP-cum-FSTP or standalone FSTP. Further, the treatment may be centralized or decentralized treatment.

S.No.	Components	Description
6.1.	STP	Sewage Treatment Plants (STP) are used for treatment of used water coming out from Domestic, Commercial, institutional establishments etc.
6.2.	Faecal Septage Treatment Plants (FSTPs)	Faecal Septage Treatment Plants (FSTPs) are used for treatment of faecal septage being periodically removed from septic tanks of domestic, commercial, institutional establishments etc. to maintain their efficiency.
6.3.	STP-cum-FSTP	Septage can be economically treated at STPs with certain minor modifications saving CAPEX, OPEX & land requirement.
7.	Recycle/ Disposal	The treated used water may be used by ULB either for self-consumption, or sold, for the following purposes: <ol style="list-style-type: none"> 1. Non-potable purposes like flushing toilets, gardening etc. 2. Agricultural purposes 3. Horticulture purposes 4. Industrial purposes 5. Municipal purposes like dust mitigation, road washing, construction activity, etc. 6. Water body rejuvenation <p>It is targeted to recycle and reuse at least 20% of treated used water for above mentioned purposes.</p>
8.	User Fees	Suitable user fees matching the cost of sewage management to be levied ensuring long term sustainability and assured service delivery. Levied user charges should be sufficient to recover fully/ partial O&M cost for running the facility uninterruptedly. Along with user charges, suitable penalty provisions to be notified in ULB bylaws.

7.3 Used water as new component under SBM-U 2.0

SBM-U 2.0 provides funds to address the issue of used water management including the safe containment, transportation and disposal of

faecal sludge and septage from toilets, for cities with population of less than 1 lakh. It will help to holistically manage approximately 13,000 MLD of sewage generated from the notified Class II - VI towns of the country, as shown in Table 7.1 below:

Table 7.1: Class of cities, population, sewage generation

Class of Cities based on Population		No of Cities [*]	Total Population @2011 Census [in crore]	STP capacity reqd (in MLD) (after adjusting for 23% decadal growth of population)	Average capacity (in MLD)
Class II	50,000-99,999	535	3.65	4,498	5.5
Class III	20,000-49,999	1,439	4.46	5,494	3.5
Class IV	10,000-19,999	1,233	1.2	2,826	.70
Class V	5,000-9,999	541	.43		
Class VI	<5,000	153	.05		
Total		3,901	10.42	12,818 (approx. 13,000)	

*- For purpose of estimation, Census 2011 figures are considered with suitable population projections. However, all Statutory towns will get funding support from SBM (U).

7.4 Objectives

Inclusion of used water management component under SBM-U 2.0 will help to achieve following two objectives:

i. all used water is safely collected, treated and

reused to feasible extent and no untreated used water is discharged into water bodies or the open environment;

ii. all faecal matter and septage is properly collected, treated and by-products reused.

7.5 Focus Areas under used water management

To achieve the objective of treating used water before discharge into water body/ overland, the following will be the major areas of focus under SBM 2.0, and will be eligible for Central share of funding:

- i. setting up of Sewage Treatment Plants (STPs)/ STP-cum-FSTP;
- ii. laying Interception and Diversion (I&D) structures including provision of pumping stations and pumping main/gravity main upto STP;
- iii. procuring adequate numbers of septic tank desludging equipments;
- iv. deploying Digital (IT enabled) tools for real time monitoring of efficiency parameters during the operational phase of STPs and allied equipments.

7.6 Project components eligible for funding

7.6.1 Used Water Project Components eligible for central funding

The project components to be funded by GOI is given below.

1. **Sewage Treatment Plant:** State/ULB will be free to adopt any proven technology, as brought out in the CPHEEO Manual/MoHUA Advisories from time to time. However, for smaller ULBs, nature-based technologies in suitable combinations may be adopted. Relevant components for integration of septage treatment at STP such as desludging ramp, screens, solid/ liquid separation chamber,

pumping etc, will be admissible components for Central funding as part of STP.

2. **Interception and diversion drains/ outfall sewer/ trunk main sewer:** Interception and diversion drain component is eligible for funding for conveying municipal dry weather flow upto STP/ STP cum FSTP through an outfall sewer/ trunk sewer from existing/ upcoming sewer network leading to the Sewage treatment facility.

3. Sewer & Septic tank cleaning machines

Desludging/ cleaning equipments will be eligible for funding provided that SLTC confirms that (a) the Private Sanitation Service Operators (PSSOs) are unlikely to be available to undertake this task at the particular ULB and (b) the State/ ULB will be engaging operators on contract to run them.

7.6.2 Used Water project components to be fully funded by States/ULBs

1. **Sewer Network-** The entire cost of sewer network being set up in the towns to be borne by the State/ UT & ULB including those of tied 15th Finance Commission(FC) Grants. The arrangements in terms of funds and timelines need to be delineated and explained to SLTC while sanctioning of projects and also communicated to the National Mission Directorate, at the time of claiming central share of funds for STPs/ STP cum FSTP and I&D infrastructure in any town. It is expected that each ULB will use 15th FC tied Grants/ SFC Grants and their own resources to

suitably convey sewage from the households through sewer networks to ensure robust and environmentally conscious sanitation approach. As an interim arrangement due to fund constraints or any other reasons existing and improved municipal pucca drains could be used as means of conveyance. Use of tied 15th FC grants towards development of sewage conveyance network would be monitored by Ministry in accordance with 15th FC guidelines.

Further, to promote planned urbanization with requisite basic services, it is advised that in new green field developments in and around towns, provision of sewerage network along with decentralized sewage treatment facilities should be ensured. This will avoid construction of individual septic tanks and soak pits.

2. Strengthening of Municipal drains

As an interim arrangement, till sewers are laid in town, strengthening of drainage networks is to be taken up and intercepted into existing/upcoming sewer network, wherever feasible, or brought to I & D point from where, sewage/sullage can be conveyed to STP/ FSTP cum STP.

As in the case of sewer network, the arrangements being contemplated in terms of funds including tied 15th FC Grants and timelines need to be delineated and explained to SLTC, while sanctioning of projects, and also communicated to the National Mission Directorate, at the time of submission of funds request towards STPs and I&D infrastructure. As explained above, in this case also funds

mobilized out of 15th FC tied Grants/ SFC Grants and State/ULB's own resources would be monitored in adherence to 15th FC guidelines.

7.7 Mission Governance at State level

7.7.1 Sanctioning of Proposals and Mission Monitoring

While administering, approving and monitoring various related proposals of Used water management, SLTC to ensure the following and place before SHPC for approval:

i) **Annual progress plan for achieving Mission targets in respect of ODF++ and Water+.**

ii) **Sanctioning of City Sanitation Action plans (CSAP) part 2, including year-wise overall action plan for its approval.**

iii) **Seamless project implementation:** All Used water management projects are planned in an integrated manner, where Interception & Diversion of drains, STP and/ or STP- cum- FSTP construction and at least 5-years O&M of the constructed infrastructure are the responsibility of the same vendor/ operator and to be awarded in a single package.

iv) Ensuring that projects are planned in a manner that the envisioned Mission objectives of "no untreated used water discharged into water bodies" are met in totality.

v) For robust O & M of assets created, the "one-district-one-operator" approach may also be explored, if other wise found suitable to State/UT.

vi) Cluster/ chubbing of ULBs:

In order to ensure economies of scale and operational efficiency, State/ UTs may encourage creation of common infrastructure to cater to a group of small nearby ULBs and their surrounding rural areas (in convergence with SBM-Grameen), including shared O&M of the infrastructure, where found feasible.

vii) Recycle & Reuse: The projects must provide for recycle and reuse of treated used water. The recycle and reuse projects should be formulated in such a way so as to be financially sustainable.

viii) Land availability: SLTC will ensure timely land availability to take up implementation of projects particularly STPs.

ix) Use of IT enabled Tools/ Computer software: States / ULBs are encouraged to use IT-enabled tools/ computer software for design of various project components, its cost estimation & overall DPR preparation, to the extent feasible.

x) Policy and leveraging funds from various sources, private sector, capacity building etc.

xi) Constitution of State level Technical Committee(SLTC) under Principal Secretary (UD) for technical appraisal and sanctioning of projects submitted after detailed examination by engaged Technical Agency/Institutes.

xii) The DPRs submitted by ULBs to state Mission directorate will be required to be systematically scrutinized by technical institutes/ agencies, engaged for the purpose,

from techno-economic angle and submitted to SLTC for technical sanction before submitting the same to SHPC for Financial & Administrative Sanction as outlined in Chapter 3.

7.8 Mission Implementation Strategy

7.8.1 City Sanitation Action Plan (CSAP) - part 2

As a first step, ULB will be required to prepare the CSAP Part 2. The CSAP Part 2 is expected to contain information on sewage management, specifically details of existing sewer networks, STPs, STP cum FSTPs, FSTPs and details of main municipal drains, etc, along with gap analysis in respective infrastructure and proposed projects along with block cost estimate, as per standard template provided at Annex 3B.

Gap Analysis: CSAP Part 2 must contain a gap analysis in sewage management and prospective projects to be taken up under SBM-U 2.0 along with its prioritization. The tentative block cost estimate for components like STP, sewer networks, pumping stations and I&D drains etc. are to be prepared with suitable zoning.

7.8.2 Broad DPR preparation approach

Broad DPR preparation approach is outlined below for two possible field scenarios:

A) Sound foundation for sanitation in ULBs using sewer network based robust used water management approach followed by Sewage treatment facility.



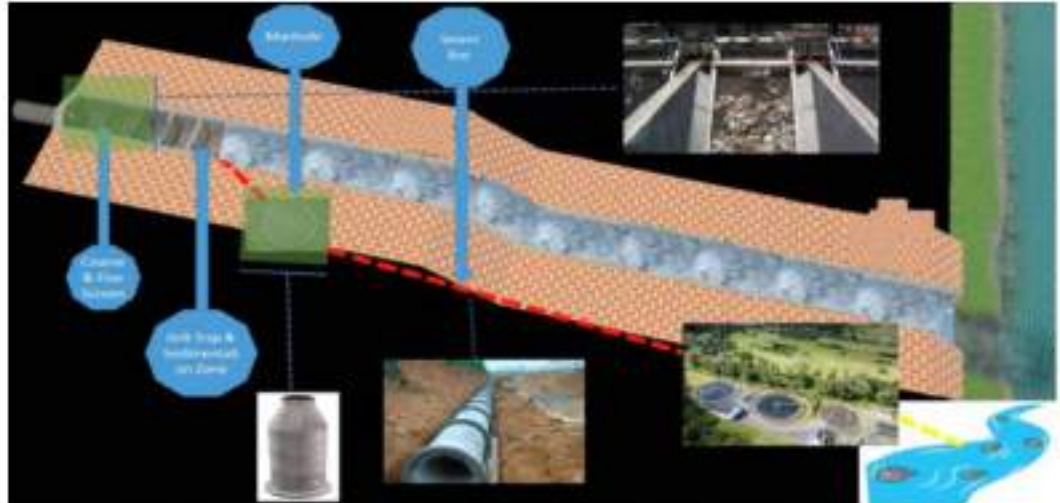
B) Where, States/ULBs, instead decides to adopt, municipal pucca drains based used water conveyance system, as interim arrangement, followed by I&D and Used Water and Septage treatment facility.

7.8.3 DPR Preparation approach adopting sewer network & STP

State/ ULB will be required to prepare DPR as identified in CSAP, following the CPHEEO Manual on Sewerage & Sewage Treatment Systems, 2013/ Advisories published by Ministry from time to time. For guidance on the type of Infrastructure [sewerage, drainage, I&D and STP etc.] to be considered while preparing DPRs for various class of towns, the schematic layout may be considered:

1. **Sewer Network in Core Sanitation Zone:** ULBs to identify its "Core Sanitation Zone (CSZ)", defined as a zone which has at least 50% of the town's current population settled over an area comprising about 20-30% of the town's spread (please refer diagram given above). The CSZ will be provided with a sewer network to connect it directly to the STP.

The cost of the CSZ sewer network will be borne entirely by the State/ ULB from 15th FC Grants/ SFC Grants/ their own funds etc. States/ UTs are expected to encourage the ULBs to identify any suitable area in the city to provide with a sewer network. City can expand network coverage based on necessity and availability of resources over the time.



For upcoming new green field developments in and around towns, the provision of sewerage network along with decentralized sewage treatment facilities should be factored in planning.

2. Intercepting used water from open drains to Sewer network:

State is also required to **strengthen existing open drains** carrying sullage and connect the same to the sewer network, wherever feasible, after providing suitable I&D structures like coarse screen, grit chamber, fine screen and settling basin etc. before intercepting into sewer network.

3. Approach for Fringe Areas

- For inhabitants residing in fringe areas outside the CSZ, the town authorities may work out economically judicious solutions, opting between continuing with onsite disposal

systems (septic tanks with soak pits) and providing localized community level sewage treatment plants for grey/ black water where feasible or conveying it to STP depending on economics. The septage from these households will continue to be safely hauled to a designated STP under professional arrangements.

- It is advised that the fringe areas may try to strengthen their onsite disposal arrangements by providing for soak pits where they are missing and forcing the septic tank effluent into the ground, adhering to design norms.

4. Provision for adequate Used Water Treatment Facility in each ULB:

It may be noted that each ULB needs to plan for adequate used water (grey water + black water) treatment facility with provision to treat septage as well. Creating adequate used water treatment facility is an important component and aligned

with mission objective to ensure that used water is discharged to water body or over land only after proper treatment ensuring compliance to environmental discharge standards. This is necessary to comply with Legal and Regulatory requirements under Hon'ble NGT O.A no. 673/2018 and Hon'ble Supreme court WP(C) 375.2012. as well as WATER (Prevention and Control of Pollution) Act 1974.

Accordingly, all towns will need to prepare a DPR containing the provision of minimum one STP (for 70% of current population).

5. STP Technology:

As regards selection of Used water treatment technology, it will be open to ULB/State Government to select **any proven technology** as brought out in the CPHEEO Manual/Advisories from time to time. In case States come across any other technology not listed in CPHEEO Manual/Advisories, the same should be referred to CPHEEO for evaluation and inclusion in the Advisories. State Governments are encouraged to select nature-based sewage treatment technologies (alone or in combination of two to attend desired treated effluent quality), where feasible, to economise Capex & Opex.

In this context, it may be mentioned that global experiences have established STPs to be the most effective method for treating used water (grey water and black water). Hence, States/UTs may take informed decisions regarding technology to be used for treating their used

water so that the Mission's objective of "no untreated used water polluting water bodies" is realized.

7.8.4 Municipal pucca drains based used water conveyance system, followed by I&D and Used Water Treatment Facility

i. Urban Drains of various sizes comprising tertiary, secondary and primary tributaries (main drains) discharge sewage into natural water bodies. During dry weather (when it is not raining), almost the entire flow in urban drains consists of

- raw sewage from toilets not connected to a sanitary disposal system,
- partially treated effluent from existing septic tanks, and
- other onsite management systems where soak pits are not provided or are blocked.

ii. As an interim arrangement, till sewers are laid or in the periphery outside core area of town where providing sewerage system is uneconomical, strengthening of drainage networks can be taken up by ULBs and intercepted in the sewer network wherever feasible, so as to efficiently convey sewage/sullage to STP in the town.

iii.Sullage Diversion (I&D) Plan leading to Used Water Treatment Facility

All tertiary and secondary drains will be provided with bar screens to trap floating debris, as per the following norms:

- Drain upto 1 metre width cross section – at

every 1000 metre

- Drain above 1 metre width cross section- as per the local engineer's assessment.
- On primary drain, before outfall into a water body, there should be at least two bar screens within 2 km before discharge point into the water body.
- Proper periodic (daily) cleaning mechanism for drains to avoid overflowing in case of choking, especially by safai karmacharis.

iv. **Repair & Maintenance of drains:** ULBs will also need to repair all surface drains to maintain continuity so that the discharge is not dissipated through a breach or overflow.

The dry weather discharge flowing in the drains needs to be intercepted by ULB at suitable locations so that at least 50% of the current sewage generation in the town is collected and

conveyed to the Used Water Treatment Facility.

This criterion is a mandatory condition for sanctioning Used Water Treatment Facility for any ULB. Pumping arrangements are permitted, if absolutely necessary. However, gravity sewers are preferred.

7.8.5 Faecal sludge treatment approach

In the towns/ those parts of town not covered with sewer network, ULBs need to have in place adequate mechanism for **faecal sludge treatment**. The approach to treat the faecal sludge may follow the hierarchy/ order of priority given below:

- **Town with existing STP:** Wherever STP is available, faecal sludge is to be co-treated with sewage in STP by constructing septage unloading facility coupled with Solid liquid separator by way of retrofitting. Liquid so separated would be pumped at inlet of STP and



Figure a: STP-cum-FSTP to treat sewage and faecal sludge in the same facility

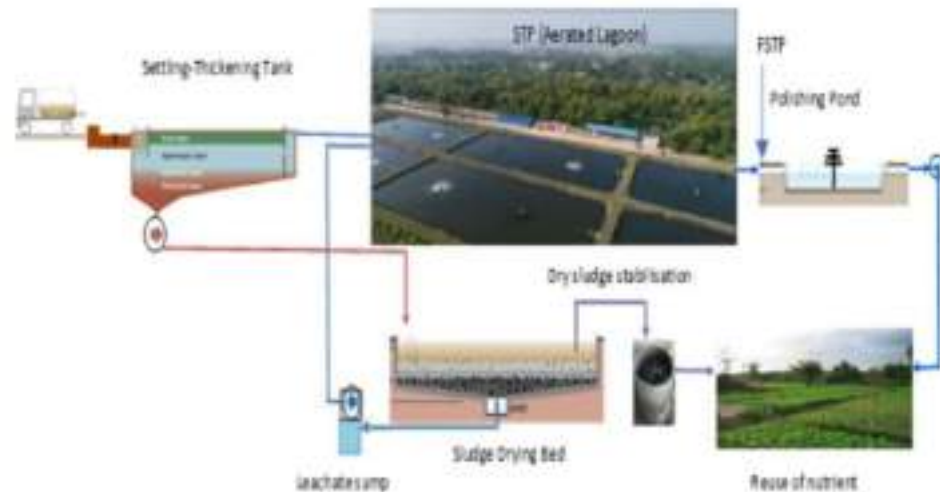


Figure b: Process Diagram of STP-cum-FSTP in the same facility

settled sludge can be put to sludge drying bed. If septage has low solid content ($< 3\%$), it can be even directly injected at inlet of STP after ensuring suitable ratio of dilution as detailed out in "On-site and Off-site sewage management systems" advisory brought out by MoHUA. It is explained in figures a and b above.

• **Town without STP:** In ULBs where no Used Water Treatment Facility is available, ULBs will need to ensure that Used water generated in its jurisdiction is properly collected, conveyed and treated to environmental discharge standards before its discharge into water body/ over land. While planning for new Used Water Treatment Facility, faecal sludge management may be factored in such a manner that it is co-treated in the facility itself as mentioned above. This will result in reduced Capex & Opex and would

also save precious land, thereby, promoting sustainability and improved service delivery. In newly notified smaller ULBs, where there is no STP and no FSTP, it is advised to plan and implement used water treatment facility with facility to co-treat faecal sludge. Further, till STP facility is created, faecal sludge can be transported to nearby STP having facility to co-treat faecal sludge to economise Capex & Opex.

• **Town with FSTP but without STP:** In towns having standalone FSTPs, although it provides facility to treat faecal sludge from septic tanks, desludged once in 3 years, it is not capable of treating Greywater from kitchens, bathrooms and washings etc, which is in huge quantity compared to septage and generated on daily basis. It also contains major share of pollution load generated from households/ commercial

establishments etc. In a majority of cases, septic tanks do not have soak pits and black water from septic tank finds its way to municipal drains subsequently, polluting water bodies. This comes out on continuous basis from septic tanks and there is no treatment available for it, under faecal septage treatment facility. In such ULBs, State will need to draw up a plan to collect grey water as well as black water from septic tanks and suitably collect and treat to meet environmental discharge standards before release into a water body or over land.

It also need to be ensured by States/ ULB that untreated used water (grey water and / or black water) is not discharged or allowed to percolate into ground water which has potential to pollute ground water and cause environmental degradation.

Where the existing FSTPs are available, the same can be utilized to treat septage from peri-urban area/ rural areas. However, since it is not designed to treat used water generated in the ULB area, separate used water collection and treatment infrastructure need to be created by each ULB to safely treat used water to the environmental discharge standards before its release in compliance with Hon'ble NGT O.A. no. 673 of 2018.

7.9 Recycle & Reuse

The treated used water may be used by ULB either for self-consumption, or sold, for the following purposes:

1. Non-potable purposes like flushing toilets,

gardening etc.

2. Agricultural purposes
3. Horticulture purposes
4. Industrial purposes
5. Municipal purposes like dust mitigation, road washing, construction activity, etc.

Efforts may be made to utilize as much used water as feasible, but not less than 20%. Circularity in used water has many advantages over conventional system of treating and discharging into water body or over land.

7.10 Fund release:

7.10.1 Funding Pattern

Central share for above mentioned components will be disbursed as per following cost sharing pattern:

- 90% for ULBs in NE/Himalayan States,
- 100% for UTs without legislature,
- 80% for UTs with legislature,
- 50% for ULBs with less than 1 lakh population

This will follow suitable ULB wise cost capping as mentioned in Annex- 10

7.10.2 Outcome-based fund release (as mentioned in section 4.5.4)

The Central government fund for used water management will be released in three (3) instalments with each instalment to be released based on achievement of specific milestones / outcomes as mentioned below:

- 7.10.2.1 The 1st instalment of 40% of allotted Central share from MoHUA will be released

to the State/ UT for a ULB provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:

- *Responsible Sanitation Authority (RSA) notified across the State/ UT at District level/ in big municipal corporations;*
- *Submission of City Sanitation Action plans (CSAP) part 2 (approved by SHPC) for sewage management along with gap analysis;*
- *Receipt of SLTC approved proposals for a city along with at least 5 years' O&M contract post commissioning, and its funding arrangements;*
- *Annual progress plan of State/UT of ODF++ and Water+ cities;*
- *Action plan for revamping all non-functional existing STPs/FSTPs in ULBs having less than 1 lakh population (if any- as recorded in the City MIS).*
- *ULB has provided for encumbrance free land for setting up STP/ STP-cum- FSTP.*

7.10.2.2 The **2nd instalment of 40%** of allotted Central share from MoHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- *Functional Sanitation Response Units (SRU) set up;*
- *UC submitted for 75% of first instalment of Central and State shares;*
- *Portion of O&M being recovered through user charges;*

- *City is certified ODF+ at least once;*
- *State will certify along with geo-tagged photos and other documentary evidence that:*
 - *Work has commenced for the drainage system development/ installation/ revamping duly completed (with geo-tagged photos and other documentary evidence);*
 - *The Interception & Diversion drain & related conveyance system has reached 20% physical progress;*
 - *The STP/FSTP (in case of co-treatment) sub-project has achieved at least 10% physical progress on ground.*
 - *Existing STP/FSTPs are made functional to treat used water, at least to the level as per their original design.*
 - *Work awarded for non-functional STPs/ FSTPs requiring major repairs/ rehabilitation.*

7.10.2.3 The **3rd instalment of 20%** of allotted Central share from MoHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- *UC submitted for 75% of second instalment of Central and State shares;*
- *The Interception & Diversion drain & related conveyance work has been completed to the extent of at least 80% of physical process;*
- *The STP sub-project work has been completed to the extent of at least 60%;*
- *Non-functional STPs/FSTPs made functional.*

It may be noted that proposals should be in compliance with checklist provided in **Annex 6**.

7.11 Expected Outcomes

The following outcomes are envisaged under SBM-U 2.0 for used water management:

- All statutory towns with < 1 lakh population will become ODF++ certified.
- 50% of all statutory towns with < 1 lakh population will become Water+ certified.

States/UTs would be required to develop road map to achieve and sustain above outcomes and progress would be monitored periodically.

IEC & BEHAVIOR CHANGE

Sets out the overall approach to be adopted to ensure awareness creation along with large scale citizen outreach to intensify 'Jan Andolan' and institutionalize swachh behavior and action , for achievement of "Garbage Free" cities, and sustaining the gains of urban sanitation

8.1 The IEC & Behaviour Change initiatives under SBM 2.0 will be based on the learning that the achievements of SBM-U in the last 7 years largely rest on people's participation, made possible through systematic communication at multiple levels. The Jan Andolan created under SBM-Urban was triggered by the Hon'ble Prime Minister and managed to engage with nearly 20 crore urban citizens. With the momentum created by the SBM, citizens have realised that sanitation impacts their lives in so many ways that it needs to be everybody's agenda. The scale of impact that behavioral choices around sanitation have on people's lives and society at large makes the issue of sanitation both personal and social. Under SBM-U 2.0, this aspect will assume far greater criticality, and will need to become the soul of the Mission. Accordingly, IEC and BCC under SBM-U 2.0 will require a more intensified and focused approach to ensure participation and active engagement from each and every citizen and every stakeholder. In fact, people's participation will be foundational to achieving the Mission's vision of Garbage Free cities. The IEC and BCC strategy would thus have to be innovatively reformatted to cater to the Mission's vision of Garbage Free cities in accordance with the

objectives under SBM-U 2.0.

8.2 IEC and BCC strategy:

8.2.1 MoHUA will disseminate a National Level Communication Strategy to be implemented at Central, State and ULB levels. This will be done in close consultation with States, other stakeholders, domain experts and after taking into account relevant studies of the past and present. Additionally, States and ULBs would also be advised to design their own communication strategy.

8.2.2 MoHUA will hold periodic consultations among States for mutual learning and exchange of best IEC practices.

8.2.3 Detailed studies will need to be taken up by States/ UTs to identify triggers for behavior change among communities, which would form the basis of their IEC and BCC strategy and initiatives to be undertaken.

8.2.4 ULBs would need to engage citizen volunteer (depending on the size of the ward), who will be the designated interpersonal communicator(s) to engage with each household in the ward on regular basis. The role of these

volunteers would be critical in bringing about and sustaining behaviour change at the ground level with respect to key sanitation and waste management practices. The volunteers could be engaged through community structures already working in the ward such as NULM, NUHM, ASHA, Anganwadis, Self-Help Groups (SHGs), Non-Governmental Organizations (NGOs), youth/ women's groups, Community-Based Organisations (CBOs), RWAs, and other similar bodies, or from among general citizens (e.g. teachers, senior citizens, retired personnel, etc) who have influence in the community/ ward.

8.2.5 The role of the citizen volunteer would be to sensitise households on how their role would be critical to make their cities Garbage Free, trigger among them a sense of intolerance to garbage, alert them to the benefits of a clean surrounding and specify the behaviors they can adopt to contribute to that vision.

8.2.6 For achieving Garbage Free outcomes, households and citizens would need to be sensitized about:

- i. segregating their household waste into two bins;
- ii. taking ownership to maintain cleanliness of their immediate neighbourhoods;
- iii. educating others about the importance of cleanliness;
- iv. harmful effects of single use plastic and triggered to reduce their usage;

8.2.7 For sanitation and used water management, households and citizens would need to be sensitized about:

- i. the harmful effects of grey and black water from kitchens and toilets not being safely contained, transported and managed
- ii. maintaining community toilets in a functional manner,
- iii. providing feedback after using public toilets
- iv. calling for periodic desludging of their septic tanks

8.2.8 ULBs should facilitate formal creation and registration of all citizen residential areas into RWAs/ CBOs/ Slum Development Associations or equivalent, to strengthen ULB's last mile connect with every household.

8.2.9 ULBs should set up City Sanitation Committees with participation of selected citizen representatives for periodically reviewing and monitoring the efficient functioning of assets created.

8.3 States and ULBs may make use of existing IEC material designed at the national level, in addition to developing their own creative content, depending on the local and cultural context.

8.4 States will make sure that at least three comprehensive multi-media campaigns are created and placed in public domain: 1. in favour of garbage free city 2. Usage and maintenance of toilets, especially public and community toilets 3. Safe disposal of used water.

8.5 States will locate opportunities to converge SBMU campaigns with other highly visible major campaigns for gaining collateral impact

8.6 States and ULBs will coordinate with locally resourceful organizations/ enterprises so that they partake in SBM-U 2.0 messaging in a significant manner and add to the overall communication.

8.7 Fund sharing (as mentioned in section 4.5.4)

8.7.1 The Centre: State fund sharing for this component will be as given below:

- 90:10 for ULBs in NE/Himalayan States;
- 100% for UTs without legislature;
- 80:20 for UTs with legislature;
- 60:40 for other States/ UTs

8.7.2 A total of 5% of the total allocation for project components of the overall budget will be earmarked for this component. Of this earmarked amount, 80% of the Central share will be released to States/ UTs/ ULBs to design and undertake IEC/ BCC interventions. Out of this released amount, half the amount must be allocated to ULBs by respective State/ UT. The remaining 20% per cent will be earmarked for the National Mission Directorate to draw up a national campaign and develop standard campaign tools for effective awareness and communication.

8.7.3 The 1st instalment of 40% of allotted Central share from MoHUA will be released

to the State/ UT for a ULB provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:

- *SLTC approved IEC action plan for State submitted (as per Annex 7).*

8.7.4 The 2nd instalment of 60% of allotted Central share from MoHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- *UC submitted for 75% expenditure of Central and State share;*
- *50% Progress against action plan;*
- *City certified ODF+;*
- *City certified at least 1-star with 60% source segregation.*

8.7.5 Expenditure on national Newspaper and TV is not an admissible item under this component for the State Government or for the ULBs.

8.7.6 Under no circumstance shall the IEC fund be utilized for purchase of vehicles, construction and maintenance of buildings, creation of posts and payment of salary of municipal staff, and purchase of furniture and fixtures.

8.7.7 While approving IEC proposals, SHPC should ensure that at least 80% of the funds requested are for ground -level behavior change initiatives through inter-personal communication, rather than for merely messaging and awareness activities.

8.7.8 In light of the experience of the past, it is advised that ULBs will need to report expenditure on IEC to the State Mission every month and States in turn will provide information on monthly expenditure in IEC to SBMU Mission at MoHUA through the designated portal. For further release of funds to States, at least 75 % of utilization of funds earmarked for IEC would be considered essential.

8.8 Outcomes

It is expected that outcomes of the IEC and BCC initiatives would lead to:

- a) all households segregating their household waste into two bins and ensuring its due disposal
- b) all citizens sensitized about non-acceptability of garbage in any form in their vicinity and acting for its due disposal
- c) all citizens sensitized about harmful effects of usage of single use plastic and triggered to reduce their usage
- d) all citizens sensitized about necessity for getting septic tanks periodically desludged and acting accordingly

CAPACITY BUILDING, SKILL DEVELOPMENT & KNOWLEDGE MANAGEMENT

Sets out the overall approach to be adopted by ULBs for building the capacities and skills of all stakeholders, preeminently of the ULBs, in order to ensure effective ground level implementation, for achieving the vision of “Garbage Free” cities and towns, and for meeting all other objectives of SBM-U 2.0.

9.1 Urban Local Bodies (ULBs) are mandated by the Constitution of India, under Twelfth Schedule, to carry out functions related to water supply and sanitation. The first phase of the Swachh Bharat Mission was successful in meeting its aims and objectives to make India an ODF country, but also brought to light qualitative and quantitative shortfalls in the capacities of the key personnel engaged in the implementation of the Mission. With the launch of SBM-U 2.0, it has become imperative to develop a cadre of professionals at the ULB level and also at the State level to work towards the specific objectives of the Mission, and sustain the gains made in last seven years. Identifying the need to make the Mission truly people-centric and stakeholder-owned, SBM-U 2.0 will focus on comprehensive capacity building across the pyramid of stakeholders engaged in program implementation, and most importantly at the ULB level. This would include components for which funding is available within the mission, and other related areas where funding is available through convergence with other schemes, including leveraging of AMRUT 2.0 and other relevant

Mission/ Programme funds such as SBM-Grameen, Namami Gange, Ministry of Social Justice and Empowerment, etc.

9.2 In line with these goals, there is a requirement for a focused approach to capacity building and stakeholder development. Thus, MoHUA will conceptualize a National Capacity Building and Skill Development Strategy to be implemented at the Central, State/UT and ULB levels. States/UTs and ULBs will be required to identify relevant administrative and technical officials (both senior level officials and field-level functionaries, including sanitation workers and *safainitras*) for training and draw up a quarterly training calendar for them. It will be the responsibility of the State Mission Director to ensure that the identified officials undergo adequate capacity building to ensure the success of SBM-U 2.0 at the State and ULB level. Another key component of the National Strategy Document would be a robust mechanism of assessments and certifications for the capacity building and skill development training imparted, which would also include independent evaluations.

9.3 Capacity Building and Skill Development

The capacity building and skill development initiatives under SBM-U 2.0 will focus on the selected key stakeholders in the sanitation and waste management value chain, who will be trained in the following key priority areas, with support from the professional organizations that will be partnered at the Central and State/UT level as per the procedures laid down in the National Capacity Building and Skill Development Strategy document under SBM-U 2.0.

9.3.1 State Government and Parastatal Officials

- Focus on institutionalizing holistic leadership development and change management by facilitating customized capacity building and training through workshops, online training and short-term technical courses.

9.3.2 Administrative Officials of ULBs:

- Focus on developing implementation capacity and change management functionalities by creating targeted capacity building training, e-learning courses and online workshops.
- Developing a comprehensive approach to human resource development with a sensitization towards the social, economic and technological environment for effective implementation and service delivery under the

Mission.

9.3.3 PHE and Technical Officials of the ULBs

- Technical officials and staffs will be provided hands on technical training, access to e-learning courses, workshops, field visits and knowledge exchange exposure visits to enhance their capacity to effectively implement objectives of SBM-U 2.0. Courses will be focused on the latest technologies, which are sustainable, environmentally friendly, and context appropriate.

- In addition to trainings developed towards enhancing the technical knowledge and skill sets, the PHE and technical officials will also be imparted trainings to sensitize them with the citizen centric and social aspects of the Mission, with the intent of inculcating a holistic human centered approach to all interventions under the Mission.

9.3.4 SafaiMitras and Sanitation Workers:

- Focus on the skill development of Safaimitras and sanitation workers, and the promotion of entrepreneurship across the value chain in the sanitation sector, in partnership with Ministry of Skill Development & Entrepreneurship, NSDC and respective Sector Skill Councils.
- Conducting a skill gap study to develop an understanding of the human resource requirement in the sector, demand and supply scenario of skilled people, skilling gaps in the

existing workforce and recognition of skills of the informal workers.

- Training and orientation of Master Trainers for conducting the trainings on relevant subject areas in sanitation.
- Institutionalizing a robust framework for undertaking Recognition of Prior Learning (RPL) based assessments and providing certifications, in consonance with the NSQF, to the Safaimitras and sanitation workers to recognize the existing skill sets and to ensure that a high quality of training is imparted for further progression.
- A special emphasis will be laid on imparting training to the sanitation workers to build their technical knowledge and skill sets for operating advanced equipment and safety gears.

9.3.5. NGOs, Educational and Skilling Institutes and other organizations

- Focus on engaging diverse sets of organizations such as NCC, NSS, NYK, Skill Institutes along with schools and colleges to impart targeted Capacity Building training. The training will be centered upon enabling these organizations to become ambassadors of the Mission and to contribute towards the implementation of initiatives under the focus areas of SBM (U)- 2.0, with a special emphasis on those components, which are to be executed in a campaign mode, such as Garbage Free Cities, maintenance of community/public toilets, safe disposal of wastewater and reduction of plastics, amongst others.

9.4 Center(s) of Excellence (CoE) focusing on capacity building, research, and innovation in key thematic areas of sanitation and waste management, will be established at the national level in partnership with eminent knowledge institutions. The mandate of the CoE will be to provide leadership & technical training, policy guidance, develop best practices, and other relevant activities on sanitation and waste management issues, in line with the aims and objectives of the Mission.

9.5 Chair Professor position(s) will be established at select academic institution(s) of national repute in the field of sanitation and waste management, with funding support from the Centre.

9.6 For building the capacities of technical officials at Central, State/UT and ULB level, (in-service engineers, other technical officials) regular master level training programs and short-term courses under PHE training will be implemented at the national level by MoHUA.

9.7 Government, Non-Government, educational and professional Institutions of repute and with prominent experience in the field of Capacity Building, particularly in sanitation and waste management will be empaneled as 'Swachhta Knowledge Partners' (SKPs), to support the design and delivery of training modules and workshops on capacity building and skill development, to ensure effective implementation of the Mission. The Swachhta Knowledge Partners will be selected and onboarded as per the procedures laid down

in the National Capacity Building and Skill Development strategy document.

9.8 MoHUA will establish strategic collaborations under the Mission with key development sector organizations, having prominent sectoral expertise, knowledge and implementation experience across thematic areas. The development sector partner organizations will play a pivotal role in providing technical assistance at the Central level and handholding support to States/UTs and ULBs in implementing capacity building and skill development interventions under the Mission.

9.9 To promote affordable and scalable modern technologies suitable to different geographical conditions, a national level technical committee will be set up at MoHUA under the Mission exclusively for promoting research & development, innovations and entrepreneurship in the field of sanitation and waste management.

9.10 A part of Central funds will be used to pilot innovative projects/ start-ups in sanitation and SWM sectors, in partnership with States/ UTs, reputed institutes of national importance, etc.

9.11 States/UTs will also be encouraged to set up incubators to provide support to entrepreneurship, innovation and private sector participation.

9.12 Swachhata Technology Challenges,

hackathons, etc. will be conceptualized and implemented in collaboration with the key private sector organizations, towards encouraging startups and social business ventures to develop innovative digital solutions and business models in the sanitation and waste management sector. The Challenges will encompass diverse thematic areas and endeavor to achieve the dual objective of identifying and leveraging key enabling technologies while also encouraging and recognizing local entrepreneurs and technology solutions at the national level.

9.13 Knowledge Management

9.13.1 A comprehensive Knowledge Management Framework will be institutionalized to augment the capacity building initiatives under the Mission. As a part of this, the relevant knowledge materials such as training modules literature, videos, plans and reports developed by the ULBs during the implementation of various initiatives across focus areas of the Mission, will be consolidated and uploaded onto the SBM-U e-Learning portal for ease of use and access by all stakeholders. Further, the training and the technical material developed for trainings will be made available via the SBM-U e-Learning platform.

9.13.2 States/ UTs will be encouraged to set up technical cells within premier academic/ technical institutions to facilitate Research & Development.

9.13.3 As part of the training needs analysis, it is suggested that ULBs ascertain the gaps and deficiencies in the available training material and aim to fill those gaps by suitably revising the existing material or developing new modules if required, before conducting the trainings for relevant stakeholders.

- Materials used for training in workshops, capacity building courses and other technical courses shall be uploaded on SBM-U e-learning portal for ease of use and access.
- The States / UTs and ULBs shall be free to add their own resource materials to the SBM-U e-learning platform. It is suggested that ULBs revise and update the training material at regular intervals.

9.14 Human Resource Support under SBM (U) 2.0:

following human resources. The State/UT shall have the flexibility of expanding the PMU with additional specialists based on their specific requirements.

9.14.1 In addition to enhancing the capacities of the key officials and sanitation workers, there is a pertinent need for dedicated human resources with specialist knowledge and skills in order to strengthen the implementation of the various components of the Mission. Towards this, dedicated human resource units have been envisaged at the State/UT level, the details on which have been elaborated below.

9.14.2 At the State/UT level, a dedicated Program Management Unit (PMU) will be set up under the Mission to ensure effective implementation of the SBM-U 2.0. Parastatal bodies supporting ULBs in implementation of Mission components may be supported with human resources as per the requirements.

9.14.3 The Program Management Unit at the State/UT level should ideally consist of the

State Level PMU (With more than 100 ULBs)	State Level PMU (With less than 100 ULBs)
<ol style="list-style-type: none"> 1. SWM expert - 1 2. Waste-Water expert - 1 3. Procurement Specialist - 1 4. Capacity Building Specialist - 1 5. IEC Specialist - 1 6. M & E Specialist - 1 7. IT Specialist - 1 8. Documentation Specialist - 1 9. Additional specialist - 1 (As per requirement) 	<ol style="list-style-type: none"> 1. SWM expert- 1 2. Waste-Water expert - 1 3. Procurement Specialist - 1 4. Capacity Building Specialist - 1 5. IEC Specialist - 1 6. IT and M & E Specialist - 1 7. Additional specialist - 1 (As per requirement)

9.14.4 A specialized program will be conceptualized and implemented for engaging students from academic and technical institutions as young professionals and interns for supporting interventions under SBM U 2.0 at the National as well as the State/UT level. The selected young professionals and interns will be deputed to select projects across focus areas under the Mission, for a stipulated time, and will play a pivotal role in augmenting the internal human resources of the departments while also strategically integrating the youth with SBM-U 2.0.

9.14.5 The ULBs will be provided with the flexibility to hire Young Professionals and interns to augment their internal human resources for key project implementation activities under the Mission. Additionally, State may provide human resource support from their own share of funding for implementation of key mission components under SBM (U) 2.0.

9.15 Funding Mechanism

9.15.1 The Centre: State fund share for this component will be as given below:

- 90%:10% for ULBs in NE/ Himalayan States,
- 100% for UTs without legislature
- 80%: 20% for UTs with legislature,
- 60%: 40% for other States/ UTs.

9.15.2 A total of 3% of the total allocation for project components will be earmarked for the component of Capacity Building, Skill

Development and Knowledge Management. Out of the Central share for this component, 67% will be earmarked for States/ ULBs to conduct capacity building and skill development initiatives. The remaining 33% will be earmarked for MoHUA. It may be noted that Administrative and Office expenditure in a year should be kept as a proportion of actual expenditure / output rather than as a percentage of indicative outlay.

9.15.3 The disbursement of the Central Assistance will be as follows- **1st instalment of 40%** of allotted Central share from MOHUA will be released to the State/ UT for a ULB provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:

- *SHPC approved CB action plan for State submitted (as per Annex 8).*

9.15.4 The **2nd instalment of 60%** of allotted Central share from MOHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- *40% of identified State Officials/ Parastatal Officials/ ULB Officials trained (in some format of training);*
- *40% of Sanitation workers identified for skill development completed training;*
- *All informal sector workers (including those in sewer and septic tank cleaning) identified and integrated by ULB;*
- *City certified ODF+;*
- *City certified at least 1-star with 60% source segregation;*

9.15.5 Under no circumstance shall this fund be utilized for purchase of vehicles, construction and maintenance of buildings, creation of permanent/regular posts and payment of salary, and purchase of furniture and fixtures, etc.

9.15.6 States/ UTs/ ULBs may take assistance of PSUs and Corporates through CSR for implementing capacity building programs

9.15.7 States/ UTs and ULBs, if they so wish, may use the CB funds to upgrade/ strengthen their existing institutes / entities to provide capacity building support to the State/ ULB.

9.15.8 States shall propose extensive capacity building activities, including training of administrative and technical staffs, conducting skill gap analysis, skill development training programs for sanitation workers to be implemented in a Mission- mode manner, which will enable the progressive achievement of objectives of SBM-U 2.0 in a time-bound manner. These will be specified in the comprehensive annual action plan prepared by each State/ UT and approved by SHPC. At least 50% of this fund, in each annual plan, as approved by SHPC must go to the ULBs for activities at the ULB level.

9.15.9 The SLTC will approve State training plan comprising the following:

- Training Need Analysis (TNA) for Capacity Building and Skill Gap Analysis for Skill Development;
- Training Modules and Tools;
- Institutions to impart training, and cost of training;
- Mandatory Inclusion of areas identified by CPHEEO;
- Training Calendar;
- Evaluation of training.

9.16 Expected Outcome

It is expected that outcomes of the Capacity Building, Skill Development and KM initiatives would lead to improvement in capacities, knowledge, skills, leadership development and change management competencies of ULB officials and Sanitation workforce connected with implementation of Mission, through Workshops, Seminars, Trainings, etc.

IT ENABLED GOVERNANCE

Enumerates the various digital enablements developed for maximising citizen outreach, along with facilitating a transparent and an objective monitoring and evaluation of Mission progress, to ensure a smooth and seamless user experience by all stakeholders, and making the Mission paperless, towards ensuring standardization of outcomes across all ULBs.

10.1 Digital interventions will support different stages of SBM-U implementation in a paperless manner, across all components, starting from conceptualization, implementation, and real-time online monitoring of functional assets to be created under different components of the Mission, such as STP, MRF etc, and other key indicators of progress for the Mission. The ICT and GIS enabled tools and systems will also be leveraged in the evaluation of the interventions.

10.2 MoHUA has developed various workflow based, web enabled IT-enabled applications and mobile applications in order to ensure a transparent and robust citizen-centric engagement, Mission governance, Mission implementation, along with facilitating collaborations amongst key stakeholders & capacity building.

10.3 The various IT-enabled applications that will be mandatorily deployed for all implementation components of the Mission, including the monitoring of the progress of the Mission, are briefly described:

10.3.1 SBM-U Integrated platform: MoHUA has developed a comprehensive platform that provides an integrated experience for States/UTs and ULBs and enabled fact-based decision-making at various levels of governance. The portal allows ULBs to create city profiles (ward, area, workforce, vehicles, BWGs, Non BWGs, vendor details, etc.), upload details of city infrastructure and assets (e.g. processing plants, landfills, dumpsites, water bodies, storm water drains, STP/FSTP etc.) and report their sanitation and waste management progress on a monthly/periodic basis through a single sign-on approach. The platform standardizes information across States/ULBs and ensures a single source of truth and data consistency across levels.

10.3.2 Swachhata App: This is a Mobile based application that enables citizens to register sanitation related complaints and enables the ULBs to address the citizen's grievances efficiently and effectively. The app plays a pivotal role in scaling demand and ensuring transparency and accountability in sanitation

service delivery. In its updated version, the App will, in addition to taking feedback, also engage with citizens for validating the information regarding the city's progress on improving sanitation outcomes, in a time-bound manner. The App is available on both Google Play & IOS platforms.

10.3.3 SBM Toilets on Google Maps and CT/ PT feedback system - To improve access to, and thereby their usage, of community and public toilets, MoHUA has partnered with Google to map all CT/ PTs on Google maps, as SBM Toilet. In its updated version, citizens can also provide feedback and rate these public toilets which, in turn, will lead to better cleanliness and maintenance of these facilities.

10.3.4 Geo spatial enabled Project Proposal Creation and Tracking System: This application has been designed to enable States/ ULBs to upload their SHPC-approved project proposals (along with the documentation as per the checklist circulated by the National Mission Directorate) for the release of Central share by MoHUA, dissemination of funds by States/ UTs (i.e. Central share + State share) to respective ULBs, and subsequently, digitally tracking the project's progress and functionality. MoHUA, States/ UTs and ULBs would be able to receive and transmit documents in electronic mode with a facility of system-generated alert messages (SMS & e-mail), for greater transparency. The GIS-based monitoring & controlling of the project would support Mission governance, through periodic online uploading of photographs of progress on

project site, along with its geo coordinates.

10.3.5 Annual GFC Rating, Swachh Survekshan & ODF Assessments through an integrated module: An integrated system is being designed to capture online data for assessment, digital tools to conduct self-assessment, uploading of documents required for desktop assessment. The Assessor App for use by third party agency is also an integral part of the platform. This integration will help in minimizing the assessment duration and also optimize the documents requirement, especially where similar documents are required across multiple protocols and assessments.

10.3.6 GIS Mapping of SBM-U assets and infrastructure: MoHUA has developed web and mobile applications that will enable all ULBs to draw their city boundaries, ward boundaries, assets (CT/ PT, processing plants, STP, FSTP, etc.) boundaries, map existing geo spatial data and collect geo-location of all facility points in existence. This GIS application provides a wide range of capabilities such as data visualization, analysis, understanding and insight into city or ULBs' activities, both current and planned.

10.3.7 Dashboard and Analytics platform: This is a stakeholder requirement-based analytical dashboard for monitoring the progress of SBM-U 2.0, with inbuilt data standardization and validation mechanism that ensures informed decision making. The dashboards at ULB, State and National level will provide a unified experience with accumulated data points. It is planned to be supported by

AI-driven components such as Chatbot and predictive analytics.

10.3.8 E-Learning Platform: The current pandemic has demonstrated the importance of digital medium to ensure that the process of learning continues uninterrupted. The E-learning platform takes care of the training needs of the frontline workers, ULBs, mission officials, agencies and citizens, at a time and place of their convenience. Moreover, the e-learning platform has a modular, incremental approach with training/ learning modules customized to different audiences and levels.

10.3.9 14420 Helpline – In a bid to reduce incidences of unsafe manual entry into sewers and septic tanks, and promote their cleaning through mechanized means, MoHUA, through Department of Telecommunications (DoT), has been given a short code “14420” as the National Helpline number across all telecom service providers, for registering citizens’ complaints on this issue.

10.4 Other digital initiatives: A list of additional IT-enabled modules under development or planned for the future as per of digital roadmap of the Mission is summarised below:

10.4.1 Swachh Nagar and IoT based asset monitoring: to provide ease of monitoring waste management lifecycle at ULB, State and Central levels. It is envisioned that the solution would generate large amounts of data to

accelerate the progress in solid and liquid waste management in the mission.

10.4.2 Document Management System - System is used to receive, track, manage and store documents exchanged at various levels and encourage paperless communication.

10.4.3 IEC activities tracking system - Facilitating ULBs to track and trace the planned IEC activities for citizen outreach.

10.5 Evaluation Mechanisms

The aforementioned digital solutions will also play a pivotal role in enabling the holistic evaluation of the outcomes and outputs under SBM (U) 2.0.

10.5.1 The National Mission Director would conduct periodic reviews in the form of monthly reviews (through VC) with each State and select ULBs (as required). Further, periodic visits would also be conducted by officials of MoHUA / NMD, etc. to monitor on-ground progress, understand challenges and identify good practices adopted by States/ULBs.

10.5.2 The National Mission Directorate will engage appropriate third-party independent agencies for conducting certifications/ assessments of cities as per the ODF+/ODF++/ Water+ protocols and the Garbage Free Star Rating system. Background data for the same shall be taken from the Mission MIS, and any additional requirements would be communicated to States/cities from time to time.

10.5.3 The National Mission Directorate will undertake an annual ranking exercise - Swachh Survekshan. The survey has a comprehensive list of *Swachhata* parameters with a robust methodology to competitively rank the cities on initiatives undertaken and progress made, towards enhancing the cleanliness and improving the sanitation service delivery chain, both in terms of quality of safely managed services and access to such services. The methodology of the survey will be revised on an annual basis and would be released to States/ UTs/ ULBs prior to on-field assessments.

10.5.4 States / UTs would need to submit an output-outcome plan (as per format given in Annexure 5), and thereafter submit quarterly progress on the same format.

10.5.5 Other tools such as impact studies, third party evaluations may also be instituted by National Mission Directorate.

10.5.6 After 18 months, a comprehensive evaluation of the Mission's progress will be undertaken to effect mid-term correction and align the Mission to achieve its objectives.

10.6 States/ UTs need to ensure that the information provided by ULBs is correct by periodic review of the information provided by their ULBs and signing off on the data submitted, to signal their approval/ confirmation of the ULB data. It may be noted that MoHUA will only be accepting those ULBs' data for further action that has been confirmed/validated by the respective State/UT.

10.7 States/ ULBs are also encouraged to periodically conceptualize and launch suitable ICT platform to create awareness among citizens to provide feedback on mission outcomes through communication channels like social media, IVR, mobile app, email, WhatsApp, website, etc. The innovative solutions, if found feasible and successful, can be suitably replicated, and scaled up.

10.8 The various IT enabled applications will be eligible activities for funding under the capacity building head of the Mission.

10.9 Digital components pertaining to monitoring of efficiency/ operational outcomes of SBM-U project components (Sanitation, Wastewater Management & SWM) will be funded under the respective component heads.

ANNEXURES

ANNEX 1: LIST OF ULBs ELIGIBLE FOR C&D WASTE PROCESSING AND MECHANISED SWEEPING FUNDING

(As referred in Chapters 2 and 7)

S.No	State Name	ULB Name	Status of City	Population
1	Andhra Pradesh	GVMC Visakhapatnam	NAC	>20 Lakhs
2	Andhra Pradesh	Vijayawada	NAC	10-20 Lakhs
3	Andhra Pradesh	Guntur	NAC	5-10 lakhs
4	Andhra Pradesh	Nellore	NAC	5-10 lakhs
5	Andhra Pradesh	Kurnool	NAC	5-10 lakhs
6	Andhra Pradesh	Rajahmundry	NAC	3-5 Lakhs
7	Andhra Pradesh	Anantapur	NAC	3-5 Lakhs
8	Andhra Pradesh	Ongole	NAC	3-5 Lakhs
9	Andhra Pradesh	Vizianagaram	NAC	3-5 Lakhs
10	Andhra Pradesh	Eluru	NAC	1-3 Lakhs
11	Andhra Pradesh	Kadapa	NAC	1-3 Lakhs
12	Andhra Pradesh	Chittoor	NAC	1-3 Lakhs
13	Andhra Pradesh	Srikakulam	NAC	1-3 Lakhs
14	Assam	Guwahati	NAC	10-20 Lakhs
15	Assam	Silchar	NAC	1-3 Lakhs
16	Assam	Nagaon	NAC	1-3 Lakhs
17	Assam	Sibsagar	NAC	<1 Lakh
18	Assam	Nalbari	NAC	<1 Lakh
19	Bihar	Patna	NAC	>20 Lakhs
20	Bihar	Gaya	NAC	5-10 lakhs
21	Bihar	Muzaffarpur	NAC	3-5 Lakhs
22	Chandigarh	Chandigarh	NAC	10-20 Lakhs
23	Chhattisgarh	Raipur	NAC	10-20 Lakhs
24	Chhattisgarh	Bhilai Nagar	NAC	5-10 lakhs
25	Chhattisgarh	Korba	NAC	3-5 Lakhs
26	Delhi	South Delhi (Sdmc)	NAC	>20 Lakhs
27	Delhi	North Delhi (N-Dmc)	NAC	>20 Lakhs
28	Delhi	East Delhi (Edmc)	NAC	>20 Lakhs
29	Gujarat	Ahmedabad	NAC	>20 Lakhs
30	Gujarat	Surat	NAC	>20 Lakhs
31	Gujarat	Vadodara	NAC	>20 Lakhs

S.No	State Name	ULB Name	Status of City	Population
32	Gujarat	Rajkot	NAC	10-20 Lakhs
33	Gujarat	Bhavnagar	Non-NAC	5-10 lakhs
34	Haryana	Faridabad	NAC	10-20 Lakhs
35	Haryana	Gurgaon	NAC	10-20 Lakhs
36	Himachal Pradesh	Baddi	NAC	<1 Lakh
37	Himachal Pradesh	PaontaSahib	NAC	<1 Lakh
38	Himachal Pradesh	Sunder Nagar	NAC	<1 Lakh
39	Himachal Pradesh	Nalagarh	NAC	<1 Lakh
40	Himachal Pradesh	Parwanoo	NAC	<1 Lakh
41	Himachal Pradesh	Damtal	NAC	<1 Lakh
42	Himachal Pradesh	Kala Amb	NAC	<1 Lakh
43	Jammu And Kashmir	Srinagar	NAC	10-20 Lakhs
44	Jammu And Kashmir	Jammu	NAC	5-10 lakhs
45	Jharkhand	Dhanbad	NAC	10-20 Lakhs
46	Jharkhand	Ranchi	NAC	10-20 Lakhs
47	Jharkhand	JamsheDpur	NAC	5-10 lakhs
48	Karnataka	Bruhat Bengaluru Mahanagara Palike	NAC	>20 Lakhs
49	Karnataka	Hubli-Dharwad	NAC	10-20 Lakhs
50	Karnataka	Mysore	Non-NAC	10-20 Lakhs
51	Karnataka	Gulbarga	NAC	5-10 lakhs
52	Karnataka	Devanagere	NAC	5-10 lakhs
53	Kerala	Thiruvananthapuram	Non-NAC	10-20 Lakhs
54	Kerala	Kozhikode	Non-NAC	5-10 lakhs
55	Kerala	Kochi	Non-NAC	5-10 lakhs
56	Madhya Pradesh	Indore	NAC	>20 Lakhs
57	Madhya Pradesh	Bhopal	NAC	>20 Lakhs
58	Madhya Pradesh	Jabalpur	NAC	10-20 Lakhs
59	Madhya Pradesh	Gwalior	NAC	10-20 Lakhs
60	Madhya Pradesh	Ujjain	NAC	5-10 lakhs
61	Madhya Pradesh	Dewas	NAC	3-5 Lakhs
62	Madhya Pradesh	Sagar	NAC	3-5 Lakhs
63	Maharashtra	Greater Mumbai	NAC	>20 Lakhs
64	Maharashtra	Pune	NAC	>20 Lakhs
65	Maharashtra	Nagpur	NAC	>20 Lakhs
66	Maharashtra	Thane	NAC	>20 Lakhs

S.No	State Name	ULB Name	Status of City	Population
67	Maharashtra	Pimpri Chinchwad	Non-NAC	>20 Lakhs
68	Maharashtra	Nashik	NAC	10-20 Lakhs
69	Maharashtra	Kalyan Dombivali	Non-NAC	10-20 Lakhs
70	Maharashtra	Vasai Virar	NAC	10-20 Lakhs
71	Maharashtra	Aurangabad	NAC	10-20 Lakhs
72	Maharashtra	Navi Mumbai	NAC	10-20 Lakhs
73	Maharashtra	Solapur	NAC	10-20 Lakhs
74	Maharashtra	Mira-Bhayandar	Non-NAC	10-20 Lakhs
75	Maharashtra	Bhiwandi Nizampur	Non-NAC	5-10 lakhs
76	Maharashtra	Amravati	NAC	5-10 lakhs
77	Maharashtra	Nanded Waghala	Non-NAC	5-10 lakhs
78	Maharashtra	Kolhapur	NAC	5-10 lakhs
79	Maharashtra	Ulhasnagar	NAC	5-10 lakhs
80	Maharashtra	Sangli	NAC	5-10 lakhs
81	Maharashtra	Jalgaon	NAC	5-10 lakhs
82	Maharashtra	Akola	NAC	5-10 lakhs
83	Maharashtra	Latur	NAC	3-5 Lakhs
84	Maharashtra	Chandrapur	NAC	3-5 Lakhs
85	Maharashtra	Jalna	NAC	3-5 Lakhs
86	Maharashtra	Badlapur	NAC	1-3 Lakhs
87	Meghalaya	Byrnihat	NAC	<1 Lakh
88	Nagaland	Dimapur	NAC	1-3 Lakhs
89	Nagaland	Kohima	NAC	1-3 Lakhs
90	Odisha	Bhubaneswar	NAC	10-20 Lakhs
91	Odisha	Cuttack	NAC	5-10 lakhs
92	Odisha	Rourkela	NAC	3-5 Lakhs
93	Odisha	Balasore	NAC	1-3 Lakhs
94	Odisha	Kalinga Nagar/Byasanagar	NAC	<1 Lakh
95	Odisha	Angul	NAC	<1 Lakh
96	Odisha	Talcher	NAC	<1 Lakh
97	Punjab	Ludhiana	NAC	>20 Lakhs
98	Punjab	Amritsar	NAC	10-20 Lakhs
99	Punjab	Jalandhar	NAC	10-20 Lakhs
100	Punjab	Patiala	NAC	5-10 lakhs
101	Punjab	Pathankot/DeraBaba	NAC	1-3 Lakhs

S.No	State Name	ULB Name	Status of City	Population
102	Punjab	Khanna	NAC	1-3 Lakhs
103	Punjab	Gobindgarh	NAC	1-3 Lakhs
104	Punjab	NayaNangal	NAC	<1 Lakh
105	Punjab	DeraBassi	NAC	<1 Lakh
106	Rajasthan	Jaipur	NAC	>20 Lakhs
107	Rajasthan	Jodhpur	NAC	10-20 Lakhs
108	Rajasthan	Kota	NAC	10-20 Lakhs
109	Rajasthan	Bikaner	Non-NAC	5-10 lakhs
110	Rajasthan	Ajmer	Non-NAC	5-10 lakhs
111	Rajasthan	Udaipur	NAC	5-10 lakhs
112	Rajasthan	Alwar	NAC	3-5 Lakhs
113	Tamil Nadu	Chennai	NAC	>20 Lakhs
114	Tamil Nadu	Coimbatore	Non-NAC	>20 Lakhs
115	Tamil Nadu	Madurai	NAC	10-20 Lakhs
116	Tamil Nadu	Tiruchirappalli	NAC	10-20 Lakhs
117	Tamil Nadu	Salem	Non-NAC	10-20 Lakhs
118	Tamil Nadu	Thoothukudi	NAC	3-5 Lakhs
119	Telangana	Greater Hyderabad	NAC	>20 Lakhs
120	Telangana	Warangal	Non-NAC	10-20 Lakhs
121	Telangana	Nalgonda	NAC	1-3 Lakhs
122	Telangana	Patancheru	NAC	1-3 Lakhs
123	Telangana	Sangareddy	NAC	<1 Lakh
124	Uttar Pradesh	Lucknow	NAC	>20 Lakhs
125	Uttar Pradesh	Kanpur	NAC	>20 Lakhs
126	Uttar Pradesh	Ghaziabad	NAC	>20 Lakhs
127	Uttar Pradesh	Agra	NAC	>20 Lakhs
128	Uttar Pradesh	Meerut	NAC	10-20 Lakhs
129	Uttar Pradesh	Varanasi	NAC	10-20 Lakhs
130	Uttar Pradesh	Allahabad	NAC	10-20 Lakhs
131	Uttar Pradesh	Bareilly	NAC	10-20 Lakhs
132	Uttar Pradesh	Moradabad	NAC	10-20 Lakhs
133	Uttar Pradesh	Aligarh	Non-NAC	10-20 Lakhs
134	Uttar Pradesh	Saharanpur	Non-NAC	5-10 lakhs
135	Uttar Pradesh	Gorakhpur	NAC	5-10 lakhs
136	Uttar Pradesh	Noida	NAC	5-10 lakhs
137	Uttar Pradesh	Firozabad	NAC	5-10 lakhs
138	Uttar Pradesh	Loni (Npp)	Non-NAC	5-10 lakhs

S.No	State Name	ULB Name	Status of City	Population
139	Uttar Pradesh	Jhansi	NAC	5-10 lakhs
140	Uttar Pradesh	Raebareli	NAC	1-3 Lakhs
141	Uttar Pradesh	Khurja	NAC	1-3 Lakhs
142	Uttar Pradesh	Gajraula	NAC	<1 Lakh
143	Uttar Pradesh	Anpara	NAC	<1 Lakh
144	Uttarakhand	Dehradun	NAC	5-10 lakhs
145	Uttarakhand	Kashipur	NAC	1-3 Lakhs
146	Uttarakhand	Rishikesh	NAC	<1 Lakh
147	West Bengal	Kolkata (M Corp.)	NAC	>20 Lakhs
148	West Bengal	Haora (M Corp)	NAC	10-20 Lakhs
149	West Bengal	Durgapur	NAC	5-10 lakhs
150	West Bengal	Asansol	NAC	5-10 lakhs
151	West Bengal	Raniganj	NAC	5-10 lakhs
152	West Bengal	Siliguri	Non-NAC	5-10 lakhs
153	West Bengal	Haldia	NAC	1-3 Lakhs
154	West Bengal	Barrackpore	NAC	<1 Lakh

NAC: Non attainment city under NCAP

Non-NAC: not NAC, but included under "5 lakh and above" category

ANNEX 2: CITY SOLID WASTE ACTION PLAN (CSWAP)

(As referred in Chapter 2 and 6)

ULB's City Profile: (demographic and waste generation details)

1.	Name of the ULB:			
2.	Name of the District, State/ UT:			
3.	No. of Municipal Zones in ULB:			
4.	No. of wards in the ULB:			
5.	Population & Households in the ULB as per 2011 Census:			
	Population (P ₂₀₁₁)		Households(HH ₂₀₁₁)	
6.	Population & Households in the ULB as per current scenario:			
	Population (P _c)		Households(HH _c)	
7.	Projected Population & Households in the ULB @2025:			
	Population (P ₂₅)		Households(HH ₂₅)	
8.	Institutional & Governance framework			
			Yes / No	If no, action to be taken to notify & timeline
	a	Regulatory Framework	Whether Municipal SWM Bylaws notified? (conforming to SWM Rules 2016)(furnish details)	
			State SWM Strategy & Plan (available / not available)	
	b	Institutional Arrangement	Roles and Responsibilities for dealing with MSWM services.	
	c	Governance Reforms -	Implementation of e-governance in ULBs (available / not available)	
	d	ICT based Governance	ICT based monitoring of MSWM operations, services and complaint redressal (furnish details)	

9. MSWM Service Level Benchmarks				
	Indicator	B e n c h - mark	Before imple- mentation of project(s)	After imple- mentation of project(s)
1	Household level coverage of SWM services	100%		
2	Efficiency of collection of municipal solid waste	100%		
3	Extent of segregation of municipal solid waste	100%		
4	Extent of municipal solid waste recovered	80%		
5	Extent of scientific disposal of municipal solid waste	100%		
6	Efficiency in redressal of customer complaints	80%		
7	Extent of cost recovery in SWM services	100%		
8	Efficiency in collection of SWM-related user charges	90%		
--	Notified User Fee for MSWM services (provide details)			

Current MSW Management:

1.	Current MSW total generation in TPD (A): _____ TPD= Tonnes per day	Per Capita generation in gms: _____ (A x 10 ⁶ / P _i)
2.	Total waste collected (TPD): _____	
3.	No. of wards & % of wards practicing source segregation:	
	No of wards	% of wards
4.	No. of wards & % of wards practicing 100% door to door waste collection:	
	No of wards	% of wards
5.	Total quantity transported in TPD to:	
	Processing Plants	SLF

6.	Secondary collection points/Transfer Stations (TS) (only if TS is/ are existing, otherwise not applicable)		
	Waste stream	Number of TS	Capacity of TS (in TPD)
	Wet waste		
	Dry Waste		
7.	On basis of Waste Characterization, quantity of segregated waste generated (in TPD), of given waste streams		
	MSW Waste Stream	Quantity in TPD	% of MSW
	Wet waste		
	Dry Waste		
	Sanitary Waste		
	Domestic Hazardous Waste		
	Other wastes (Drain Silt & Inert)		
	C&D Waste	Qty in TPD	% of MSW
Total C&D Waste generated		(expressed as % of A at row 1 above)	
8.	Total quantity of MSW currently processed (B) in TPD:		
9.	Total design capacity* available of all types of processing plants in TPD: *All existing, under construction, approved and defunct plants (defunct plants that have not been written off) Note: This capacity will be equal to or greater than (B)		
10.	Operation & Maintenance and Recovery of SWM fees Issues Prepare statement of previous 5 years O&M costs incurred in ULB for O&M and the collections of SWM use fees and analyses for sustainability of O&M		

Assessment of requirement of processing plants/facilities:

A	Projected waste generation@2025 in TPD:	
	Per capita generation for calculating waste generation	
	ULBs > 10 lakh population@550 gms/capita:	
	ULBs 1 lakh -10 lakh (both included) population@450gm/capita:	
	ULBs <1 lakh population@300gm/capita:	

Projected Waste generation streams for year 2025:				
	Waste stream	Fraction in MSW (indicative-can be changed as per actuals in ULB)	Projected waste generation in TPD	% of MSW
B	Wet Waste	55%		
	Dry Waste	35%		
	Domestic Hazardous waste	Minor		
	Other Waste(Drain Silt & Inert)	10%		
	To SLF (not more than)	20%		

Other components of MSW Management

Sanitary Landfill (SLF) (Filling CELL for 5 years only)	
C	Waste sent to SLF restricted to 20% of total Municipal
	SLF capacity for 5 years duly adding extra volume for daily cover, top cover etc. (as per Manual on MSWM) Tonnes/cum/day

D Estimated cost for proposed components as per GAP analysis			
Waste Management Component	Total proposed requirement (gap projected @2025)	Estimated cost/ tonne (per machine for MRSs)	Proposed estimated cost
Wet waste processing			
Dry waste processing			
C&D waste processing			
Dumpsite Remediation			
Sanitary Landfill			
Transfer Station			
Mechanical Road Sweepers (MRSs)			

Financing Planning of Fund Required for Addressing the GAPS (Rs. in Crore)

Waste management Item	Total Pro-posed Cost	ACA under SBM-U 2.0	State Govt. Fund	ULB fund	Other Fund (PPP, others)
For wet waste processing					
For Dry waste processing					
For C&D waste processing					
For Dumpsite Remediation					
For Sanitary Landfill					
For Transfer Station					
For Mechanical Road Sweepers					
Grand Total					

Items not required/applicable in the particular ULB may be deleted

Financing Planning of Fund Required for Addressing the GAPS (Rs. in Crore)

Waste management Item	Total Pro-posed Cost	ACA under SBM-U 2.0	State Govt. Fund	ULB fund	Other Fund (PPP, others)
For wet waste processing					
For Dry waste processing					
For C&D waste processing					
For Dumpsite Remediation					
For Sanitary Landfill					
For Transfer Station					
For Mechanical Road Sweepers					
Grand Total					

Items not required/applicable in the particular ULB may be deleted

Module 1: MSW Processing GAP analysis & Action Plan

MI.1 GAP Assessment for 100% Processing of MSW at ULB level

Processing Facility proposals	Existing Plants Capacity (TPD)*	Status of Current Capacity- Deficit/ Surplus	GAP Projected @2025 (TPD)
Mixed Waste Processing Facility (continue to be used for either Wet OR Dry Waste) – Data taken for assessing capacities			No new mixed waste plant will be allowed
Composting Plants (for WET waste)			
Bio-methanation Plants (for WET waste)			
Material Recovery Facilities MRF- (for DRY waste)			
Standalone RDF Plants (for DRY waste downstream of MRFs)(not part of composting plants)			
Waste to Electricity (RDF based – only for ULBs > 10 lakh)			
Others (describe the nature of plants, feed stock should be source segregated waste)			

*(Operational/Under Constn. / in Tender Process, Non-Functional good condition)

Explanation for calculating the GAP.

Many ULBs have installed composting plants receiving mass waste, without segregation at source, but carry out segregation within the process. Such plants shall continue to be utilized for either wet or dry waste, for full design capacity with segregation at source. It will result in proposing plants for other waste stream only.

Additional process may be added down the line to process RDF if not already being done in such plants.

After the GAP analysis, actions need to be taken for preparation of DPRs; Identifying & earmarking land; documents for tenders etc.

M1.2 ULB level Action Plan for achieving 100% scientific MSW Processing

Processing Facility proposals	Proposed Plant Capacity (TPD)	Estimated Cost	Plant Commissioning Date
Composting Plants (for WET waste)			
Bio-methanation Plants (for WET waste)			
Material Recovery Facilities MRF- (for DRY waste)			
Standalone RDF Plants (for DRY waste downstream of MRFs)(not part of composting plants)			
Waste to Electricity (RDF based - only for ULBs > 10 lakh)			
Others (describe the nature of plants -feed stock should be source segregated waste)			
TOTAL			
<i>Other Proposals part of MSW</i>			
Construction of SLF			
Construction of TS, if required (ULBs >5lakh and haulage of fully loaded vehicles is > 15Km)			
TOTALs			

M1.3 ULB commitment timelines for Certification under Garbage-free Cities Star Rating

S No	GFC Star Rating Certification	Committed Date
1	1-Star GFC Rating Certification	
2	3-Star GFC Rating Certification	(mandatory before 31.3.2026)
3	5-Star GFC Rating Certification	These Certifications are beyond the mandatory requirement under SBM 2.0. ULBs are encouraged to get these certifications.
4	7-Star GFC Rating Certification	

**M1.4 State/ UT – Consolidated Financial Action Plan for MSW Processing:
Financials in Rs. Crore**

	FY 2021-22	FY 2022-23	FY 2023-24	TOTAL (equal to SBM 2.0 SWM allocation, Processing part only)
Action Plan Amount				
No. of ULBs covered*				All ULBs in the State/ UT covered in APs by 2023-24
* Detailed ULB-wise, plant-wise Action Plan statement is to be furnished Action Plan approvals to be obtained by 31.3.2024 for all ULBs				

**M1.5 State / UT – Consolidated Certification- cum-Implementation Action Plan (only First
time GFC Certifications to be considered)**

Certification	Before SBM 2.0	FY 2021- 22	FY 2022- 23	FY 2023- 24	FY 2024- 25	FY 2025-26
No. of ULBs rated 1-Star				All ULBs to be 1-Star rated by 31.3.2023		
No. of ULBs rated 3-Star*						
No. of ULBs with 100% waste processing						
* All ULBs to become 3-Star GFC Rated before 31.3.2026						

Module 2: Legacy Waste Dumpsites Remediation Action Plan

M2.1 ULB's Dumpsite Remediation Plan (applicable only if ULB has an existing dumpsite(s))

Total quantity of existing legacy waste in tonnes	
Land occupied by the dumpsite, Acres	
Proposed method for remediation*	
Action plan for recoverable material	
Indicative Uses/ Utilization of Segregated Material	
Land to be recovered, Acres (extent of land from which waste is completely removed)	
End uses of remediated dumpsite area	
Estimated Cost for Remediation	
Most likely date for complete remediation (not beyond 31.3.2023 for ULBs < 10 lakhs and 31.3.2024 for ULBs > 10 lakhs)	

* to be compliant with extant NGT and Court orders

M2.2 State/ UT- Consolidated Financial Action Plan for Dumpsite Remediation:

Financials in Rs. Crore

	FY 2021-22	FY 2022-23	TOTAL (equal to SBM 2.0 allocation for dumpsite remediation for the State / UT)
Action Plan Amount			
No. of ULBs covered*			All ULBs in the State/ UT
Action Plan approvals to be obtained by 31.3.2022 for all ULBs <10 Lakh and by 31.3.2023 for all ULBs >10 lakh			
* Detailed ULB-wise, dumpsite-wise Action Plan statement is to be furnished			

M2.3 State/ UT - Consolidated Dumpsite Remediation Implementation Action Plan

Remediation	Before SBM 2.0	By 31.7.2022	By 31.3.2023	By 31.3.2024	TOTAL
No. of ULBs completing remediation					All ULBs in the State/ UT to complete remediation by 31.3.2024

Module 3: C&D Waste Processing Action Plan (only for 154 non-complying (NCAP cities) and 5-lakh size ULBs)

M3.1 ULBs Gap Assessment for Processing of Construction and Demolition Waste (Applicable for ULBs > 5 lakh population and/or 154 Non-attainment cities)

Estimated C&D Waste generated @ 50gm/capita of total Municipal Solid Waste in TPD	
Add 25% extra for bulk C & D waste generators, depositing with ULB	
Add 20% over and above	
Total C&D waste currently generated in TPD	
Existing capacity of C&D waste processing plant available in TPD	
Proposed capacity in TPD for 2025	

M3.2 State/ UT – Consolidated Financial Action Plan for C&D Waste Processing: Financials in Rs. Crore

C&D Waste Processing	FY 2021-22	TOTAL (equal to SBM 2.0 allocation for C&D Waste Plants)
Action Plan Amount		Approvals to be obtained by 31.3.2022 for all the ULBs concerned in one go, thus prioritizing control of air pollution.
Detailed Statement of ULB-wise C&D waste processing plant proposals are to be furnished		

M3.3 State/ UT- Consolidated C&D Waste Processing Plants Implementation Action Plan

Setting up C&D Waste Processing Plants	Before/Outside SBM 2.0	By 31.7.2022	By 31.3.2023	TOTAL
No. of ULBs				All ULBs > 5lakh + NCAP ULBs in the State/ UT to complete the plants by 31.3.2023

Module 4: Mechanical Road Sweepers Action Plan (only for 154 non-complying (NCAP) and 5-lakh size ULBs)

M4.1 Mechanical Road Sweepers (Applicable only for ULBs > 5 lakh population and/or 154 Non-attainment cities) - Assessment for a ULB:

Length of road to be swept daily(Only those roads which are 4-lane or more lanes)	
Detailed calculation of mechanical sweeping required in Lane-KMs	
Proposed no. of Machines required to sweep the length	
No. of Machines currently operating /existing	
Current requirement of machines (nos)	

M4.2 State/ UT – Consolidated Financial Action Plan for Mechanical Road Sweepers:
Financials in Rs. Crore

	FY 2021-22	TOTAL (equal to SBM 2.0 allocation for Mechanical Road Sweepers)
Action Plan Amount		Approvals to be obtained by 31.3.2022 for all the ULBs concerned in one go, thus prioritizing control of air pollution
<i>Detailed Statement of ULB-wise Mechanical Road Sweepers proposals are to be furnished</i>		

M4.3 State Government / UT Administration – Consolidated Mechanical Road Sweepers Implementation Action Plan

Equipping ULBs with Mech. Road Sweepers	Before/Outside SBM 2.0.	By 31.7.2022	By 31.3.2023	TOTAL.
No. of ULBs				All ULBs > 5lakh + NCAP ULBs in the State/ UT to complete procurement of MRSs by 31.3.2023

STATE/ UT ANNUAL ROADMAP

I. State/ UT Annual Action Plans (Financial)

(Aggregate of action plans mentioned at M1.4, M2.2, M3.2 and M4.2 above)

	FY 2021-22	FY 2022-23	FY 2023-24	TOTAL
Sub-Action Plans:				
MSW Processing				
Dumpsite Remediation				
C&D Waste Processing				
Mechanical Road Sweepers				
Cumulative Action Plan TOTAL				(equal to SBM 2.0 allocation)
No. of ULBs covered				All ULBs in the State/ UT are to be covered in Action Plans by FY 2023-24 leaving adequate time for implementation

II. Roadmap for Deliverables:

MSWM compliances	Before SBM 2.0	By 31.3.2022	By 31.3.2023	By 31.3.2024	By 31.3.2025	By 31.3.2026
No. of ULBs with -						
100% MSW processing						(All ULBs)
100% Dumpsite Remediation				(all ULBs concerned)	-----	-----
100% C&D Waste processing			(all ULBs concerned)	-----	-----	-----
Mechanical Road Sweeping			(all ULBs concerned)	-----	-----	-----
* All ULBs to become 3-Star GFC Rated before 31.3.2026						

III. Roadmap for Garbage Free City (GFC) Star Rating Certifications:

Certification	Before SBM 2.0	By 31.3.2022	By 31.3.2023	By 31.3.2024	By 31.3.2025	By 31.3.2026
No. of ULBs with GFC 3-Star Certification (mandatory under SBM 2.0) or higher certification						(All ULBs)

ANNEX 3A: CITY SANITATION ACTION PLAN (CSAP): FOR TOILETS

(As referred in Chapters 2 and 7)

To be filled in by all ULBs

S. No	Description	Particulars	Detailed description	Remarks
A	GENERAL INFORMATION			
1	Location and Physical aspects			
1.a	Location	Name of the City, District, State		
1.b	Physical Aspects	Municipal Area in sq. km and Class of Town		
		Number of Wards		
		Geographical description - Hilly area, river, Environmental sensitive area etc.		
1.c	Maps	Map depicting administrative boundaries, roads and railways, water bodies, Important landmarks etc. (if not available, to be prepared)		
		Topo-Sheet (ref: Survey of India, Scale - 1:50000) (if not readily available, get it)		
2	Demography and Growth pattern			
2	Population	Census data - Latest census data and previous census data (population projection for 2025, 2040 and 2055)		
		Slum population <ul style="list-style-type: none"> Population Households Density 		
		Non slum population <ul style="list-style-type: none"> Population Households Density 		
		Floating population <ul style="list-style-type: none"> Population per day (if available from tourism department) 		
		Decadal Population growth rate (in %)		
3	Land Use information and Development			
3.a	Land Use pattern	Land use classification in the city- [Area under residential, commercial, Institutional, open areas, slums (available / not available)]		
		Details of Population and projected growth		
3.b	Maps	Map depicting the existing land use - residential, commercial, Institutional, slums, green cover, open land etc. (available / not available)		
B	TECHNICAL INFORMATION: Information regarding Sanitation infrastructure facilities			
4	Access to Toilet (Ward-wise information to be made available)			

4.a	Individual Toilet	<ul style="list-style-type: none"> Number of Sanitary toilets Number of insanitary toilets (single pit, twin pit, insanitary, dry, pour flush) septic tank without soak away 		
	Community toilet	<ul style="list-style-type: none"> Number of households dependent Number and Location of toilet blocks Number of seats per block Functional status Septic tank without soak away 		
	Public toilet and urinals	<ul style="list-style-type: none"> Number and Location of toilet & urinal blocks Number of seats per block Functional status Septic tank without soak pit 		
	Open defecation	<ul style="list-style-type: none"> Location of OD spots 		
4.b	Operation and maintenance	Notified rates of User charges (Rs) <ul style="list-style-type: none"> For community toilets For public toilets 		
		Responsible agency for O&M [By in-house arrangement or outsourced]		
		Complaint redressal system		
4.c	Service Level Benchmark (100%)	Access to toilet (% coverage)		
4.d	Maps	Map depicting the Location of public and community toilets (if not available, the same to be depicted)		
C INSTITUTIONAL AND GOVERNANCE				
5 Institutional framework				
5.a	Regulatory Framework	Whether Municipal Sanitation Bye Laws notify tariff for sanitation services. (details)		
		State Sanitation Strategy (available / not available)		
5.b	Institutional Arrangement	Roles and Responsibilities for dealing with sanitation services.		
5.c	Governance and Reforms -	Implementation of e-governance in ULBs (available / not available)		
D CAPACITY ENHANCEMENT:				
6 Capacity Management				

6.a	Human Resource Development	Details of the personnel engaged in sanitation services along with roles and responsibilities.		
		Outsourcing of staff and services (available / not available)		
E.	GAP ANALYSIS:			
7.a		Analyze the projected requirement of sanitation infrastructure/facilities in 2025,		
7.b		Identify the available infrastructure in good condition		
7.c		Analyze the gap in various areas and suitably club as part of a project/DPR. ☉ IHHL/CT/PT/Urinals		

Funding requirement				
Total fund required	Central share	State share	ULB share	Others (pl specify)

ANNEX 3B: CITY SANITATION ACTION PLAN (CSAP): FOR USED WATER MANAGEMENT

(As referred in Chapters 2 and 7)

(To be filled in only for Cities below 1 Lakh Population, as referred in Chapters 2 and 6)

S. No	Description	Particulars	Detailed description	Remarks
A	GENERAL INFORMATION			
1	Location and Physical aspects			
1.a	Location	Name of the City, District, State		
1.b	Physical Aspects	Municipal Area in sq. km and Class of Town		
		Number of Wards		
		Geographical description - Hilly area, river, Environmental sensitive area etc.		
1.c	Maps	Map depicting administrative boundaries, roads and railways, water bodies, Important landmarks etc. (if not available, to be prepared)		
		Topo-Sheet (ref: Survey of India, Scale - 1:50000)(if not readily available, get it)		
2	Demography and Growth pattern			
2.a	Population	Census data - Latest census data and previous census data (population projection for 2025, 2040 and 2055)		
		Slum population		
		<ul style="list-style-type: none"> • Population • Households • Density 		
		Non slum population		
		<ul style="list-style-type: none"> • Population • Households • Density 		
	Floating population			
	<ul style="list-style-type: none"> • Population per day (if available from tourism department) 			
	Decadal Population growth rate (in %)			
3	Land Use information and Development			
3.a	Land Use pattern	Land use classification in the city- [Area under residential, commercial, Institutional, open areas, slums (available / not available)]		
		Details of Population and projected growth		

3.b	Maps	Map depicting the existing land use - residential, commercial, Institutional, slums, green cover, open land etc. (available / not available)		
B TECHNICAL INFORMATION: Information regarding Used water infrastructure facilities				
4 Details of existing sewage infrastructure				
4.a		Brief description of existing sewage infrastructure in the town: <ul style="list-style-type: none"> (i) TPs (ii) PSTPs (iii) Existing sewers (iv) Drains (v) Number of cesspool tankers (govt./private) (vi) Funding Agencies & amount 		
5 Sewage Management				
5.a	Sewage Generation	<ul style="list-style-type: none"> • Estimated sewage generation [in MLD for 2025, 2040, 2055] 		
5.b	Collection and Conveyance	NETWORK COVERAGE <ul style="list-style-type: none"> • Present population covered with sewerage network • Present population uncovered with sewerage network 		
		SEPTAGE <ul style="list-style-type: none"> • Status of scheduled desludging (by ULB/Licensed operator) 		
		Drainage <ul style="list-style-type: none"> • Number of drains with length & material of construction etc. (width more than 75 cm) carrying sewage into the surface water body or open land • Status of drains with or above 75 cm width (covered/uncovered) • Number of outfall locations along with estimated quantity of sewage (dry weather) being discharged into surface water body or open land 		
		Outfall location <ul style="list-style-type: none"> • Mention the location of outfall points (river/ Natural drain/surface water body/ open land) 		
5.c	Treatment (Septage, Used water)	Used water treatment (including cotreatment) - Are the used water treatment facility available (yes/no) If 'yes' <ul style="list-style-type: none"> • Treatment technology and Capacity (MLD) 		

		<ul style="list-style-type: none"> • Current capacity utilization - under/over (MLD) • Quantity of used water treated (MLD) • Quantity of septage co-treated (KLD) • Reuse (treated used water, sludge, biogas) Information along with respective quantity 				
		<p>Septage treatment Are the septage treatment facility available (yes/No) - If 'yes'</p> <ul style="list-style-type: none"> • Quantity of septage to be treated (KLD) • Treatment technology and Capacity (KLD) • Current utilization - under/over (KLD) • Reuse (treated used water, sludge, biogas) Information along with respective quantity 				
5.4	Operation and Maintenance	For existing used water collection, conveyance and treatment facility				
		<ul style="list-style-type: none"> • Responsible agency • Household sanitation tariff - Monthly (Rs) • Conservancy tax as part of property tax • O&M cost for the conveyance and treatment facility (Rs) • Cost recovery (%) 				
		For existing septage collection, conveyance and treatment facility				
		<ul style="list-style-type: none"> • Responsible agency • User charges for desludging, conveyance and disposal per household (Rs) • O&M cost for the treatment facility (Rs) • Cost recovery (%) 				
5.6	Service Level Benchmark - Present	Indicators	Benchmark	Before implementation of project	After the implementation of project	
		Coverage of Sewerage Network	100%			
		Collection efficiency of Sewerage Network	100%			
		Adequacy of Sewage Treatment Capacity	100%			
		Quality of sewage treatment	100%			
		Extent of Reuse and Recycling of Sewage	20%			

		Extent of cost recovery in sewage/used water management	100%			
		Efficiency in redressal of customer complaints	80%			
		Efficiency in Collection of sewage / used water Charges	90%			
		Access to toilets	100%			
		Scheduled desludging	100%			
		Notified tariff for desludging				
5.f	Maps	Map depicting the coverage of existing sewer network coverage and onsite system				
		Access to toilets				
		Scheduled desludging				
		Notified tariff for desludging				
C INSTITUTIONAL AND GOVERNANCE						
6 Institutional framework						
6.a	Regulatory Framework	Whether Municipal Sanitation Bye Laws notify tariff for sanitation/sewage services (details)				
		State Sanitation Strategy (available / not available)				
6.b	Institutional Arrangement	Roles and Responsibilities for dealing with sanitation/ sewage services.				
6.c	Governance and Reforms -	Implementation of e-governance in ULBs (available / not available)				
D CAPACITY ENHANCEMENT:						
7 Capacity Management						
7.a	Human Resource Development	Details of the personnel engaged in sanitation services along with roles and responsibilities.				
		Outsourcing of staff and services (available / not available)				
E GAP ANALYSIS:						

8.a		Analyze the projected requirement of used water infrastructure/facilities in 2025.		
8.b		Identify the available infrastructure in good condition		
8.c		Analyze the gap in various areas and suitably club as part of a project/DPR. <ul style="list-style-type: none"> Sewer network Septage conveyance STP cum FSTP Recycle and reuse potential 		
F	CONCLUSION	On above lines identify various DPRs/ plan for projects related to <ul style="list-style-type: none"> I&D and STP cum FSTP Sewer network Storm water drainage system Recycle and reuse projects Gap in human resources for execution and O&M etc. 		

Funding requirement				
Total fund required	Central share	State share	ULB share	Others (pl specify)

Roadmap for achieving Mission outcomes

Target/Year	2021-22	2022-23	2023-24	2024-25	2025-26	Remarks
Cities ODF++						
Cities Water+						

ANNEX 4: STATEWISE ALLOCATION OF FUNDS

(As referred in Chapter 4)

For toilet construction and SWM components, the allocation of funds has been done on the basis of weighted average of urban population of State/ UT to total urban population of statutory towns, and area of State to total area of country. For Used water management, the allocation of funds has been done on the basis of total population of < 1 lakh ULBs in State / UT to total population of < 1 lakh ULBs in the country. All population figures are based on Census 2011 figures.

Sl No	Name of State/ UT	Central share allocation (₹ in crores) for:					
		Toilet construction	Used water Management	Solid Waste Management	IEC	CB	
		Floating fund	State allocation				
1	ANDAMAN AND NICOBAR ISLANDS	0.5	0.0	5.5	1.7	0.9	
2	ANDHRA PRADESH	47.1	694.1	458.1	142.4	71.6	
3	ARUNACHAL PRADESH		1.0	79.3	33.2	10.3	5.2
4	ASSAM		14.2	315.7	118.3	36.8	18.5
5	BIHAR		37.9	666.5	341.1	106.0	53.3
6	CHANDIGARH		3.3	0.0	28.5	8.9	4.5
7	CHHATTISGARH		19.1	414.6	200.1	62.2	31.3
8	DADRA AND NAGAR HAVELI & DAMAN and DIU	1.1	23.1	4.8	1.5	0.7	
9	DELHI		52.8	0.0	436.1	135.6	68.1
10	GOA		2.9	56.9	12.3	3.8	1.9
11	GUJARAT		83.0	806.9	701.4	218.0	109.6
12	HARYANA		28.5	284.4	226.9	70.5	35.4
13	HIMACHAL PRADESH		2.2	101.0	36.5	11.3	5.7
14	JAMMU & KASHMIR		10.3	226.4	131.7	40.9	20.6
15	JHARKHAND		25.6	236.8	174.9	54.4	27.3
16	KARNATAKA		76.1	1,128.6	709.3	220.5	110.8
17	KERALA		51.4	521.7	205.8	64.0	32.2
18	LADAKH		0.7	34.1	19.0	5.9	3.0
19	MADHYA PRADESH		64.7	1,229.5	617.5	192.0	96.5

20	MAHARASHTRA		163.8	1,484.8	1,438.1	447.1	224.7
21	MANIPUR		2.5	58.7	23.9	7.4	3.7
22	MEGHALAYA		1.9	40.8	16.8	5.2	2.6
23	MIZORAM		1.8	48.1	22.2	6.9	3.5
24	NAGALAND		1.8	60.3	19.0	5.9	3.0
25	ODISHA		22.6	491.0	209.8	65.2	32.8
26	PUDUCHERRY		2.7	25.5	20.4	6.3	3.2
27	PUNJAB		33.5	589.0	294.2	91.5	46.0
28	RAJASTHAN		54.9	916.1	541.8	168.4	84.6
29	SIKKIM		0.5	9.8	6.2	1.9	1.0
30	TAMIL NADU		112.5	1,999.7	807.4	251.0	126.1
31	TELANGANA		43.9	463.1	381.9	118.7	59.7
32	TRIPURA		3.1	48.4	23.0	7.2	3.6
33	UTTAR PRADESH		143.4	2,117.2	1,235.9	384.2	193.1
34	UTTARAKHAND		9.8	203.0	89.0	27.7	13.9
35	WEST BENGAL		93.8	507.9	577.7	179.6	90.3
	RETAINED AT MOHUA			-		790.2	782.4
	TOTAL	405	1,215	15,883	10,168	3,951	2,371

ANNEX 5: OUTPUT-OUTCOME INDICATORS (As referred in Chapter 10)

Output	Outputs (2023-26)		Outcomes (2023-26)		Year-wise Target
	Indicator(s)	Target	Outcome	Indicator (s)	
1. Sustainable Sanitation					
1.1 Construction of Community Toilets/ Public Toilets (2,7,000 seats)	Total number of C/PPT constructed	Number of C/PPT constructed	C/PPT Status (All/Not declared C/PPT)	Total number of C/PPTs declared as declared ODF+	Y1:
		Y2:			
		Y3:			
		Y4:			
1.2 Construction of Urinals (50,000 seats)	Total number of Urinals Constructed	Number of Urinals Constructed		Total number of Urinals declared as declared ODF+	Y1:
		Y2:			
		Y3:			
		Y4:			
1.3 Construction of IHHL (50,000 seats)	Total number of IHHL constructed	Number of IHHL Constructed		Total number of IHHLs declared as declared ODF+	Y1:
		Y2:			
		Y3:			
		Y4:			
2. Solid Waste Management					
2.1 Upgradation of systems of Segregation, collection and transportation systems (All Cities)	Total number of cities with upgraded collection and transportation systems	Number of cities with upgraded segregation, collection and transportation systems / number of wards covered by 100% source	Garbage Free Status for the Cities (All cities)	Total number of Cities/Towns Declared at least 3 star rated	Y1:
		Y2:			
		Y3:			
		Y4:			

			Y5					
			Y1	Y2	Y3	Y4	Y5	Y6
2.3 Construction of Material Recycling Facilities (MRFs) (All Cities)	Total number of Cities with MRFs installed	aggregation Number of Cities with MRFs installed	Y1					
			Y2					
			Y3					
			Y4					
			Y5					
2.3 Processing of Waste (dry and wet waste) (All Cities)	Scientific Processing of Waste generated in all the cities	Number of cities with 100% scientific processing of waste / quantity (tonnes per day) of generated waste being scientifically processed	Y1					
			Y2					
			Y3					
2.4 Processing of Construction and Demolition Waste (Non- Attainment Cities and other cities with population of 5 lakh and above)	Scientific Processing of C&D waste in Non- Attainment Cities	Number of Non- Attainment Cities with Scientific Processing of C&D Waste / quantity (Tonnage per day) of C&D waste processed for which plants commissioned	Y1					
			Y2					
			Y3					
			Y4					
2.5 Roaming	[A] Roaming of waste from jurisdiction of all cities.	Number of Cities with Roaming of waste / Quantity [in lakh tonnes] of waste	Y1					
			Y2					
			Y3					
			Y4					

and		remediated in dumpsites					Y3					
		Y1	Y2	Y3	Y4	Y5						
Bandaging and Gapping of Burmises (1-10 lakh Population Cities)	(1) Bandaging and Gapping of dumpsites in Cities with 10 lakh & above population	Y1	Y2	Y3	Y4	Y5						
2.6 Mechanized Road Sweeping (Non-Attainment Cities and other cities with population of 5 lakh and above)	Mechanized road sweeping in Non-Attainment cities with Mechanized Road Sweeping	Y1	Y2	Y3	Y4	Y5					Y5	
1. Solid waste Management (only for cities with population of below 1 lakh)												
3.1 Installation of STPs/FSTPs in cities with less than 1 lakh population	Installation of STPs/FSTPs in cities with less than 1 lakh population, having installed STPs/FSTPs	Number of cities with less than 1 lakh population having installed STPs/FSTPs					Y1					Y1
							Y2					Y2
3.2 Provision of Scheduled cleaning of Septic tanks in all the cities of less than 1 lakh population	Provision of Scheduled cleaning of Septic tanks in all the cities of less than 1 lakh population	Number of cities of less than 1 lakh population with provision of scheduled cleaning of septic tanks					Y1					Y1
							Y2					Y2
							Y3					Y3
		ODF++ Status All Class II cities and below					Total number of Cities ODF++		Number of Cities ODF++		Y1: ODF++ Y2: ODF++ Y3: ODF++	
		Water Status (in 50% of Class II and below cities)					Water		Water+		Y2: ODF++ Y3: Water Y4: Water	
											Y5: ODF++ Y6: Water	

		V3											V4 ODP +	
		V4											V4 Water +	
		V5											V5 ODP +	
		V1		Total STPs capacity to be achieved in five years	Total STPs capacity added/installed								V5 ODP +	
		V2											V5 Water +	
		V3											V5 Water +	
		V4											V5 Water +	
		V5											V5 Water +	
		V1		Total FSTP capacity to be achieved in five years	Total FSTP capacity added/installed								V5 Water +	
		V2											V5 Water +	
		V3											V5 Water +	
		V4											V5 Water +	
		V5											V5 Water +	
		V1		Cover 100% population in Urban Area	Campaigns on Radio, TV, Social Media, and e-learning training workshops								V5 Water +	
		V2											V5 Water +	
		V3											V5 Water +	
		V4											V5 Water +	
		V5											V5 Water +	
		V1											V5 Water +	
		V2											V5 Water +	
		V3											V5 Water +	
		V4											V5 Water +	
		V5											V5 Water +	
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		V3											V5 Water +	
		V4											V5 Water +	
		V5											V5 Water +	

Number of Workshops conducted such as Regional/ National level Workshops, Star Rating Garbage Free protocol, NHA workshops on Sanitation and SWM, etc.	Number of ULBs covered with Capacity Building (all cities)				Improvement in skills, capacities, leadership development and change management competencies developed at ULB officials connected with implementation of Mission, through Workshops, Seminars, Trainings, etc.	Number of ULB officials trained	Cover all ULB officials	Y1: Y2: Y3: Y4: Y5:																	
	Y1:	Y2:	Y3:	Y4:				Y5:	Y1:	Y2:	Y3:	Y4:	Y5:												

ANNEX 6: CHECKLIST FOR PROPOSAL PREPARATION

(As referred in Chapter 6,7)

Check List for Scrutiny for Solid Waste Management Projects seeking funding from Swachh Bharat Mission (Urban) 2.0

1.	Name of the Project		
2.	Name of the ULB, District, State/UT:		
3.	No. of wards of the ULB:		
4.	Present Status of SWM:		
	a.	MSW generation in TPD:	
	b.	Per capita waste generation:	
	c.	% of wards practising source segregation:	
	d.	% of wards practising door to door collection:	
	e.	Quantity of MSW being processed in TPD:	
	f.	% of waste being processed:	
	g.	% of waste dumped /landfilled	
5.	Waste Quantification with the waste streams of the current year records		
	Waste streams	Current year (TPD)	% of MSW
	Wet Waste		
	Dry Waste		
	Sanitary Waste		
	Domestic Hazardous Waste		
	Other Waste(Drain Silt & Inert)		
6.	Details of existing/on-going/proposed scheme in the project area (Please enter brief details project wise)		
7.	Details of existing design capacity of processing facilities (including under construction,tendered,non-functional)		
	Waste Processing Unit	Existing Design Capacity	
	Composting Plants		
	Bio-methanation Plants		
	Material Recovery facility		
	Material Recovery facility with RDF		
	Waste to Electricity		
8.	Population Details		
	2011 Census	Current Year 2021	Projected 2025
9.	Implementing Agency:		

10.	Operating Agency:								
11.	City Sanitation Plan (CSP) status: Approved/Not approved								
12.	Recycling agencies whether/ which have in partnership with ULBs etc. (brief details to be mentioned)								
13.	Status of Solid Waste Management Service Level Benchmarks								
5.	Indicator	Unit	Baseline before project	Reliability of measurement	After project	Reliability of measurement			
1	Household level coverage of SWM services	%							
2	Efficiency of collection of municipal solid waste	%							
3	Extent of segregation of municipal solid waste	%							
4	Extent of municipal solid waste removed	%							
5	Extent of scientific disposal of solid waste	%							
6	Efficiency in redressal of customer complaints	%							
7	Cost recovery of SWM services	%							
8	Efficiency in collection of charges	%							
For Integrated Solid Waste Management									
14.	Per capita waste generation :								
	<table border="1"> <tr> <td>ULBs > 10 lakh population@550 gm/capita:</td> </tr> <tr> <td>ULBs 1 lakh -10 lakh (both included) population@450gm/capita:</td> </tr> <tr> <td>ULBs <1 lakh population@300gm/capita:</td> </tr> </table>						ULBs > 10 lakh population@550 gm/capita:	ULBs 1 lakh -10 lakh (both included) population@450gm/capita:	ULBs <1 lakh population@300gm/capita:
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ULBs 1 lakh -10 lakh (both included) population@450gm/capita:									
ULBs <1 lakh population@300gm/capita:									
15.	Projected Quantity of Waste Generation for 2025 in TPD as per waste/capita: TOTAL:								

16.	Projected Waste generation streams for year 2025:			
	Waste stream	Fraction	Proposed waste generation in TPD	% of MSW
	Wet Waste	55%		
	Dry Waste	35%		
	Domestic Hazardous waste	Minor		
	Other Waste(Drain Silt & Inert)	10%		
	To SLF	20%		
17.	Details of Proposed Components			
	a. Proposed capacity of processing facilities for Integrated Municipal Solid Waste Management (as applicable):			
	Waste Processing Unit	Existing Design Capacity (inclusive of the under construction/ tendered/non-functional /approved units)		Required Capacity
	Composting Plants			
	Bio-methanation Plants			
	Material Recovery facility with RDF			
	Waste to Electricity			
	b. Transfer Stations (applicable only for ULBs with >5 lakh population)			
	Existing capacity in (TPD)		Proposed Capacity in (TPD)	
	Wet Waste	Dry Waste	Wet Waste	Dry Waste
	c. Sanitary Landfill (SLF)			
	Proposed quantity of waste sent to SLF (restricted to 20% of total MSW) in TPD			
	Proposed capacity of SLF (Tonnes/Cum/day)			
	Proposed design Year of SLF -5 years tenure			
	d. Dumpsite Remediation(applicable only if Dumpsite is existing)			
	Total quantity of existing legacy waste			
	Details of Proposed method for remediation			
	Cost of per tonne of waste remediation proposed			
	End uses of remediated dumpsite area			
	Indicative Uses/ Utilization of Segregated Material			
	e. Construction and Demolition Waste Management (applicable only for ULBs >5 lakh and NCAP cities)			
	C&D waste generation in TPD (restricted to 50gm/capita of total MSW generated)			
C&D waste generation (Bulk waste generators) (@ 25% of the total C&D waste generation)+20% extra in TPD				
Total Processing Capacity proposed in (TPD)				

	<p>L. Mechanical Road Sweepers (applicable only for ULBs >5 lakh and NCAP cities) * Rate of mechanical sweeping 80 Km- Lane per Shift</p> <table border="1"> <tr> <td>Proposed length of Road to be swept/day (only 4 or more lane roads)</td> <td></td> </tr> <tr> <td>Detailed calculation of mechanical sweeping required in Lane-KMs (please attach)</td> <td></td> </tr> <tr> <td>Proposed no. of Machines required to sweep the length</td> <td></td> </tr> <tr> <td>No. of Machines currently operating /existing</td> <td></td> </tr> <tr> <td>Current requirement of machines (nos)</td> <td></td> </tr> </table> <p>*All mechanical sweepers are to be procured from GEM portal or centralized State agency.</p>			Proposed length of Road to be swept/day (only 4 or more lane roads)		Detailed calculation of mechanical sweeping required in Lane-KMs (please attach)		Proposed no. of Machines required to sweep the length		No. of Machines currently operating /existing		Current requirement of machines (nos)																	
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22.	<p>Whether the required Statutory clearances (to be identified) have been obtained – yes/no</p>																												

Certificate (to be furnished by ULB/ State officials):

Certified that the facts and figures mentioned have been duly verified and found to be correct

Signatures of responsible (Officer 1/ULB) (Officer 2/ULB) (Officer 3/State) officers

Check List for Preparation of Sewerage and Faecal Sludge & Septage Management (FSM) DPR seeking funding under Swachh Bharat Mission (Urban) 2.0

S.no.	Description	Remarks		
1.	Introduction			
i.	Background (Description of SBM 2.0, State and City)			
ii.	Location and connectivity of City			
iii.	Temperature, Rainfall and climate details of the city			
iv.	Topography and natural resources			
v.	Soil strata			
vi.	Depth of water level			
vii.	Socio economic conditions:			
	S.no.	Census Year	Population	Decadal growth rate
viii.	Objectives of the project (describe the goals of SBM 2.0 which are targeted through proposed project)			
ix.	Structure of the report indicating contents/chapters			
2.	Existing Infrastructure of the town			
i.	Status of water supply in the town (describe the coverage, supply hours, quality, supply rate etc.)			
ii.	Status of sewerage system of city (describe the existing sewerage zones, existing infrastructure etc.)			
iii.	Status of existing drainage system of the city (describe the number and capacity of the drains, outfall location etc.)			
iv.	City road network			
v.	Details of important surface water bodies, rivers natural drains etc. (intended recipient of sewage)			
3.	Population Projection and sewage generation			
i.	Population projection (for base-2025, Intermediate-2040, and ultimate-2055 year)			
ii.	Ward wise population projections			
iii.	Water demand			
iv.	Sewage generation			
4.	Gap Analysis and prioritization			
i.	Necessity of the project			
ii.	Population covered under this project			
iii.	Water demand and sewage generation of the project area			
iv.	Key map of project area within ULB map			
5.	Proposed project components			
I.	Sewerage System and its components (DPR should contain the following)			
	<ul style="list-style-type: none"> • Zoning under the project area • Proposed sewerage network (summary of pipes including length, material, dia etc.) • STP - design, capacity, technology, design year, input and output parameters, please mention if implementation in modules is considered) 			

	<ul style="list-style-type: none"> • Details of Sewage pumping station, if any • Length of trunk sewer • Provision of reuse and recycle of treated used water • Life cycle cost assessment of treatment plant 																																						
ii.	Faecal sludge and septage management components <ul style="list-style-type: none"> • Population covered under FSM component • STP cum FSTP – design scheme, capacity, technology, design year, input and output parameters, please mention if implementation in modules is considered) • Provision of reuse and recycle of treated used water • Number of cesspool tankers proposed along with desludging schedule 																																						
iii.	Interception & diversion works and Strengthening of drainage system <ul style="list-style-type: none"> • Proposed length of drains (having width more than 75 cm) identified for strengthening and improvement • Methodology for identification • Number and capacity of the drains identified to be tapped • Details of pumping arrangement, if any • Details of outfall locations which are covered under this project • Details treatment facility if proposed separately 																																						
6.	Operation and Maintenance																																						
i.	General																																						
ii.	O&M components <ul style="list-style-type: none"> • Direct manpower cost • Direct electricity/energy cost • Direct chemical cost • Direct expenses on repairs of STP/FSTP/Pumps/sewer conveyance and others. • Direct cost on mechanical devices 																																						
iii.	Operation & Maintenance cost and revenue generation details (O & M Framework - existing & proposed) <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2"></th> <th colspan="2">Sewerage Tariff (in Rs.)</th> </tr> <tr> <th>Existing</th> <th>Proposed</th> </tr> </thead> <tbody> <tr> <td>Residential</td> <td></td> <td></td> </tr> <tr> <td>Commercial</td> <td></td> <td></td> </tr> <tr> <td>Institutions</td> <td></td> <td></td> </tr> <tr> <td>Industries</td> <td></td> <td></td> </tr> </tbody> </table> Please specify whether it is included as conservancy tax within property tax. <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th>Existing (average of last 5 years)</th> <th>Proposed</th> </tr> </thead> <tbody> <tr> <td>Annual O & M cost (Rs. in lakhs)</td> <td></td> <td></td> </tr> <tr> <td>Annual Revenue received (Rs. in lakhs)</td> <td></td> <td></td> </tr> </tbody> </table> Please specify in case of desludging of septic tanks. <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th rowspan="2"></th> <th colspan="2">User fee (in Rs.)</th> </tr> <tr> <th>Existing</th> <th>Proposed</th> </tr> </thead> <tbody> <tr> <td>By ULB</td> <td></td> <td></td> </tr> <tr> <td>By Private operator</td> <td></td> <td></td> </tr> </tbody> </table>		Sewerage Tariff (in Rs.)		Existing	Proposed	Residential			Commercial			Institutions			Industries				Existing (average of last 5 years)	Proposed	Annual O & M cost (Rs. in lakhs)			Annual Revenue received (Rs. in lakhs)				User fee (in Rs.)		Existing	Proposed	By ULB			By Private operator			
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iv.	Service level benchmarking			
	Indicators	Benchmark	Before implementation of project	After the implementation of project
	Coverage of Sewerage Network	100%		
	Collection efficiency of Sewerage Network	100%		
	Adequacy of Sewage Treatment Capacity	100%		
	Quality of sewage treatment	100%		
	Extent of Reuse and Recycling of Sewage	20%		
	Extent of cost recovery in sewage/ used water management	100%		
	Efficiency in redressal of customer complaints	80%		
	Efficiency in Collection of sewage / used water Charges	90%		
	Access to toilets	100%		
	Scheduled desludging	100%		
	Notified tariff for desludging			
7.	Environmental Assessment of the project			
i.	Environmental compliance requirements			
ii.	Applicable legislations			
iii.	Identified environmental impacts from the project			
iv.	Mitigation and enhancement measures			
v.	Environmental budgetary provision			
vi.	conclusion			
8.	Training and Institutional			
i.	Proposed capacity building works under the project			
ii.	Details of institutional framework, if proposed			
9.	Implementation schedule			
10.	Statutory permissions/ Clearances			
11.	Cost Estimates			
i.	Cost basis for proposed works (component-wise) (as far as possible State schedule of rate are to be considered)			
ii.	O&M cost			
iii.	Provisional sum			
iv.	Cost for environmental and social management			
v.	Cost for capacity building works			
vi.	Per Capita Cost(overall &component-wise)			

ANNEX 7: IEC ACTION PLAN

(As referred in Chapter 8)

1. City Profile

1 Name of the ULB:	
2 Name of the District, State/ UT:	
3 No. of Municipal Zones in City:	
4 No. of wards in the ULB:	
5 Population & Households in the ULB as per 2011 Census:	
Population	Households
6 Population & Households in the ULB as per current scenario:	
Population	Households
7 Projected Population & Households in the ULB @2025	
Population	Households

2. Proposed IEC and Behavior Change interventions by the ULB

Proposed IEC initiatives				
Key themes/messages of the Mission amplified through the initiatives	Details of the activities undertaken (including communication materials developed and communication platforms used)	Target audience	Expected outcomes/ desired behavior change	Timeline
1 SWM (Source Segregation, Home Composting etc) / Waste Water Reuse etc	Advertisements in local print and electronic media			
2	Running radio jingles on the local FM/community radios			
3	Swachhagrahis conducting meetings with the ward members (specify number of meetings)			
4	Swachhata Captains facilitating meetings with key opinion influencers (specify details of			

		influencers engaged]			
5		Workshops for engaging school children (specify the number of locations)			
6		Communication collaterals put up at strategic locations across the ward (specify the number of locations)			
Proposed Initiatives for citizen engagement					
Number of Swachhata leaders and Swachhagrahis identified for formal nomination					
Number of Citizen Sanitation Committees proposed to be set up					

3. Financial overview

S. No	Description of the activity	Tentative expenditure (in ₹)	ACA under SBM-U 2.0	State Govt. Funds	ULB Funds	Other Funds (PPP, others)
1	Development of outdoor collaterals					
2	Advertisements in print, electronic media and FM/community radios					
3	Monthly workshops/events with local community members and representatives					
4	Other activities					
Total tentative expenditure (in ₹)						

ANNEX 8: CAPACITY BUILDING ACTION PLAN

(As referred in Chapter 9)

1. City Profile

1	Name of the ULB:	
2	Name of the District, State/ UT:	
3	No. of Municipal Zones in City:	
4	No. of wards in the ULB:	
5	Population & Households in the ULB as per 2011 Census:	
	Population	Households
6	Population & Households in the ULB as per current scenario:	
	Population	Households
7	Projected Population & Households in the ULB @2025:	
	Population	Households

2. Training for Capacity Building of identified Stakeholders

S. No	Identified Stakeholders	Total Number	Areas for Training
1.	Municipal Officials		
3.	Technical staffs/PHE officials		
4.	NGOs, Educational and other institutes identified		
5.	Institutes identified for conducting CB Training		
6.	Master Trainers Identified for conducting CB Training activities		

Before beginning with trainings, ULBs are to conduct a Training Needs Analysis to identify relevant gaps and design appropriate programs and modules for imparting the training. ULBs are to attach the following details in the CB Action Plan:

1. Quarterly training calendar carrying a description of activities as well as targeted groups
2. Training plan to also detail method of delivery of training (virtual, in person, e-learning, etc)
3. Monitoring and Evaluation Framework
4. Name and contact details of stakeholders who will attend the training

3. Training for Skill Development of the identified stakeholders

S. No	Identified Stakeholders	Total Number	Areas for Training
1.	Sanitation workers and SafaiMitras identified for Skill Development trainings		
2.	Training Institutes identified for conducting Skill Development trainings		
3.	Master Trainers identified for conducting Skill Development trainings		

Before beginning with trainings, ULBs are to conduct a Skills Gap Analysis to identify relevant gaps and skill needs to design appropriate modules for imparting the training. ULBs are to attach the following details in the CB Action Plan:

1. Quarterly training calendar carrying a description of activities as well as targeted groups
2. Training plan to also detail method of delivery of training (virtual or in person)
3. Monitoring and Evaluation Framework

4. Financial Overview

S. No.	Activities to be Conducted (Representative List)	Tentative Expenditure (in ₹)	CA under SBM-U 2.0	State Govt. Funds	ULB Funds	Other Funds (PPP, others)
1	Training Needs Analysis					
2	Trainings for Municipal Officials					
3	Trainings for Technical/PHE Officials					
4	Trainings for NGOs/CSOs					
5	Skills Gap Analysis					
6	Trainings for sanitation workers and SafaiMitras					
7	Development of Manuals/documentation					
Tentative Total Expenditure (in ₹)						

ANNEX 9: FEATURES OF ASPIRATIONAL TOILETS

(As referred in Chapter 5)

Features of aspirational toilets
All toilet seats and urinals clean and usable at all times
Wash basin(s) clean and usable at all times
Availability of water
Adequate ventilation facility (vents, slanted glass slats and/or exhaust fan)
Premises are well lit at all times, both within and outside, with each seat having its own light point, and all light points functional
Functional bolting arrangements on all doors
Untreated faecal sludge/septage and sewage from the toilet is not discharged and/or dumped in drains, open areas or water bodies
Toilet floor is swept and mopped at all times
Mirrors, if available, are clean and polished
Available and regularly cleaned (covered) litter bins, with bins available with each toilet seat
Available and operational soap/soap dispenser
Usable taps and fittings, with no leakage OR water tank in or outside the structure with water available in it at all times during opening hours
Gender-segregated, distinct entrances for males and females, if both facilities available in single block
Entrance/ accessibility (like ramp, stairs) to toilet block is barrier free, including those for specially abled persons
Premises are visible to passersby, with clear signage, and the area within 3m from each direction of the structure is not encroached by unauthorized construction and vendors
Staff is provided with necessary supplies of consumables, cleaning equipment, protective gear and inventory, and there is no stock out for longer than 24 hours
Roster being maintained for regular cleaning and maintenance and a caretaker is on duty at all times during open hours

Public/Community Toilet is visible on Google Maps toilet locator as 'SBM Toilet'
Name and contact details of the following are displayed prominently - Supervisor,Supervisor's agency and area Sanitary Inspector(Contact number will be checked whether it is working or not)
Complaint registration and redressal mechanism (Swachhata App, Swachhata helpline 1969) is in place and is functional, with all complaints, maintenance issues or incidents resolved within 24 hours of registration
Air freshener applied
Walls and floors are clean and stain / graffiti free
Low height toilets/Indian toilets and basins for children
Plants / shrubs in the vicinity of toilet complex are well maintained
Space earmarked for advertisement for revenue generation
Hand dryer / paper napkin available
Ladies' toilets have vending machine for sanitary napkins
Incinerator facility available for disposal of used sanitary napkins for toilet having > 10 seats and also to the toilets adjacent to women college and hostels
Toilet identification number, name of ULB under which jurisdiction toilet is covered, ward number and maintenance authority prominently displayed for each toilet block
SMS based feedback with number displayed on which SMS has to be sent
Bathing facility available

ANNEX 10: BASIS OF COSTING FOR SWM COMPONENTS, CT/PTs and USED WATER COMPONENTS

(As referred in Chapter 4)

Costing for Solid Waste Management

S. No.	Component	Nos/Population	Unit Cost	Total Cost Rs in Crore	Central Share	State/ULB Share	Private Share
1	Solid Waste Management (through MRF, transfer stations, processing facilities, remediation of legacy waste dumpsites through Blomining & Scientific Landfilling, etc.)	42.88 Crores	Rs 605/ Capita	25930	16336	7675	1919
2	C&D Waste Processing	17.14 Crores	Rs 35/ Capita (Rs 3.5 Crore/ 10 Lakh Population)	600	378	111	111
3	Mechanized Sweeping for combating air pollution	Total of 816 machines	Rs 65 lakh per machine (average)	449	283	166	0
4	Collection & transportation including modernization of existing system.	42.88 Crores	Rs 300/ capita	12858	0	2572	10286

Cost Estimate of SWM requirements proposed under SBM 2.0 (Aggregated for all ULBs)							
		Qty. TPD	Rate	Unit	Amount		
I. MSW Treatment Plants			Rs. Crore		Rs. Crore		
a.	Compost Plants	30658.38					
	say	30,700.00	11.50	100 tpd			3,531
b.	Bio-Methanation Plants	15,063.96					
	say	15,100	18.00	100 tpd			2,718
c.	MRF-cum-RDF Plants	45,152.98					
	say	45,200	8.50	100 tpd			3,842
d.	WTE Plants (RDF based) (Electricity)	9,647.23					
	say	9,700	18.00	100 tpd			1,746
					Subtotal		11,837
II. SLP facilities for all ULBs		40,938.05					
	say	41,000	6.50	100 tpd			2,665
III. Transfer Stations for ULBs> Slakh population							
	120358.63 TPD	40%	48,143.45				
	say		48,200	4.50	100 tpd		2,169
V. C&D Waste management in all 102 NA cities + remaining 5 lakh cities							
	10409	say	10,000	6.00	100 tpd		600
VI. Dumpsites remediation in all ULBs- 3 Categories							
a.	>10 Lakh	754 Lakh MT	754	550.00	Per MT		4147
b.	1-10 lakh	519 Lakh MT	519	550.00	Per MT		2855
c.	<1 lakh	400 Lakh MT	400	550.00	Per MT		2200
					Subtotal		9,202
					TOTAL		26,472
					Contingencies & rounding off (0.22%)		58
					GRAND TOTAL		26,530

Rupees Twenty-Six thousand Five hundred Thirty Crore only

Costing calculations for CT/PTs:

The following section provides estimate of a 5 seat PT prepared by M/s Sulabh International which has constructed and running thousands of PTs across the country. The estimate was prepared for Bareilly Nagar Nigam in UP in current FY 2019-20 following Schedule of Rates for FY 2018-19. Considering even one year cost escalation @6%, per seat cost works out to approx Rs 1.69 lakh. This justifies the cost of Rs 1.5 lakh per seat considered for Mission period 2021-2026.

Cost of 5 seat PT complex (2018-19 rate) = Rs 7,96,515

Cost escalation for one year @ 6% per annum = Rs 8,44,306

Cost per seat of PT/CT = Rs 1.69 lakh

This justifies the cost per seat adopted at Rs 1.5 lakh.

संयुक्त राज्य अमेरिका में भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत

भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत

क्र. सं. क्र.	विवरण	क्र.	अमेरिका			भारत	अमेरिका	भारत	अमेरिका
			1	2	3				
1	प्रमाणित भारतीय निर्यातकों को अमेरिका में निर्यात करने के लिए भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत	1	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		2	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		3	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		4	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		5	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		5	5.00	5.00	5.00	5.00	5.00	5.00	
2	भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत	1	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		2	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		3	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		4	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		5	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		6	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		7	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		8	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		9	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		10	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		10	10.00	10.00	10.00	10.00	10.00	10.00	
3	भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत	1	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		2	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		3	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		4	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		5	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		6	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		7	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		8	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		9	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		10	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		10	10.00	10.00	10.00	10.00	10.00	10.00	
4	भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत भारत-अमेरिका व्यापार-व्यवसाय समझौते के अंतर्गत	1	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		2	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		3	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		4	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		5	1.00	1.00	1.00	1.00	1.00	1.00	1.00
		5	5.00	5.00	5.00	5.00	5.00	5.00	

		2019	2018	2017	2016	2015	2014	2013
A 2000000 (A) (i) (ii) (iii) (iv) (v) (vi) (vii) (viii) (ix) (x) (xi) (xii) (xiii) (xiv) (xv) (xvi) (xvii) (xviii) (xix) (xx) (xxi) (xxii) (xxiii) (xxiv) (xxv) (xxvi) (xxvii) (xxviii) (xxix) (xxx) (xxxi) (xxxii) (xxxiii) (xxxiv) (xxxv) (xxxvi) (xxxvii) (xxxviii) (xxxix) (xl) (xli) (xlii) (xliiii) (xliv) (xlv) (xlvi) (xlvii) (xlviii) (xlvix) (xli) (xli) (xli)	Balance	1.00	0.00	0.00	0.00	0.00	0.00	0.00
	Grant	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Revenue	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Capital	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Total	1.00	0.00	0.00	0.00	0.00	0.00	0.00
A 2000000 (A) (i) (ii) (iii) (iv) (v) (vi) (vii) (viii) (ix) (x) (xi) (xii) (xiii) (xiv) (xv) (xvi) (xvii) (xviii) (xix) (xx) (xxi) (xxii) (xxiii) (xxiv) (xxv) (xxvi) (xxvii) (xxviii) (xxix) (xxx) (xxxi) (xxxii) (xxxiii) (xxxiv) (xxxv) (xxxvi) (xxxvii) (xxxviii) (xxxix) (xl) (xli) (xlii) (xliiii) (xliv) (xlv) (xlvi) (xlvii) (xlviii) (xlvix) (xli) (xli) (xli)	Balance	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Grant	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Revenue	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Capital	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Total	0.00	0.00	0.00	0.00	0.00	0.00	0.00
A 2000000 (A) (i) (ii) (iii) (iv) (v) (vi) (vii) (viii) (ix) (x) (xi) (xii) (xiii) (xiv) (xv) (xvi) (xvii) (xviii) (xix) (xx) (xxi) (xxii) (xxiii) (xxiv) (xxv) (xxvi) (xxvii) (xxviii) (xxix) (xxx) (xxxi) (xxxii) (xxxiii) (xxxiv) (xxxv) (xxxvi) (xxxvii) (xxxviii) (xxxix) (xl) (xli) (xlii) (xliiii) (xliv) (xlv) (xlvi) (xlvii) (xlviii) (xlvix) (xli) (xli) (xli)	Balance	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Grant	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Revenue	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Capital	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from other	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer to	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Transfer from	0.00	0.00	0.00	0.00	0.00	0.00	0.00
	Total	0.00	0.00	0.00	0.00	0.00	0.00	0.00

Sl. No.	Description	QTY	UNIT	EST. PRICE	REMARKS	AMOUNT
10	1000	1000	kg	1000		
11	1000	1000	kg	1000		
12	1000	1000	kg	1000		
13	1000	1000	kg	1000		
14	1000	1000	kg	1000		
15	1000	1000	kg	1000		
16	1000	1000	kg	1000		
17	1000	1000	kg	1000		
18	1000	1000	kg	1000		
19	1000	1000	kg	1000		
20	1000	1000	kg	1000		
21	1000	1000	kg	1000		
22	1000	1000	kg	1000		
23	1000	1000	kg	1000		
24	1000	1000	kg	1000		
25	1000	1000	kg	1000		
26	1000	1000	kg	1000		
27	1000	1000	kg	1000		
28	1000	1000	kg	1000		
29	1000	1000	kg	1000		
30	1000	1000	kg	1000		
31	1000	1000	kg	1000		
32	1000	1000	kg	1000		
33	1000	1000	kg	1000		
34	1000	1000	kg	1000		
35	1000	1000	kg	1000		
36	1000	1000	kg	1000		
37	1000	1000	kg	1000		
38	1000	1000	kg	1000		
39	1000	1000	kg	1000		
40	1000	1000	kg	1000		
41	1000	1000	kg	1000		
42	1000	1000	kg	1000		
43	1000	1000	kg	1000		
44	1000	1000	kg	1000		
45	1000	1000	kg	1000		
46	1000	1000	kg	1000		
47	1000	1000	kg	1000		
48	1000	1000	kg	1000		
49	1000	1000	kg	1000		
50	1000	1000	kg	1000		
51	1000	1000	kg	1000		
52	1000	1000	kg	1000		
53	1000	1000	kg	1000		
54	1000	1000	kg	1000		
55	1000	1000	kg	1000		
56	1000	1000	kg	1000		
57	1000	1000	kg	1000		
58	1000	1000	kg	1000		
59	1000	1000	kg	1000		
60	1000	1000	kg	1000		
61	1000	1000	kg	1000		
62	1000	1000	kg	1000		
63	1000	1000	kg	1000		
64	1000	1000	kg	1000		
65	1000	1000	kg	1000		
66	1000	1000	kg	1000		
67	1000	1000	kg	1000		
68	1000	1000	kg	1000		
69	1000	1000	kg	1000		
70	1000	1000	kg	1000		
71	1000	1000	kg	1000		
72	1000	1000	kg	1000		
73	1000	1000	kg	1000		
74	1000	1000	kg	1000		
75	1000	1000	kg	1000		
76	1000	1000	kg	1000		
77	1000	1000	kg	1000		
78	1000	1000	kg	1000		
79	1000	1000	kg	1000		
80	1000	1000	kg	1000		
81	1000	1000	kg	1000		
82	1000	1000	kg	1000		
83	1000	1000	kg	1000		
84	1000	1000	kg	1000		
85	1000	1000	kg	1000		
86	1000	1000	kg	1000		
87	1000	1000	kg	1000		
88	1000	1000	kg	1000		
89	1000	1000	kg	1000		
90	1000	1000	kg	1000		
91	1000	1000	kg	1000		
92	1000	1000	kg	1000		
93	1000	1000	kg	1000		
94	1000	1000	kg	1000		
95	1000	1000	kg	1000		
96	1000	1000	kg	1000		
97	1000	1000	kg	1000		
98	1000	1000	kg	1000		
99	1000	1000	kg	1000		
100	1000	1000	kg	1000		

13	4000	Two sets of bonded slippers with printed lining approved according to pattern of bulk. Also give an amount of ₹ 200 per pair required for proper completion of work. S.I. for 4000 pairs			18.21	1000			
			4000 pairs @ ₹ 45		180.00	1000			180.00
14	4000	27 of 10mm mesh mesh iron commercial quality conforming to IS 2002 Part 1 (1982) including string of suitable chain and rings and including 10mm string and adjustment of rings. Balls, steel bands, spring fitting with necessary screws to be supplied departmentally. S.I. for 4000			4.15	1000			
			4 0.70	284	2.80	1000			
			1 1.20	284	3.62	1000			1000.00
14	2000	Two steel pensets with suitable printed paper for two plain copies with proper off approved quality of value Rs. 50.			12.50	1000			
			4 0.70	284	3.62	1000			1000.00
			1 1.20	284	4.72	1000			1000.00
15	40 per M.A.B. 17.1.2	Providing and string of 10mm 10mm chain 10mm pattern B. C. size of size 100x40 size with integral type ball joint roller chain according to Indian type (B. C. size) with 200 mm steel case length as in spec. 10 mm low length with P. 10 C. Bushing system, including Bush pipe, with internally controlled device (double cover) conforming to IS 7221 with all fittings and fixtures complete, including cutting and making good the walls and floor wherever required. As per IS 500 17.1.2			2.00	1000			
			4 0.50	200	2.00	1000			2000.00
16	40 per 2011.1.2	String for 10mm plug joint with 40 mm P.S. PVC insulated copper conductor single core with or without PVC insulation (double core PVC) conductor with green type enamel glassoid approved sheet. Suitable type 2011.1.2			2.00	1000			
			4 0.50	200	2.00	1000			2000.00
16	40 per 2011.1.2	String for 10mm plug joint with 40 mm P.S. PVC insulated copper conductor single core with or without PVC insulation (double core PVC) conductor with green type enamel glassoid approved sheet. Suitable type 2011.1.2			2.00	1000			
			4 0.50	200	2.00	1000			2000.00

29	W.P.	Preparation of 1000 nos of one nos of 10' grid and three nos ceiling (Which are included in an overall area) brought in required form including supply of steel and its weight including cost of form, etc. and masonry etc. and items being of required for proper completion of work (2.7 ha. W.P.)	4	4.75	-	200	4.75	Rate		
			1	1.20	-	120	1.40	Rate		
							320	Rate		
							172.25	Rs		
							100.00	Rs		
							472.25	Rs		
							4.72	Rs	470.00	3117.00
30	As per B.S.R. No. 15.1.2	7.1. Three nos of 10' grid and three nos of 10' ceiling and shade area of 10' x 10' ft. As per D.S. No. 15.1.2								
		The partition is 10' x 10'	4	0.45	-	1.80	0.45	Rate	1100.00	199.00
31	-	10' of CPVC pipes								
32	-	10' nos of 10' x 10' grid	4	10.00	-	-	10.00	Rate	270.00	340.00
33	-	10' nos of 10' x 10' grid	7	10.00	-	-	70.00	Rate	200.00	685.00
							30.00	Rate	200.00	685.00
34	B.S.R. 15.1.2	Providing and fixing wall base with C.I. brackets, 10 nos C.P. base pillar top, 10 nos C.P. base member of circular pattern including painting of 10' x 10' and brackets setting and making good the walls wherever required - 10' x 10' (Circular) base wall base with 10' x 10' nos with a single 10' nos C.P. base pillar top as per B.S.R. 15.1.2	1	2.00	-	-	2.00	Rate	1771.70	3592.00
								Total	74496.25	
								ADD 12% C.S.T.	8939.55	
								ADD 1% for C.P.S.	7449.90	
								Rs. Total	79985.70	

Costing calculations for Used water management

The Central share (as per eligible funding pattern) for STPs and I&D drains, for each notified town in the State/UT, will be governed by the following maximum per capita allocations:

Class of town	Maximum limit of per capita allocation for STP and I&D (including Central share + State/UT/ULB share)
II	₹3,000
III	₹2,000
IV	₹2,000
V	₹2,000
VI	₹2,000
For NE & hilly States	Class II - ₹4,000
Class III and below-	₹3,000

This will ensure that allocation of funds is uniform across all eligible ULBs. However, depending on needs at ground, States/UTs may sanction higher per capita funds for some town's projects, within the State/UT's overall funds allocation for used water component (Central + State share), provided that State/UT ensures that all the towns in Class II to VI are also covered with suitable sewage collection and treatment facilities.

In no case should allocated used water funds for all notified towns in the state be utilized in some selected towns while others are left unattended. In such a scenario, Central share allocation would be proportionately restricted commensurate to the number of towns attended.



एक कदम स्वच्छता की ओर

“

आज इतने दशकों बाद,
स्वच्छता आन्दोलन ने एक बार
फिर देश को नए भारत के सपने के साथ जोड़ने का
काम किया है। और ये हमारी आदतों को बदलने
का भी अभियान बन रहा है और हम ये न भूलें कि
स्वच्छता यह सिर्फ एक कार्यक्रम है, स्वच्छता ये
पीढ़ी दर पीढ़ी संस्कार संक्रमण की एक जिम्मेवारी
है और पीढ़ी दर पीढ़ी स्वच्छता का अभियान चलता
है, तब सम्पूर्ण समाज जीवन में स्वच्छता का
स्वभाव बनता है।

'मन की बात' में प्रधानमंत्री नरेंद्र मोदी, 26 सितम्बर 2021







... स्वच्छ भारत मिशन २.० का लक्ष्य है
गार्बेज फ्री शहर, कचरे के ढेर से पूरी तरह मुक्त,
ऐसा शहर बनाना ...

श्रीतप छंतमदकतं डवकप

क्षतपउम डपदपेजमत वऱिदकपं

खमाबमतचज तिवउ जीम ककतमे वऱिजीम क्षतपउम डपदपेजमत वद जीम वबबेपवद वऱिसंनदबी वऱि
बूबी तीतंज डपेपवद दृ न्तइंद 2०0ए वद 1न व्वजवइमतए 2021,

MESSAGE FROM HON'BLE UNION MINISTER

हरदीप एस पुरी
HARDEEP S PURI



सत्यमेव जयते



Message

आवासन और शहरी कार्य मंत्री
पेट्रोलियम एवं प्राकृतिक गैस मंत्री
भारत सरकार
Minister of
Housing and Urban Affairs; and
Petroleum and Natural Gas
Government of India

The Swachh Bharat Mission – Urban launched in October 2014 by the Hon'ble Prime Minister resulted in the most fundamental behavioural change brought about in Urban India, primarily because the Mission was not implemented as a Government programme but as a "Jan Andolan".

The second phase of SBM-Urban launched by Hon'ble Prime Minister on 1 October 2021, with a total outlay of ₹1,41,600 crores – nearly 2.5 times of the SBM-Urban - is a reaffirmation of the confidence placed on us by the people of India to take them to the next level of Swachhata over the next five years. The fact that the SBM-Urban 2.0 has been launched during India's 75th anniversary of independence, under the overall ambit of Azadi ka Amrit Mahotsav, provides an added historical significance to Urban India's tryst with sanitation and swachhata.

In this context, I am happy to see the operational guidelines for SBM-Urban 2.0 issued by the Ministry of Housing & Urban Affairs, which is not only a testament to how far we have travelled in our quest for a clean India but also provides Urban Local Bodies and State Governments with comprehensive directions to fast track their journey towards becoming "Garbage Free cities" by 2026.

New Delhi
25 October 2021


(Hardeep S Puri)

MESSAGE FROM HON'BLE MINISTER OF STATE

कौशल किशोर
KAUSHAL KISHORE



अवासन और शहरी कार्य राज्य मंत्री
भारत सरकार
Minister of State, Housing & Urban Affairs
Government of India

महात्मा गाँधी जी ने जिस स्वच्छ भारत का स्वप्न देखा था, आज उसे माननीय प्रधानमंत्री के मार्गदर्शन और स्वच्छ भारत मिशन के द्वारा पूरा किया जा रहा है। आज हमारा शहर पहले की अपेक्षा ज्यादा साफ, सुंदर और स्वस्थ हो गया है। आज स्वच्छ भारत एक मिशन ही नहीं, बल्कि एक जन आंदोलन बन गया है। आज स्वच्छ भारत मिशन 1.0 की सफलता और जन भागीदारी को देखते हुए तथा देश को और भी बेहतर और सशक्त बनाने के लिए हमारे माननीय प्रधानमंत्री जी ने 1 अक्टूबर 2021 को स्वच्छ भारत मिशन 2.0 की शुरुआत की है।

स्वच्छ भारत मिशन 2.0 में ठोस अपशिष्ट प्रबंधन, प्रयुक्त जल प्रबंधन, फीकल स्लज मैनेजमेंट, सैनिटेशन जैसे अन्य कई विषयों पे ध्यान दिया जाएगा। इस मिशन के तहत अर्बन लोकल बॉडीज, उनके कर्मचारी और हमारे सफाई मित्र की क्षमता निर्माण पे विशेष ध्यान दिया जाएगा। स्वच्छ भारत मिशन 2.0 न केवल अर्बन लोकल बॉडीज बल्कि देश को भी सस्टेनेबिलिटी की दिशा में ले जाएगा।

इन सब को ध्यान में रखते हुए आज मैं गर्व से कहना चाहता हूँ कि स्वच्छ भारत मिशन 2.0 की गाइडलाइंस, जोकि एस.बी.एम-अर्बन मिशन प्रबंधन विभाग के द्वारा लांच किया गया है, जो न केवल शहर बल्कि देश को एक नए आयाम की तरफ ले जाएगा। आने वाले समय में हम सब देशवासी मिलकर इस स्वच्छ भारत मिशन 2.0 को सफलतापूर्वक अपनाएंगे और देश को पूर्ण रूप से स्वच्छ और स्वस्थ बनाएंगे।

जय हिन्द।

MESSAGE FROM SECRETARY – MoHUA

दुर्गा शंकर मिश्र
सचिव
Durga Shanker Mishra
Secretary



भारत सरकार
आवासन और शहरी कार्य मंत्रालय
निर्माण क्वान, नई दिल्ली-110011
Government of India
Ministry of Housing and Urban Affairs
Nirman Bhawan, New Delhi-110011

Foreword

The last seven years has witnessed a radical change in the Urban sanitation scenario in India. Our cities, streets, neighbourhoods have become visibly cleaner, and there has been a marked positive change in attitudes and mindsets of citizens towards 'swachhata'. In fact, Swachh Bharat Mission has emerged as the largest behavioural change programme in the world.

In order to sustain the outcomes achieved under SBM-Urban, we have now embarked on the second phase of our swachhata to realise the vision of Hon'ble Prime Minister. In the second phase, our efforts towards complete Solid Waste Management will continue, with greater focus on issues such as remediation of all legacy dumpsites, where approximately 15,000 acres of land can be reclaimed through remediation of 16 crore tonnes of legacy wastes, setting up Construction & Demolition (C&D) waste plants and procuring mechanical sweepers in large cities, setting up Material Recovery Facilities and waste processing plants, and strengthening of Plastic Waste Management through focus on reuse and recycle of plastic waste and reduction in single use plastic usage, in order to achieve the ultimate vision of Garbage Free cities. Additionally, a new component has been added in this phase - that of used water management, in smaller cities (with less than 1 lakh population). Over the next 5 years, our focus will be on ensuring that no untreated used water is discharged into open lands and water bodies and significant amounts of treated waste water are reused. Parallely, we will be focusing on formalising the informal sector of waste collectors and sanitation workers by integrating them into the formal waste management chain, capacity building, especially for smaller ULBs, and sustaining the Jan Andolan i.e. for large scale citizens engagement.

I hope that States/UTs and Urban Local Bodies (ULBs) will find these guidelines extremely helpful, to facilitate speedier implementation towards achieving the vision of "Garbage Free" India.

Durga Shanker Mishra

New Delhi
25TH October, 2021

MESSAGE FROM NATIONAL MISSION DIRECTOR, SBM (URBAN)

रूपा मिश्रा
संयुक्त सचिव एवं मिशन निदेशक
ROOPA MISHRA
Joint Secretary & Mission Director
Swachh Bharat Mission - Urban



भारत सरकार
आवासन और शहरी कार्य मंत्रालय
निर्माण भवन, नई दिल्ली-110011
GOVERNMENT OF INDIA
MINISTRY OF HOUSING AND URBAN AFFAIRS
NIRMAN BHAWAN, NEW DELHI-110011

Preface

The success story scripted under Swachh Bharat Mission - Urban over its 7-year journey has poised urban India for its leap into the next level of 'Swachhata'. Swachh Bharat Mission - Urban 2.0, launched by Hon'ble Prime Minister on 1st Oct 2021 on the eve of Swachhata Divas has raised the aspirations of citizens, with the ambitious vision of creating "Garbage Free Cities".

2. For time-bound realization of this vision, it was felt necessary to further streamline existing systems and processes so that States/UTs, ULBs and parastatal bodies can duly accelerate the pace of implementation. The new guidelines are based on the following principles: (a) saturation approach with inclusion and "people first" at its core - to ensure that every category of citizen is covered; (b) ease of governance - where Mission is completely technology-agnostic, with sufficient flexibility and discretion given to States/UTs; (c) transparency and accountability - through extensive use of digital interventions for ease of user access and real-time information flow; (d) equity - to ensure that smaller ULBs are provided with adequate opportunities to improve their cleanliness status; and (e) outcome focused - by emphasizing on capacity building and behavior change, and financial support tied to achievement of specific deliverables; to ensure that the Mission's vision is realized, within the defined time frame of 2021-26.

3. These guidelines have evolved after multiple rounds of stakeholder consultations, and incorporating their feedback. This is a dynamic document which can be supplemented from time to time based on the changes in ground realities. I sincerely hope that these Guidelines will constitute the bedrock to achieve the goals of SBM-U 2.0 that will in turn shape the face of urban transformation in India, and collectively, we will realise the vision of "Garbage Free Cities".


(Roopa Mishra)

Joint Secretary & National Mission Director
Swachh Bharat Mission-Urban

New Delhi
26th October 2021

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CHAPTER 1 INTRODUCTION

Provides an overview of achievements of SBM–Urban, so far, and introduces SBM Urban

2.0.

1.1 Background

The Sustainable Development Goals (SDGs) place significant emphasis on sanitation, cleanliness and hygiene. There is evidence globally that better sanitation, hygiene and cleanliness helps in effective control of various vector borne diseases, parasite infections and nutritional deficiencies. There have been studies linking cleanliness and hygiene with reduction in respiratory disorders, gastrointestinal diseases (especially diarrhea), psychological issues and allergic conditions.

Decades ago, Mahatma Gandhi said that '*sanitation is more important than political freedom*'. The launch of Swachh Bharat Mission on 2nd October 2014 by the Hon'ble Prime Minister Shri Narendra Modi was a historic moment for India. It not only placed the issue of sanitation at the centre of the Government's developmental agenda, but also sent out a resounding message- through the Prime Minister's address from the ramparts of the Red Fort.

Swachh Bharat Mission (Urban) (SBM-U) had three major objectives: (a) achieving 100% Open Defecation Free (ODF) status, (b) ensuring 100% scientific Solid Waste Management (SWM), and (c) behavior change through '*Jan Andolan*', by 2nd October 2019, in all statutory towns. The outlay of the Mission was `62,009 crores, including Gol share of `14,623 crores, and minimum State share of `4,874 crores. Balance funds (`42,535 crores) were to be generated through individual beneficiary contribution, PPP and other sources.

1.2 Achievements

This Mission has achieved significant levels of success against the above objectives, with massive engagement of citizens across all categories of society.



1.2.1 India's journey in Solid Waste

Management: the launch of SBM-U, coupled with the promulgation of SWM Rules 2016 C&D waste rules, Plastic Waste Management rules etc, all combined to set the stage for India to accelerate its progress on effective Solid Waste Management. Where unsightly heaps of garbage dotting the urban landscape, wreaking havoc on citizens' health used to be a common phenomenon prior to 2014, today there have been noteworthy improvements. Cities have become visibly cleaner, thanks to the fleet of more than 2.5 lakh collection vehicles that travel from door to door, collecting household and other solid waste. Source segregation of waste, which was negligible earlier, have now captured the imagination of citizens and being adopted by more and more households. An enabling eco-system has been created through policy reforms designed to encourage

conversion of waste to value added products. Awareness has also been generated on critical issues such as source segregation of waste, effective management of construction & demolition waste, reduction in single-use plastic usage, etc.



The results are there for all to see. At the time of its launch, the Municipal Solid Waste (MSW) treatment capacity was 26,000 TPD of waste (18%). This has been enhanced substantially in the last 7 years, and presently, waste processing capacity stands at nearly 1 lakh TPD (70%).

Door to door collection and source segregation have gone up from negligible levels in 2014 to cover 86,228 wards (97%) and 72,493 wards (85%) respectively. Economically weaker sections of society, especially women self-help group members from urban poor communities have more livelihood options, and over 90,000 informal waste workers have been formalized into the waste management value chain.

1.2.2 India's ODF journey: Urban India has become Open Defecation Free (ODF) under SBM-Urban: a fitting tribute to Mahatma Gandhi's vision. Not only has the sanitation objective of the Mission been fulfilled, but lakhs of citizens, especially women, have been provided dignity and safety, and significant reduction in vector borne diseases with

consequent improvement in health parameters have been experienced, setting Urban India on the path of holistic cleanliness. Sanitation workers and SafaiMitras, a largely ignored section earlier, have become a key stakeholder for the Mission, with initiatives being taken to ensure safe, healthy and improved living conditions for them, and providing them with



better livelihood options, dignity and respect. In terms of tangible outcomes, all Urban areas of 35 States/ UTs have become ODF (except 1 ULB of West Bengal), i.e. 4,371 ULBs (out of 4,372) have become ODF. This has been achieved through the construction (including under construction) of 66.86 lakh Individual Household Toilets (113% progress), and 6.40 lakh seats of Community/ Public toilets (CT/ PT) (126% progress).



1.2.3 Third party assessments & standardized protocols: In order to sustain the ODF status and ensure that no slippage occurs, MoHUA has introduced the ODF+ and ODF++ protocols. ODF+ protocol focuses on O&M of CT/ PTs by ensuring their functionality and proper maintenance for continued usage. ODF++ protocol focuses on addressing safe containment, evacuation, transportation and processing of fecal sludge from toilets and ensuring that no untreated sludge is discharged into open drains, water bodies or in open fields.

Water+ protocol helps ensure that no untreated waste (used) water is discharged into the open environment or water bodies. Till 2nd October 2021, 3,309 cities have been certified ODF+, 960 cities have been certified ODF++, and 9 cities have become Water+, through third party verification.



1.2.4 Behavior change through Jan Andolan: SBM-U has emerged as the largest urban sanitation behaviour change program in the world and has been able to accelerate India's progress in ensuring availability and sustainable management of water and sanitation for all (SDG 6). Under SBM-U, the sanitation discourse has been brought onto the centre stage of the nation's development agenda and has helped to transform a government mandate into a '*Jan Andolan*'. Through the personal leadership and involvement of the Prime Minister, SBM has been able to put the sanitation discourse into a '*Jan Andolan*', a people's movement. Massive

mass media campaign, intensive outreach programs, stringent monitoring of Information, Education and Communication (IEC) fund spend, multiple stakeholder involvement including by celebrity brand ambassadors and influencers have been the pillars of its behavior change strategy. However, the major trigger for behaviour change has been the ownership that people from the community have taken when it comes to leading and sustaining change on the ground. Through a judicious use of traditional, digital, social media campaigns and intensive interpersonal communication, SBM-U has

been able to activate all categories of citizens - community volunteers, youth, students, home makers, senior citizens, celebrities, elected representatives, media and the industry. Till date, over 20 crore citizens have been engaged in the Mission, which is testimony to the '*Jan Andolan*' that has been created.



1.2.5 Innovations

A variety of innovations have contributed to the success of the first phase of the Mission, as given below.

1.2.5.1 Swachh Survekshan: An innovative survey conducted by the Ministry of Housing and Urban Affairs (MoHUA) under the SBM-U, to rank cities on various sanitation and cleanliness parameters. The survey has been successful in enthusing cities with a spirit of healthy competition towards the concept of 'swachhata'. Swachh Survekshan has now emerged as one of the largest Urban sanitation surveys in the world, with participation from crores of citizens. As on 2nd October 2021, 6 rounds of surveys have been conducted, in which Indore has

been adjudged the cleanest city for four years in a row. The 7th edition has now been announced, and is set to kick-off.

1.2.5.2 Star rating protocol for Garbage free cities:

The protocol, based on various SWM parameters follows a SMART framework – Single metric, Measurable, Achievable, Rigorous verification mechanism and Targeted towards outcomes. The indicators include all components of SWM, viz. source segregation, scientific processing of waste, dumpsite remediation, penalties & spot fines for littering, compliance by bulk waste generators, cleanliness of drains & water bodies, plastic waste management, and managing construction & demolition waste, etc. which are critical for cities to achieve garbage free status. Till date, 6 cities have been rated as 5-star cities, 86 cities as 3-Star and 65 cities as 1-Star.

1.2.5.3 Citizen connect through ICT initiatives: •

MoHUA has partnered with Google to map all public toilets on Google maps, thereby improving ease of access of sanitation facilities to citizens. Till date, more than 65,500 public toilet blocks across more than 3,100 cities are accessible through Google maps covering more than 70% of India's urban population.



- More than 2 crore citizens have downloaded Swachhata App (citizens' grievance redressal platform for all sanitation and waste management related complaints). Nearly 2.22 crore complaints have been registered and 2.08 crore complaints have been resolved with more than 90% resolution rate.



- MoHUA has deployed e-learning platform to train municipal functionaries across India. The platform hosts over 175 modules on various topics covering sanitation and waste management. More than 90,000 municipal employees and other users have actively used the platform, and successfully completed over 8.8 Lakh certifications (including 7.56 lakh certifications to govt. employees).

1.2.5.4 *Swachhata becomes everybody's business:*

The Mission engaged with a wide variety of stakeholders, from celebrities as brand ambassadors, engaging with influencers in society, partnering with industry partners and corporate entities, as well as social entrepreneurs, citizens, students and youth, women SHG groups, homemakers and senior citizens, to make 'swachhata' everybody's business.

1.2.5.5 *Equity, inclusiveness, addressing special requirements:*

In order to ensure that benefits of the Mission accrue to every citizen in an equitable and inclusive manner, standardized protocols were put in place. For example, the ODF+ protocol specified mandatory gender-friendly, child-friendly, divyang-friendly features to be included in every CT/PT. These protocols, along with mapping of all CT/PTs on Google maps ensured that every citizen's needs were catered to, with nobody left behind.

1.3 *Need for SBM-U 2.0*

NSSO had undertaken an impartial assessment of the Mission in 2018. In its report of the 76th Round (with theme of Drinking Water, Sanitation, Hygiene and Housing Conditions of India: July – December 2018), the study found that 98% of toilets are being used in urban areas. Further, NITI Aayog has evaluated various Centrally Sponsored Schemes, including SBM-U, in its report dated 18th January 2021. Its recommendations include the following:

- a) need for continued investment in IHHLs and CT/PTs;
- b) need for focusing on entire sanitation value chain for inclusive sanitation, which also includes collection, containment, treatment, disposal and recycling of faecal waste and waste water;
- c) need for managing different types of solid wastes (including plastic, C&D and sanitary waste);
- d) need for budgetary support for disposal of legacy waste, management of plastic waste, C&D waste.



The above recommendations suggest, inter alia, the need for Mission to continue.

Moreover, the achievements under SBMUrban need to be sustained in the long run with creation of adequate infrastructure, and their implementation needs to be accelerated manifold.

Hence, SBM-U 2.0 is needed, with the following areas of focus:

- to achieve the vision of a “Garbage Free” Urban India, more focus is required to be given to issues such as source segregation, collection & transportation, and processing, including effective management of Construction & Demolition waste, plastic waste management including reduction in single use plastic, and remediating all legacy dumpsites;
- to sustain the ODF status and prevent slippage, there is a need to ensure that all fecal sludge and waste(used) water are safely contained, transported, processed and disposed off, so that no untreated fecal sludge or used water pollutes the ground or water bodies;
- intensified focus is required to be given to IEC and behavior change through citizen outreach and *jan andolan*, as well as capacity building and skilling

of all relevant stakeholders, towards achieving the Mission’s objectives.

1.4 Mission is now being extended for a period of 5 (five) years, from 1st October 2021 to 1st October 2026, as Swachh Bharat Mission (Urban) 2.0 (SBM-U 2.0), for completing the work remaining, institutionalizing ‘swachh’ behavior and making it sustainable. The Government of India in partnership with States/ UTs and ULBs is committed to make all cities ‘**Garbage Free**’ under SBM-Urban 2.0 in order to contribute to the achievement of the Sustainable Development Goals (SDG) 2030, which will ultimately improve the quality of life and ease of living of urban populations, thus leading to urban transformation.

SBM–U 2.0 will be implemented by MoHUA through States/ UTs in all statutory towns (as per Census 2011, and statutory towns added subsequent to that), in accordance with these guidelines.



CHAPTER 2 OVERVIEW OF SBM-U 2.0

Sets out the overall approach for achieving the Mission’s vision of creating a “Garbage Free” Urban India.

Salient features of SBM-U 2.0 including Mission components, funding pattern and guiding principles are detailed in the following sections.

2.1 Mission : Overall Vision, and Specific Objectives

SBM-U 2.0 will be implemented with a vision of achieving “Garbage Free” status for all cities.

This will involve the following:

- all households and premises segregate their waste into “wet waste” (from kitchen and gardens) and “dry waste” (including paper, glass, plastic, and domestic hazardous waste and sanitary waste wrapped separately);
- 100% door to door collection of segregated waste from each household/ premise;
- 100% scientific management of all fractions of waste, including safe disposal in scientific landfills;
- all legacy dumpsites remediated and converted into green zones;
- all used water including fecal sludge, especially in smaller cities are safely contained, transported, processed and disposed so that no untreated fecal sludge and used water pollutes the ground or water bodies.

In order to achieve this vision, the following specific objectives are targeted to be achieved:

In order to achieve this vision, the following specific objectives are targeted to be achieved: a) Sustainable Solid Waste Management

- i. ensuring cleanliness and hygiene in public places to make all cities clean and garbage free, with 100% scientific processing of MSW;
- ii. reducing air pollution arising out of SWM activities; iii. phased reduction in use of single-use plastic.

b) Sustainable Sanitation and treatment of used water

- i. holistic Sanitation, with end-to end solutions (from discharge, containment, evacuation, transportation to safe disposal of all effluents from toilets);
- ii. treatment of used water¹ before discharge into water bodies, and maximum reuse of treated used water;
- iii. eradication of hazardous entry into sewers and septic tanks, and sustaining

¹ Henceforth, wastewater will be referred to as ‘used water’ in the document and in all subsequent communications.. All formal communication on wastewater management from Centre, States/ UTs and ULBs may refer to “used water management” instead of wastewater management.

elimination of manual scavenging, through mechanization of sewer and septic tank cleaning operations;

- c) awareness creation along with large scale citizen outreach to create 'jan andolan', and institutionalize 'swachh' behavior.
- d) create institutional capacity to effectively implement programmatic interventions to achieve mission objectives

2.2 Mission Components for Funding

2.2.1 Sustainable Solid Waste Management

Objective: To make all cities clean and garbage free, with 100% scientific processing of Municipal Solid Waste

The following components would be eligible for funding:

- i. setting up of waste processing facilities such as MRFs, transfer stations, composting plants, bio-methanation plants, RDF processing facilities, plastic waste processing facilities, waste to electricity, sanitary landfill, etc.
- ii. procuring mechanized sweeping equipment and setting up processing facilities for effective management of Construction and Demolition (C&D) waste (in 154 cities - as per list given in Annex 1)
- iii. bio-remediation/ capping of all legacy dumpsites in all ULBs

Note: No Central Government funds will be available for cost of setting up primary collection & transportation (C&T) systems, including modernization of existing systems.

2.2.2 Sustainable Sanitation

Objective: To sustain Open Defecation Free status in all Statutory towns

The eligible components for funding are (i) construction of Individual Household Latrines (IHHL), (ii) construction of Community and Public Toilet (CT and PT) seats, and (iii) construction of urinals, along with retrofitting of insanitary toilets.

2.2.3 Used water management

Objective: To ensure that no untreated fecal sludge or used water is discharged into the environment, and all used water (including sewerage and septage, grey water and black water) is safely contained, transported and treated, along with maximum reuse of treated used water, in all cities with less than 1 lakh population.

The following components would be eligible for funding:

- i. desludging equipment, for scheduled and need-based desludging of all septic tanks;
- ii. interception and diversion of drains (I&D) (including last mile connectivity for nearest sewer network);
- iii. construction of Sewage Treatment Plants (STPs)/ STP cum Fecal Sludge Treatment plants (FSTPs) for used water treatment.

2.2.4 IEC/ BCC

Objective: To ensure awareness creation along with large scale citizen outreach to intensify 'Jan Andolan' and institutionalize swachh behavior and related set of actions, towards achieving the vision of "Garbage Free" cities

The following components would be eligible for funding:

a) National Level – A part of the overall IEC funds would be retained by MoHUA for the following:

- i. hiring of professional IEC/ BCC agency (on an outsourced basis) for developing IEC strategies, collaterals, content and tools and managing Social Media outreach;
- ii. dissemination of national level campaigns regarding various components of SBM Urban;
- iii. promotion of national level initiatives such as Swachh Survekshan, ODF+/ ODF++/ Water+ and Garbage Free certifications etc;
- iv. organisation of national level people centric events to raise advocacy for Garbage Free India.

b) State/ ULB level – the balance funds can be utilized at State/ULB for:

- i. dissemination of State/ ULB level campaigns regarding various components of SBM-U 2.0, including through interpersonal communication
- ii. empanelment and engagement of NGOs/ CBOs/ CSOs for grassroots mobilization and sensitization regarding SBM-U 2.0;
- iii. promotion of good practices at household/ individual level, collectives, RWAs, schools/ colleges, market associations etc;
- iv. organization of promotional events (such as 'plog' runs, mass triggering activity, competitions etc.) related to SBM-U 2.0.

2.2.5 Capacity Building (CB)

Objective: To create institutional capacity to effectively implement programmatic interventions to achieve mission objectives

The following components would be eligible for funding:

a) National Level – A part of the overall CB funds would be retained by MoHUA for the following:

- i. establishment of Center of Excellence (CoE); ii. funding Chair Professor positions in selected academic institutes and selected areas of expertise;
- iii. training of PHE officials and technical staff of MoHUA
- iv. engaging knowledge partners, empaneling and hiring professional organizations to provide handholding and capacity building support to States/ UTs and ULBs;
- v. creation and maintenance of eLearning portal;
- vi. hiring of technical experts and professional agencies for smooth implementation of Mission, development and maintenance of ICT initiatives, creating videos and documentation for good practices, conducting national/ international exposure visits etc;
- vii. funding Innovative pilots/ Startups as identified by relevant expert committees (subject to approval of NARC); viii. organizing workshops and lectures; ix. procuring third party vendors for field assessments and

certifications for Swachh Survekshan, ODF+/ ODF++/ Water+ protocols, Garbage Free Star Rating protocols, etc;

- x. procurement of Mission Management Unit (MMU); xi. hiring interns for supporting SBM-U 2.0 at various levels; xii. creating and supporting digital outreach tools such as Swachhta App 2.0, Swachh Manch 2.0, etc; xiii. skill development activities as required;
- xiv. any other activity required for creating institutional capacity

b) State level- the following components would be eligible for funding:

- i. procurement of Program Management Unit (PMU) at State/ UT level;
- ii. procurement of vendors/ agencies for Information & Communication Technology (ICT) initiatives, carrying out gap analysis, social audits, conducting workshops, lectures, exposure visits etc;
- iii. hiring young professionals and interns for augmenting their internal human resources and also integrating the youth with SBM-U 2.0;
- iv. hiring of NGOs/ CBOs/ CSOs for grassroots capacity building;
- v. hiring technical institutions for training of manpower at State/ UT levels.

c) ULB level- the following components would be eligible for funding:

- i. hiring young professionals and interns for augmenting their internal human resources and also integrating the youth with SBM-U 2.0;
- ii. procurement of vendors/ agencies for ICT initiatives, carrying out gap analysis, social audits, conducting workshops, lectures, exposure visits etc;
- iii. hiring of NGOs/ CBOs/ CSOs for grassroots capacity building.

It may be noted Administrative and Office expenditure in a year should be kept as a proportion of actual expenditure / output rather than as a percentage of indicative outlay.

2.3 Duration of the Mission

The Mission will be in force for five years, from 1st October 2021 to 1st October 2026.

2.4 Mission Coverage: Cities and Target Population

All Statutory towns in India will be covered under the Mission

2.5 Mission Implementation:

Memorandum of Understanding: States/ UTs and ULBs have signed a tripartite Memorandum of Understanding (MoU) with MoHUA. This MoU represents collective intent of MoHUA, State/ UT and ULBs for creating "Garbage Free Cities", through focus on complete source segregation, complete processing of all waste fractions, including processing of construction & demolition waste, plastic waste along with phased reduction of single use plastic, and remediation of all legacy dumpsites. MoHUA, States/ UTs and ULBs shall align themselves to the roles and responsibilities as per the MoU.

2.6 Mission Strategy: Guiding Principles

Drawing on learnings from SBM-U, the following guiding principles and strategies are proposed to be adopted for implementing components of SBM-U 2.0, towards achieving the ultimate vision of a “Garbage Free” Urban India.

2.6.1 Jan Andolan: Equity and Inclusion at the heart of ‘swachhata’

- a) Bringing citizens to the centre of the Mission, by engaging all categories of citizens (e.g. women and homemakers, students and youth, senior citizens and retired personnel, religious leaders, social media influencers, celebrities and brand ambassadors, SHG groups, market and other industry associations, RWAs, elected representatives, etc.);
- b) All Self-help groups, especially women SHGs, either affiliated to Government programmes (e.g. NULM, NHM) or otherwise, to be used for ground level/ community level facilitations and interpersonal communication initiatives under SBM-U 2.0;
- c) Women leadership to be promoted in various phases of sanitation and waste management, from planning to O&M;
- d) ULBs to give special focus on sanitation and waste management needs of the urban poor (especially slum dwellers) and other vulnerable groups (senior citizens, girls, pregnant and lactating mothers, especially abled, third gender groups, migrants, homeless, construction labour etc.);
- e) All infrastructure created under the Mission, be it toilets, and waste processing facilities, as well as work places to have gender friendly and divyang-friendly features, for ease of access for all;
- f) All infrastructure/ assets created under the Mission to be disaster resilient.
- g) Recyclers and scrap dealers (both formal and informal sectors) to be integrated into the SWM recycling value chain;
- h) Continued focus on behaviour change, with focus on functional outcomes (e.g ODF sustainability, regular desludging of septic tanks, ensuring cleanliness and hygiene in public and community toilets, and source segregation of household waste);
- i) Ensuring safety and well-being of sanitation workers, through
 - i. Elimination of hazardous entry for sewer and septic tank cleaning through mechanization of cleaning operations, provision of protective gear/ PPE kits to sanitation workers, etc;
 - ii. Setting up of helpline numbers to enable citizens to register their request/ complaints and suggestions regarding desludging of septic tanks;
 - iii. Enabling social welfare benefits for all sanitation workers (formal, informal and contractual) such as life and health insurance, supporting formation of sanitation workers’ collectives;

- iv. Mandatorily setting up Responsible Sanitation Authority (RSA) and Sanitation Response Units (SRUs) covering all ULBs.
- v. All categories of Sanitation workers to be given special focus through recognition as Champion safaimitras, and institutionalizing mechanisms for identifying and acknowledging their services.

2.6.2 Competition for Impact: Leveraging healthy competition among cities, with special focus on ULBs of aspirational districts

The Swachh Survekshan in SBM-Urban has demonstrated how a competitive monitoring framework can help to accelerate implementation, while also evolving into a governance tool. This approach will be continued through annual ranking survey Swachh Survekshan, for continuous monitoring and enabling agile governance for delivery of sanitation and waste management services to all citizens, including in aspirational districts.

2.6.3 Swachhata Standards

MoHUA has introduced several standardized protocols which include the ODF, ODF+, ODF++, Water+ and Star Rating Protocol for Garbage Free Cities to ensure standardized outcomes in sanitation and solid waste management across Urban India under SBM-U. These protocols have provided a standard uniform framework to evaluate cities on 'Swachhata' criteria and is acting as a guiding document for cities and city representatives. These standardized protocols (ODF+, ODF++, Water+, Star Rating protocol for Garbage Free Cities, etc) with independent third-party assessment and certification will be

continued for standardization of Mission outcomes.

2.6.4 Capacity Building

Building capacity for sustainable outcomes and aligning ULBs with Mission will be taken up in a focused manner, through:

- i. Strengthening of e-Learning and other proven platforms to build institutional and individual capacities in technical as well as governance aspects;
- ii. Focus on skill development in the sanitation and waste management sector.

2.6.5 Partnerships

The Mission will actively engage with all development partners, knowledge partners, sector partners and industry to leverage their support and assistance to accelerate Mission outcomes on the ground, as well as to strengthen institutional capacities in the SWM and Used water management sectors.

2.6.6 Digital Enablement

Robust ICT enabled governance, already a key feature under SBM-Urban, will be continued with intensified focus, to enable real-time monitoring of assets, to ensure their full capacity utilization, and make the Mission **digital and paperless**. It shall be mandatory for all projects and services to deploy digital tools to provide real time data on efficiency parameters in the operation phase.

2.6.7 Technology promotion, innovation and encouragement for social enterprises

The Mission will encourage adoption of locally innovated, cost-effective solutions and business

models in sanitation and solid waste management by small scale and private entrepreneurs and start-ups, through investments in R&D, technology challenges, and facilitation for inclusion in GeM, in order to take forward the government's vision of an "AatmaNirbhar Bharat", and "Make in India".

2.6.8 Focus on planning:

ULBs will be required to draw up and submit various action plans, based on gap analysis, viz.

- a) City Solid Waste action plans (CSWAP) including inter-ministerial convergence with Government of India programs such as SATAT (MoPNG) (refer **Annex 2** for action plan format);
- b) City Sanitation Action Plans (CSAP) for sanitation and for sewage and septage Management (refer **Annex 3A and 3B** for action plan format), including interministerial convergence with Government of India program of Namami Gange (National Mission for Clean Ganga);
- c) States/UTs would be required to aggregate the action plans to charter the overall journey for **Garbage Free** cities.

2.6.9 Focus on functional outcomes and their monitoring

A key feature of the Mission will be Outcome - based fund releases, where first and second instalments of funds of Central share will be released to States/ UTs subject to achievement of specified targets/ outcomes by States/ UTs and ULBs. The SBM-U MIS portal will be capturing ground-level data to monitor the extent to which

the guiding principles are being taken forward in practice.

2.6.10 Urban-Rural convergence

Infrastructure projects will be taken up on cluster basis to cater to groups of neighboring ULBs and rural areas, so that common waste processing facilities are utilized efficiently.

2.6.11 Creation of enabling environment, through:

- a) creation of Model RFPs that States/ UTs and ULBs can refer to prepare their tender documents;
- b) facilitating procurement by States/ ULBs through GeM;
- c) encouraging start-up ecosystem/ Public Private Partnership in the States/ ULBs: Under SBM-U 2.0, projects under PPP mode are encouraged, to invite private capital in urban infrastructure as well as to bring in private sector efficiency in delivery of urban services and O&M. It is also understood that in the current scenario, there may be a requirement for viability gap funding. For Solid Waste Management, revenue streams such as Compost from organic waste, recycled construction material from C&D waste, etc. can be leveraged, while for used water Management, revenue streams such as compost from fecal waste, sale of recycled waste water, etc. can be leveraged for PPP projects.

2.6.12 Leveraging 15th Finance Commission Grants (both tied and untied) to achieve outcomes

Under 15th FC, cities with 10 lakh population and above are provided with a Challenge Fund of ₹13,029 crores over a 5-year period for meeting service level benchmarks on sanitation and Solid Waste Management.

Further, out of total grant of ₹82,859 crore for ULBs with less than 10 lakh population, 40% of grants are untied, while 60% is tied to national priorities including sanitation and Solid Waste Management. States/ UTs and ULBs should leverage the 15th FC grants in addition to the SBM-U funds, for meeting Mission outcomes. However, it is to be noted that 15th FC grants shall not be used by State/ UTs to meet their minimum share, as given in Table 4.5.2.

2.6.13 Aligning with National Missions and National Priorities:

The SBM-Urban 2.0, through its implementation components will strive to align with national priorities, Missions and programmes, a few indicative examples of which are given below:

- dust mitigation through C & D waste management would align with **National Clean Air Program (NCAP)**;
- focus on encouraging start-ups and social entrepreneurs as part of the Mission's private sector engagement strategy would dovetail with mandates of **Start-up India & Make In India**;
- given its intensified focus on digital enablements to accelerate Mission outcomes and citizen outreach, and integrated approach for monitoring all Mission outcomes, the Mission will be aligning with the mandates of **Digital India, National Urban Digital Mission (NUDM) and Smart Cities Mission**;

- intensified focus on capacity building with skill development at its core will be aligning to mandates of **Skill India**;
- special focus on Ganga towns and accelerating their Solid Waste Management initiatives will align with the **Namami Gange** programme;
- special focus on bio-methanation of wet waste is proposed to be undertaken in alignment with the **SATAT** programme of Ministry of Petroleum & Natural Gas;
- focus on sanitation workers and SafaiMitras to ensure their safety, wellbeing and improved livelihood options will align with the mandates of **Ministry of Social Justice and Welfare**;
- additionally, Mission will work to ensure that all government offices, work places and premises adhere to the standards of Garbage Free protocol, so that 'swachhata' and Garbage Free becomes everybody's business.

2.7 Overall Funding

The estimated cost of implementation of SBM-U 2.0 for its various components is **₹1,41,600 crores**. The Government of India share will be **₹36,465 crores**. The balance amount shall be contributed by individuals as beneficiary contribution, States and UTs/ ULBs/ Private Sector under PPP. Wherever private sector funding is not available, State/ UT will need to provide the necessary funds. Balance funds are to be generated through various other sources of funds including Corporate Social Responsibility (CSR) funds from public/ private sector, external assistance etc.

2.8 Mission Outcomes

The following measurable outcomes are expected to be achieved by the end of the Mission tenure:

- i. All statutory towns are certified at least 3-star Garbage Free, or higher; ii. All statutory towns become at least ODF+;
- iii. All statutory towns with less than 1 lakh population become at least ODF++;
- iv. At least 50% of all statutory towns with less than 1 lakh population become Water+.

स्वच्छ सर्वेक्षा



CHAPTER 3 MISSION MANAGEMENT STRUCTURE

Sets out the overall approach for creating a multi-level governance structure that is empowered to facilitate speed and ease of implementation, including fund release, along with adequate oversight and checks for quality .

SBM-Urban 2.0 will have a four-tier mission management structure as follows:

3.1 National Level

3.1.1 National Advisory and Review Committee (NARC)

NARC, headed by Secretary-MoHUA and comprising representatives of SBM-Grameen and other relevant line ministries will be notified by MoHUA. NARC will consist of the following members:

i. Secretary – MoHUA: Chairman ii. National Mission Director, SBM-Urban

(MoHUA): Member Secretary iii. Joint Secretary & Financial Advisor, MoHUA: Member

iv. Advisor/ Joint Advisor, CPHEEO: Member v. Director, NIUA: Member vi. Members from :

- Ministry of Jal Shakti / Department of Drinking Water and Sanitation (DDWS);
- Ministry of Environment, Forests & Climate Change;
- Ministry of Chemicals and Fertilizer;
- Ministry of Petroleum & Natural Gas;
- Ministry of New & Renewable Energy;
- Ministry of Social Justice;
- Department of Expenditure;
- NITI Aayog;
- DAVP (Ministry of I&B);

The Chairman-NARC may, at his discretion, induct any other members based on requirement.

NARC will meet at least twice a year. The functions of NARC will be:

- overall planning for Mission progress; ii. reviewing and approving State/ UT action plans to achieve SBM-U 2.0 targets;
- advising States/ UTs to explore avenues for innovative resource mobilization of private financing and leveraging land for PPP in sanitation projects; iv. approving installments and release of installment of funds for States / UTs by Central Government under SBM (Urban) 2.0;
- facilitating inter-ministerial convergence for accelerating Mission progress;
- monitoring outcomes and performance of projects sanctioned under SBM (Urban) 2.0; vii. any other issue which may be referred to it by the Government.

NARC may delegate, as it considers appropriate, some of the functions within prescribed limits, to the National Mission Director (NMD) of the SBM National Mission Directorate to ensure speedy implementation of the Mission.

3.1.2 National Mission Directorate (NMD)

- SBM National Mission Directorate will be headed by a National Mission Director (NMD) who will not be below the rank of

Joint Secretary to the Government of India;

- NMD will be the overall in-charge of all activities related to SBM-U 2.0 and will be supported by a suitable team of officers at the National Mission Directorate. Further, NMD will be Member-Secretary of NARC;
- NMD shall be supported by a dedicated Project Management Unit (PMU)/ Technical Support Unit (TSU) with adequate numbers of experts and support staff mainly on an outsourced basis. Technical support to NMD to achieve Mission objectives will be provided by Central Public Health & Environmental Engineering Organisation (CPHEEO).

3.2 State Level

3.2.1 State High Powered Committee (SHPC):

- i. Chief Secretary: Chairman; ii. Principal Secretary (Urban Development): Member;

- v. Principal Secretary (Housing): Member; vi. Principal Secretary (Environment & Forest): Member; vii. Chairman – State Pollution Control Board: Member; viii. Representative of MoHUA: Member; ix. Mission Director of SBM-Grameen at State/ UT level: Member;

- x. State Mission Director: Member Secretary;

The SHPC may co-opt/ induct any other members based on requirement.

- The SHPC will play a majorly strategic role, including oversight of regulatory compliances, and will include:

→ Planning

- i. approving overall plan for achieving SBM objectives; ii. planning for fund flow in the short, medium and long term;

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- SHPC under the chairpersonship of the State's Chief Secretary, and with members drawn from concerned departments shall be responsible for the management of SBMUrban 2.0 at the State/ UT level;
- An indicative composition of SHPC is given below:
 - iii. Principal Secretary (Public Health & Engineering): Member; iv. Principal Secretary (Finance): Member;

- iii. planning for additional resource mobilization;
- iv. selection of clusters so that common infrastructure could be shared between a group of cities/ towns/ contiguous rural areas;
- v. planning for encumbrance free land to be made available for setting up necessary infrastructure.

- Review and Implementation of project progress
 - i. ensuring convergence of action for sanitation and waste management in the urban and rural areas of the State and bringing about inter-departmental coordination for this purpose;
 - ii. conducting independent review and monitoring during execution of projects;
 - iii. ensuring timely audits of funds released and reviewing the “Action Taken Reports” on various audit reports of the mission and other similar reports.
- Capacity building of stakeholders
 - i. facilitating capacity building of parastatal bodies that would help ULBs to implement used water management;
 - ii. reviewing the progress of capacity building initiatives, IEC and public awareness activities under the mission.
- Miscellaneous
 - i. addressing violation of norms and conditions;
 - ii. reviewing legal issues, if any; iii. taking up any other matter relevant for the efficient implementation of the mission, or matters referred to it by the SBM National Mission Directorate.

3.2.2 State Level Technical Committee (SLTC):

For review and sanctioning of projects, there will be a State Level Technical Committee (SLTC), under the Chairpersonship of Principal Secretary – Urban Development, and State Mission Director- SBM as

Convenor. An indicative composition of SLTC is given below:

- i. Principal Secretary: Chairman; ii. State Mission Director: Convenor; iii. Pr. Secretary in charge of SBM-
Grameen: Member; iv.
Pr. Secretary (PHE): Member;
- v. Pr. Secretary (Finance): Member; vi. Pr. Secretary (Environment & Forest):
Member; vii. Representative, SPCB:
Member; viii. Representative of MoHUA:
Member; ix. Representative of relevant parastatal entities.

The SLTC may co-opt/ induct any other members based on requirement.

The role of SLTC will include:

- i. preparation of State action plans with annual timelines to create ULBs ODF+, ODF++, Water+, 3-star Garbage Free; ii. helping ULBs to prepare ULB level CSAP and CSWAP for sanitation, used water and SWM for all cities covered under SBM-Urban 2.0;
- iii. facilitating use of IT enabled tools and solutions for preparation of DPRs;
- iv. reviewing DPRs and projects relating to Sanitation, Solid Waste Management, used water management, IEC and CB as recommended by the ULBs;
- v. approving projects for uploading on Proposal Tracking System (PTS) for fund release.

It is recommended that the SHPC meet at least twice a year, or more, while SLTC meets at least once in 3 months, or more frequently, based on frequency of receipt of proposals from ULBs.

3.2.3 SBM State Mission Directorate

- The SBM State Mission Directorate will be headed by a State Mission Director (SMD) of appropriate seniority. The SMD will also function as Member Secretary to the SHPC, and Convenor to the SLTC;
- The State Mission Directorate shall be supported by a dedicated PMU on deputation/ outsourced basis. The funding for the same can be met from the Capacity building funds under SBM-U 2.0 allotted to State/ UT.

Role of State Mission Director will include the following:

- i. creating / notifying a uniform structure across the state for the planning, designing, project preparation, appraisal, sanction and implementation of sanctioned projects under the mission at the ULB level;
- ii. reviewing CSAP, CSWAP for all cities covered under SBM-U 2.0;
- iii. putting up consolidated State level plan (summation of all ULBs' plans) in terms of physical and financial targets, to SLTC
- iv. planning for additional resource mobilization;
- v. developing IT enabled tools and solutions for preparation of DPRs, or facilitate use of existing tools provided by MoHUA for DPR preparation;
- vi. planning for fund flow in the short, medium and long term under guidance of SHPC;
- vii. recommending proposals for release of instalments of funds for projects under the Mission;

- viii. ensuring convergence of action for sanitation in the state and bring about inter-departmental coordination for this purpose as and when required;
- ix. ensuring timely audits of funds released and review the "Action Taken Reports" on various audit reports of the mission and other similar reports;
- x. empaneling agencies for conducting independent review and monitoring during execution of projects;
- xi. technical scrutiny of DPRs received from ULBs and facilitating convening of SLTC meetings under chairmanship of principal secretary(UD);
- xii. supporting Additional Chief Secretary/ Principal Secretary/ Secretary (Urban Development) in developing and placing agenda for SHPC meetings.
- xiii. any other matter relevant for the efficient implementation of the mission, or matters referred to it by the SBM-U 2.0 National Mission Directorate.

3.3 District Level

- A District Level Committee (DLC) under the Chairpersonship of the District Collector will be set up at the District headquarters;
- The DLC will be responsible for overseeing all aspects of convergence between SBM-

28 Urban 2.0 with SBM-Grameen, while implementing the respective Missions.

3.4 ULB Level

- The Municipal Commissioner (MC)/ Executive Officer (EO) of a ULB shall be the administrative authority responsible for implementing all components of the Mission at the ULB level.
- The MC/ EO will also be responsible for smooth and seamless implementation of all Mission components.
- The responsibilities of the MC/ EO will include the following:
 - i. facilitating capacity building of Municipal staff;
 - ii. conducting gap analysis and preparation of CSAP and CSWAP;
 - iii. preparation of DPR; iv. coordinating with State for getting sanctions from SHPC/ SLTC, and fund release for projects;
 - v. implementing projects in a timebound manner, along with continuous monitoring to ensure sustained functionality;
 - vi. collection of user charges for ensuring financial sustainability of operations;
 - vii. awareness and citizen engagement; viii. setting up City Sanitation Committees with participation of selected citizen representatives for periodically reviewing and monitoring efficient functioning of assets created.

Public Financial Management System - PFMS
 O/o Controller General of Accounts, Ministry of Finance

As the Nation Celebrates
Azadi Ka Amrit Mahotsav
 Let us SING THE NATIONAL ANTHEM

Table Transactions
 Count: 5,40,216
 Amount (INR) ₹ 1,498

FY 2021-22 Transactions
 Count: 40,50,200
 Amount (INR) ₹ 1,41,000

Make your Payments
 Track PFMS Payments
 Help Desk

Get Login Details & Agency ID details
 Register Payment ID Agency

Direct Benefit Transfer

Direct Benefit Schemes

Public Financial Management System - PFMS
 O/o Controller General of Accounts, Ministry of Finance

Realizes good governance

Table Transactions
 Count: 5,40,216
 Amount (INR) ₹ 1,498

FY 2021-22 Transactions
 Count: 40,50,200
 Amount (INR) ₹ 1,41,000

Make your Payments
 Track PFMS Payments
 Help Desk

Get Login Details & Agency ID details
 Register Payment ID Agency

Direct Benefit Transfer

Transferring subsidies directly to the users through the bank/Post office account is Direct Benefit Transfer. It aims to directly transfer of funds to the users by bypassing efficiency, effectiveness, transparency and accountability in the Government system through the PFMS. Government should address the critical issues in health, water, power, education and rural connectivity, as a core flagship of Direct Benefit Transfer, thereby cutting through red tape and duplication.

Direct Benefit Schemes

SELECT ACTION

PLEASE CHOOSE THE SECTOR FOR WHICH YOU WANT TO INITIATE PROPOSAL

Construction & Demolition (C&D) Waste
 Solid Waste Management
 Used
 Remediation
 Capacity Building
 Air Quality
 Hazardous Waste Management
 Mechanical Sweeping

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CHAPTER 4 FUNDING PATTERN

Sets out the overall principles for release of funds by Centre to States/ UTs, and leveraging of 15th FC grants by States/ UTs and ULBs to augment their fund availability for

various Mission components.

Fund allocation under SBM-U 2.0 to States/ UTs, along with entry conditions for ULBs to receive funding, fund sharing pattern and method of leveraging funds from other sources to fund Mission components are outlined below in this chapter.

4.1 Entry level conditions In order to participate in SBM-U 2.0, the following entry conditions would need to be mandatorily fulfilled by States/ UTs and ULBs:

4.1.1 aligning property tax floor rates with market rates, with periodic revisions in line with GSDP, as recommended by 15th FC * (refer Note below)

4.1.2 levy and collection of user charges for services provided, to recover operational costs, with periodic increase; * (refer note below)

4.1.3 adoption of Public Financial Management System (PFMS) by all ULBs.

* **Note:** Notification of property tax floor rate by States / UTs along with its adoption by ULBs and notification of user charges to recover a component of operational cost will be made mandatory conditions for Central Assistance. The States/UTs will have to implement them in first two years from launch of continuation Mission to be eligible for Central assistance from third year onwards

For user charge collection against 4.1.2 above, ULBs may, at their discretion, cross-subsidise urban poor families and economically weaker sections, the quantum of subsidy to be decided by the ULB.

4.2 State Nodal Account (SNA) and PFMS

To receive funds under SBM-U 2.0, all transactions will have to be made through DBT and/ or EAT modules, as applicable. In this respect, revised procedure for fund release as per Ministry of Finance OM number F. No. 1(13) PFMS | FCD/ 2020 dated 23rd March 2021, or as updated from time to time, will be applicable.

4.3 Public Private Partnership (PPP)

4.3.1 Under SBM-U 2.0, projects under PPP mode are encouraged, to invite private capital in urban infrastructure as well as to bring in private sector efficiency in delivery of urban services and O&M. It is also understood that in the current scenario, there may be a requirement for viability gap funding. For Solid Waste Management, revenue streams such as Compost from organic waste, recycled construction material from C&D waste, etc. can be leveraged, while

for waste water Management, revenue streams such as compost from fecal waste, sale of recycled waste water, etc can be leveraged for PPP projects.

4.3.2 All ULBs must first explore possibility to take up the projects in a PPP

- mode (including cluster level projects catering to ULBs of varying population categories) for the above reasons. Government of India funds as per prescribed funding pattern will be available for claiming VGF. Payment of VGF from Central assistance will be 50% of the gap funding subject to maximum of 30% of project cost, or as could be the prevalent Central government guidelines. This could be paid in normal PPP mode or Hybrid Annuity Model (HAM) through escrow account. Government of India guidelines for financial support to PPP projects under VGF scheme can be referred for this purpose.
- 4.3.3 Release of VGF grants will be as per contractual arrangement with the private partner and as approved by State Government. However, it will be ensured that funds do not remain parked with the State Governments.
- 4.3.4 For cluster projects taken up on EPC mode, the fund release will be on prorata basis, depending on population category of ULBs proposed to be covered under the cluster.
- 4.3.5 State Governments can also add or generate funds for ULBs as additional funds over and above the minimum share prescribed for each component, required to make the projects viable.
- 4.3.6 Adequate funds will be released on acceptance of the proposal of the State Government for Toilets, SWM and Used water management projects.
- 4.3.7 States will release the Central Government share of VGF after adding their share in conformity with the contractual requirements of the project taken up on PPP mode.
- 4.3.8 In case State Government feels that a project is not suitable to be taken under PPP methodology, it may then consider the GoI share (as per funding pattern) to be treated as Grant from GoI to the ULB. It will be up to the State Government and ULB to arrange for the balance resources for the project, which must be ensured at the time of approving a project. Government of India guidelines for posing, implementation & monitoring of Externally Aided Projects (EAP) can be referred for this purpose.
- 4.4 **Allocation of funds:**
- 4.4.1 The mission will be implemented with the following classification of funds for various components:

S. No.	Classification	Total Amount for Mission Period (` in crore)
1.	Project Fund (for sanitation, SWM and Used water management)	1,25,430
	• For SWM	39,837
	• For sanitation	5,610
	• For used water Management	79,983
2.	Public Awareness & IEC Activities	6,271
3.	Capacity Building & A&OE	3,763
4.	Committed Liability (Carried over from SBM-U)	6,136 *
5.	TOTAL OUTLAY	1,41,600

* It may be noted that the 'Committed liabilities' will only be valid for release till 31st March 2023, beyond which the unclaimed amount would lapse.

4.4.2 The funding for SWM has been decided in a manner as to leverage the investments already made under SBM-Urban in SWM, whereas for used water management, the funding has been decided keeping in view the fact that it is a new component, requiring considerable ground work to be done.

4.5 Fund Sharing

The Centre: State distribution of the Project fund will be as under:

- 90%:10% for ULBs in NE/Himalayan States,
- 100% for UTs without legislature,
- 80%: 20% for UTs with legislature,
- 25%: 75% for 10 lakh plus ULBs
- 33%: 67% for ULBs with 1 lakh to 10 lakh population (both included),
- 50%: 50% for ULBs with less than 1 lakh population

The structure of fund sharing among Centre and States/ UTs for various components are given below:

4.5.1 For IHHLs

S. No	Type of State/ UT	Central Share per unit (₹)	State/ UT share per unit (₹)
1.	UTs without legislature	4,000	1,333 (to be borne by Centre)
2.	UTs with legislature	4,000	1,333
3.	North East and Hilly States	10,800	1,200
4.	Other States	4,000	2,667

Note: - The estimated cost of IHHL is assumed to be ₹30,000 per unit

4.5.2 For CT/ PT/ Urinals/Used water management / SWM

SI No	Type of State/ UT	Central Share per unit * (%)	Minimum State/ UT share per unit (%)	Balance (from 15 th FC funds, ULB share, pvt sector share)
1.	UTs without legislature	100	0	-
2.	UTs with legislature	80	20	-
3.	North East and Hilly States	90	10	-
4.	Other States: ULBs with population of above 10 lakh	25	16	59
5.	Other States: ULBs with population between 1 - 10 lakh (both included)	33	22	45
6.	Other States: ULBs with population of less than 1 lakh	50	33	17

4.5.3 For IEC and CB

SI No	Type of State/ UT	Central Share (%)	State/ UT share (%)
1.	UTs without legislature	100	0
2.	UTs with legislature	80	20
3.	North East and Hilly States	90	10
4.	Other States	60	40

4.5.4 It is to be noted that the Central share of funds will be released in two (2) / three (3) instalments. Release clauses for each component have been detailed out in the respective chapters for each component. For IHHL, release clauses for 2 instalments are described in Section 5.1.6.1 and 5.1.6.2; for CT/PT/ Urinals, the clauses are described in 5.2.7.3 and 5.2.7.4; for SWM, the clauses are described in Sections 6.9.2, 6.9.3 and 6.9.4; for used water management, the clauses are described in Sections 7.10.2.1, and 7.10.2.2, and 7.10.2.3; for IEC, the clauses are described in Sections 8.7.3 and

8.7.4; and for CB, the clauses are described in Sections 9.16.3 and 9.16.4.

4.6 Others

4.6.1 The total funds allocated for IHHL, CT/ PT and Urinals will be part of a consolidated package, with States/ UTs having the flexibility to interchange their fund requests between any type of toilet. It may be noted that 25% of the allocated amount will be kept aside as 'floating funds' at Gol for sanitation, to cater to additional funding requests from States/ UTs for additional toilets (IHHL, CT/ PT/ Urinals)

- 4.6.2 For the balance amounts required for all the above component, States/ UTs and ULBs will need to leverage 15th FC funds, private sector participation or any other source of funds.
- 4.6.3 MoHUA will endeavour to earmark at least 10% of total fund allocation for each year for NE and Himalayan States.
- 4.6.4 Distribution of Project Fund across States/ UTs are at **Annex 4**. The distribution is calculated on the basis of weighted average of (a) percentage of urban population of State to total urban population of India (90% weightage), and (b) percentage of area of State to total area of India (10% weightage).
- 4.6.5 Sanction of projects (DPR):
- 4.6.5.1 Projects will be sanctioned by SLTC as prescribed in these guidelines.
- 4.6.5.2 Only new projects will be considered under the Mission and it will be ensured that there is no duplication. Projects will be considered as “new” if they are not already sanctioned and ongoing under State and central schemes and externally-aided programmes/ projects.
- 4.6.5.3 For Detailed Project Reports (DPRs) to be prepared for project sanction, fund release and monitoring, the cost of DPR preparation and their vetting through empaneled agencies/ institutes for the projects under the Mission shall be reimbursed from the project funds of respective components. Cost of DPR preparation should be discovered through open competition, and subject to an upper limit as may be prescribed separately by MoHUA from time to time.
- 4.6.5.4 States/ UTs will be required to present their consolidated action plan for achieving all Mission components to NARC within 6 months of submitting their State vision for the specific component.
- 4.6.5.5 States/ ULBs are encouraged to use IT-enabled solutions for DPR preparation.
- 4.6.6 Emerging/ innovative solutions and technologies may be shared by States and ULBs for consideration by the Technology Evaluation Committee (TEC) for Solid & Liquid waste management set up by MoHUA. Some of these potential technologies would be extended financial support to test them on pilot basis subject to recommendations of the TEC, and approval of NARC.
- 4.6.7 **Amendment in nature of projects:**
- 4.6.7.1 The SLTC will have the flexibility to re-determine the targets for IHHLs and CT/ PTs/ Urinals, subject to State-wise overall funds envelope (sum of allocation for IHHL and CT/ PTs for the entire mission period) remaining unchanged.
- 4.6.7.2 Under special circumstances, States/ UTs may change nature (costing, type) of projects for which funds have already been released by MoHUA, but before actual expenditure is incurred. In order to effect such changes, the amendments of the project should be approved by SHPC and sent to MoHUA for concurrence, before the revised project is implemented.
- 4.6.7.3 States/ UTs may also redistribute released funds among its ULBs, subject to SHPC approval of such redistribution, and subsequent concurrence by

MoHUA, before actual expenditure. This will ensure fungibility of funds and optimum utilization of resources towards achieving the Mission objectives.

CHAPTER 5 TOILETS (IHHL, COMMUNITY/PUBLIC TOILETS, URINALS)

Sets out a saturation approach to ensure that every citizen of Urban India has access to safe sanitation infrastructure, along with access to safe containment facilities for fecal sludge.

5.1 Individual Household Latrines (IHHL)

5.1.2.2

5.1.1 Target Group

The target group for construction of Individual Household Latrines (IHHLs)/ Toilets is:

- (i) new independent households;
- (ii) all new households who might have migrated to urban areas;
- (iii) all households with previous access to community toilets, who might want to have their own facility;
- (iv) all households with insanitary latrines.

Eligible beneficiary households will be provided toilets under this scheme irrespective of whether they live in authorized/ unauthorized colonies or notified/ non-notified slums. Under SBM-U 2.0, tenure security issues are to be de-linked from benefits. **Construction &**

5.1.3

5.1.3.1 Design

Household toilets constructed will have two main structures: (i) toilet superstructure (including pan and water closet), and (ii) substructure with septic tank and soak pit (on-site treatment system), or a connection to an existing underground sewerage system. The on-site disposal system comprising of a septic tank with soak pit will be designed as per IS -2470 Pt-1 & 2 (in the event that a sewerage system is not available within 30 meters from the proposed household toilet).

5.1.2 Selection of Beneficiary Households

5.1.2.1 Selection of Beneficiary Household

shall be as per following guiding principles:

- i. ULBs to conduct gap analysis to evaluate the number of new IHHLs required;
- ii. In case a family has received funds for construction of IHHL under any earlier scheme, the same family would not be eligible to receive funds for toilets again;
- iii. A ULB which has been declared at least ODF+ may also request funds under SBM-U 2.0 provided the survey reveals the need for additional IHHL units.

5.1.3.2

Wherever a sewerage system is available within 30 metres from the proposed household toilet, only the toilet superstructure may be constructed and toilet connected to the existing sewerage system. In case there are more than one house beyond 30 meters from nearby sewer line, ULB will endeavor to connect these houses with nearby sewerage system by pooling resources

from beneficiary households including from State/ UT & ULB's shares.

5.1.3.3 All IHHL being constructed should be built in tandem with water supply arrangements in ULBs. Beneficiaries will be responsible for

the operation and maintenance of the household toilets. Additionally, ULBs may explore innovative household toilet models brought out by private sector players/ entrepreneurs, as long as they

meet the accepted scientific standards of safe disposal.

5.1.4 **Operation & Maintenance**

ULB will need to carry out periodic desludging of pits (as per ODF++ protocol) to prevent slippage or slide-back to OD practices.

5.1.5 **Application for IHHL**

5.1.5.1 ULB must ensure Aadhar seeding of all IHHL beneficiaries. All financial incentives (government and/ or private) for this component will be deposited directly (by electronic clearing service) into the Aadhar-linked bank accounts of the beneficiary households;

5.1.5.2 Application for IHHL may either be made through UMANG app, or through the mSBM app and uploaded online on the SBM portal. Final verification of the construction of the household toilet should be supported by location- based technologies, wherein geo-tagged photographs of the construction, along with the applicant are taken.

5.1.5.3 These photographs must be uploaded through the UMANG or mSBM app, to the SBM-Urban 2.0 MIS;

5.1.5.4 The ULB shall verify each application for genuineness of requirement before releasing any funds. Verification of the application should be completed within 7 working days of its submission by the beneficiary.

5.1.6 **Fund Release Mechanism for IHHL** (as mentioned in section 4.5.4)

5.1.6.1 50% of the Central Government funds will be released to the State/ UT as 1st instalment, on fulfilment of the entry

conditions given in Section 4.2, and following additional condition:

- ULBs to upload their latest progress data on the MIS portal.

5.1.6.2 The remaining 50% of Central Government funds as 2nd instalment shall be released to the State/ UT, along with fulfilment of following conditions:

- Documentary evidence of 50% completion of construction target (State/ UT level);
- State has expended 75% of State/ UT share;
- UC submitted by State / UT for 75% of first instalment released.

5.1.6.3 States/ UTs to invite private sector funds/ CSR to the maximum extent possible for any additional IHHL that may be required.

5.2 **Community Toilets (CTs)/ Public Toilets (PTs) & urinals**

5.2.1 **Target Group**

While CT/ PTs and Urinals have been constructed under SBM-U, it is expected that there will still be some households which are at considerable distances from the nearest CT. Higher influx of floating population is also expected in Urban areas. Hence, additional number of CTs, PTs and Urinals will be targeted for construction under SBM-U 2.0 for better accessibility and functionality, even if ULB is at least ODF+ certified. In this context, it may be noted that ULBs should prioritise IHHL access for all households, and only in cases of land

constraints should CTs be provided, with seats earmarked for selected families so that they the families feel a sense of ownership and maintain them as their own.

5.2.2 Location of CTs, PTs, Urinals

5.2.2.1 ULBs will need to identify all possible Open Defecation/ Open Urination vulnerable points (yellow spots) (“OD/ OU hot spots”) and make provisions for adequate numbers of CTs/ PTs and Urinals at easily accessible distances, which in turn will lead to elimination of hotspots.

5.2.2.2 ULBs should ensure that:

- i. every household dependent on CTs has access to one within a maximum distance of 500 metres from their homes, and
- ii. every public place (bus stops, petrol pumps, metro stations, market places, religious and tourist locations, health centres, citizen centres) has at least one PT/ Urinal available within 500 metre distance, and that the facilities are kept clean, functional and open for public use.

5.2.3 Aspirational toilets

ULBs will have to provide additional PTs in **all tourist destinations/ places with high footfall/ iconic cities/ religious destinations, etc.** It is suggested that these additional PTs be made in “aspirational category”, with the following indicative features:

- a) Walls and floors are clean and stain

/ graffiti free

- b) Low height toilets/Indian toilets and basins for children
- c) Plants / shrubs in the vicinity of toilet complex are well maintained
- d) Space earmarked for advertisement for revenue generation
- e) Hand dryer / paper napkin available
- f) Ladies’ toilets have vending machine for sanitary napkins
- g) Incinerator facility available for disposal of used sanitary napkins for toilet having > 10 seats
- h) Toilet identification number, name of ULB under which jurisdiction toilet is covered, ward number and maintenance authority prominently displayed for each toilet block
- i) SMS based feedback with number displayed on which SMS has to be sent

Annex 9 details out all the features that are required for a toilet to be as “aspirational toilet”.

5.2.4 Central assistance as per the norms outlined in paragraphs 5.2.5.2 & 5.2.5.3 below will be provided for such PTs. ULBs will be required to indicate the additional footfall expected at these tourist locations while preparing the DPRs for fund release.

5.2.5 Construction & Design

5.2.5.1 Care should be taken to ensure that all CT/ PT/ Urinals being constructed under SBM-U 2.0 are built in tandem with water supply arrangements of the ULB. These facilities should also have adequate provision for separate toilets & bathing facilities for men, women, transgenders, and the disabled, as provided in the ODF+ protocol.

5.2.5.2 CT/ PT blocks will consist of a given number of toilet seats (as per requirements), toilet superstructure including the pan and water closet, and a substructure (either an on-site treatment system, or a connection to underground sewerage system) shared by all the toilet seats along with facilities for hand wash.

5.2.5.3 The norms for connection of the superstructure to an on-site system or connection to an underground sewerage system as defined in paragraph 5.1.3 above will apply here.

5.2.6 Operation & Maintenance

There should be a digital system for capturing user feedback on a regular basis, multiple times per day, for each CT/ PT, with each

feedback tagged to a unique user ID. Additionally, the Swachhata App may be used to provide feedback/ register complaints regarding poorly maintained or non-functional CT/ PTs.

5.2.7 Fund Release Mechanism for CT/ PT/ Urinals (as mentioned in section 4.5.4)

5.2.7.1 Central government funds for the construction of CT/ PT seats & Urinals will be in the following form:

- 90% for ULBs in NE/ Himalayan States,
- 100% for UTs without legislature,
- 80% for UTs with legislature,
- 25% for 10 lakh plus ULBs,
- 33% for ULBs with 1 lakh to 10 lakh population (both included),
- 50% for ULBs with less than 1 lakh population

5.2.7.2 The unit cost of CTs/ PTs will be calculated at ₹1,50,000 per seat, and at ₹2,50,000 per seat for aspirational PTs, while base unit cost of Urinals will be calculated at ₹32,000 per seat wherein the VGF/ Grant will be as per the proportions given in paragraph 5.2.5.1 above. ULBs may also provide mobile toilets or eco-friendly toilets for use as CT/ PTs.

5.2.7.3 The 1st instalment of 40% of allotted Central share from MoHUA

will be released to the State/ UT provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:

It is envisaged that at the end of the Mission, all ULBs will become ODF+.

- City Sanitation Action plans (CSAP) Part 1 (approved by SLTC) along with gap analysis;
- ULB to upload their latest progress data on the MIS portal
- declaration from Municipal Commissioner/ EO of ULB that all existing CTs/ PTs & Urinals in the ULB are fully functional, with provision for water;
- SLTC approved & complete proposals for a city (based on gap analysis), along with O&M plans for at least 5 years for maintaining functionality of CT/ PT;.
- ULB has provided for encumbrance free land for construction of the CT/ PT complexes and Urinals.

5.2.7.4 The 2nd instalment of 60% of allotted Central share from MoHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- Documentary evidence of 30% completion of construction target;
- UC for 75% of first instalment fund released;
- State has expended 75% of its allotted share;
- City has been certified as ODF+ (or above) at least once.

5.3 Expected Outcome



CHAPTER 6 SOLID WASTE MANAGEMENT

Sets out the overall approach to be taken by ULBs to put in place systems and processes to ensure that Urban India becomes Garbage Free.

6.1 Municipal Solid Waste and its management

Approximately 1,32,000 Metric Tonnes of MSW is generated from all urban areas of the country, which translates to about 300-550 grams per person per day. The waste

lower in smaller cities. The general trend of per capita waste generation is as follows:

S. No.	ULB Population Class	Typical Per Capita Waste Generation (in grams)
1.	>10 Lakh	550
2.	1 to 10 Lakh	450
3.	< 1 Lakh	300



generation is higher in larger cities and

6.1.1 Components of MSW Management:

The table below gives a tabular depiction of various components of Solid Waste management systems:

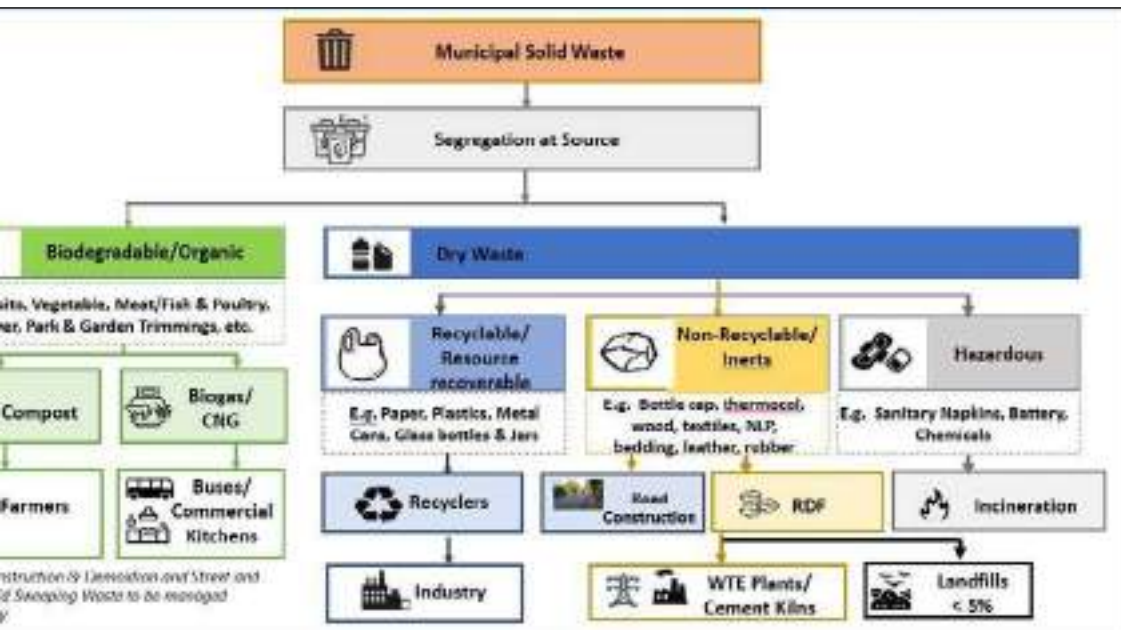
S. No.	Components	Description
1.	Source Segregation	<p>Source Segregation of waste at the place of its generation in following categories is fundamental to MSWM:</p> <ul style="list-style-type: none"> • Biodegradable wastes (wet waste - food waste, fruits & vegetables and parts thereof, meats, etc.), • Non-biodegradable wastes (dry waste - plastics, paper, cardboard, rags, glass, metal, wood and inert waste, etc.) • Sanitary waste and disposables thereof • Domestic hazardous wastes (such as aerosol cans, paint material, discarded medical supplies etc.) • Construction & Demolition waste • Generators of E-waste (including fluorescent and mercury containing bulbs & lamps) shall not mix e-waste with any other waste but deposit the same at e-waste collection centre
2.	Door to Door Collection	Collection of solid waste from the door step of households, apartments, housing societies, shops, commercial establishments, offices, institutional or any other nonresidential premises, including collection of such waste from entry gate or a designated location on the ground floor in a housing society, multi storied building or apartments, large residential, commercial or institutional complex or premises;
3.	Separate transportation	Transportation of the segregated waste collected from source premises in specially designed, partitioned and covered transport vehicles, to the respective processing facilities.
4.	Waste Processing	Processing of different fractions of MSW i.e. dry, wet, C&D and plastic as per Solid Waste Management Rules 2016. Processing is to be done differently for different categories of waste.

S. No.	Components	Description
4(i).	Wet Waste	<ol style="list-style-type: none"> 1. Home / Family sized Decentralized Composting Community /larger Decentralized (Less than 5 TPD) composting facilities 2. Centralized composting facilities (More than 5 TPD) 3. Bio-methanation - most suited for segregated wet waste like food waste from hotels/restaurants, and waste from dairy, vegetable market, meat/fish markets, mela waste etc.
4(ii).	Dry Waste	<ol style="list-style-type: none"> 1. Material Recovery Facility (MRF) is a facility where non-compostable solid waste can be temporarily stored and processed by authorized agencies for further segregation, sorting and recovery of recyclables/nonrecyclables/inert such as segregation of plastic, glass, metal, paper, clothes etc. The recyclable fraction like plastics and metals are to be sent to authorized recyclers. 2. The non-recyclable/ combustible waste is to be sent to Waste to Energy plant/ Cement Kilns as Refuse Derived Fuel (RDF). <ol style="list-style-type: none"> i. Incinerators: Sanitary napkins and Diapers are to be separated, specially marked and sent to a bio-medical waste/ waste to electricity plant for incineration. ii. Waste to Electricity plants: The combustible fraction of waste out of MRF/ Processing Facilities which is non-recyclable and has calorific value of 1,500 Kcal per kg and above can be used in waste to electricity plants.

4(iii).	Sanitary Landfill	<p>Only the inert waste (mostly from street sweeping) and process rejects (in no case should this exceed 20% of total waste) which are not suitable for any of the above dry and wet waste treatment processes can be sent to sanitary landfills.</p> <p>It is recommended that SLFs are set up as separate business entities levying tipping/ gate fee as per the quantity and quality of waste received at the facility. Free use of SLF / LF may not be allowed, to increase the processing & recycling efficiency by the ULBs and its contractors.</p>
S. No.	Components	Description
4(iv).	C&D Waste	<p>Construction & Demolition (C&D) waste is generated whenever construction/ demolition activity takes place such as building roads, bridges, highways, flyovers, subway and redevelopment of old structures. It consists mostly of inert, non-biodegradable material such as concrete, soil, steel, wood & plastics, bricks & mortar etc. C&D waste is sorted into different streams and sent to C&D waste processing plant.</p>
5.	Bulk Waste Generators	<p>All Bulk waste generators have to manage their own wet waste and also make own arrangements for dry waste management.</p>
6.	User Fee	<p>Suitable User Fee and relevant penalty provision needs to be notified by all ULBs as per Rule 15 (ze) (zf) of SWM Rules 2016 on the lines of advisory circulated by MoHUA.</p>

6.1.2 Hierarchy and Process Flow of Municipal Solid Waste Management:

The basic principles involved in scientific solid waste management are given below which is called the Hierarchy of Integrated Solid Waste Management (ISWM).



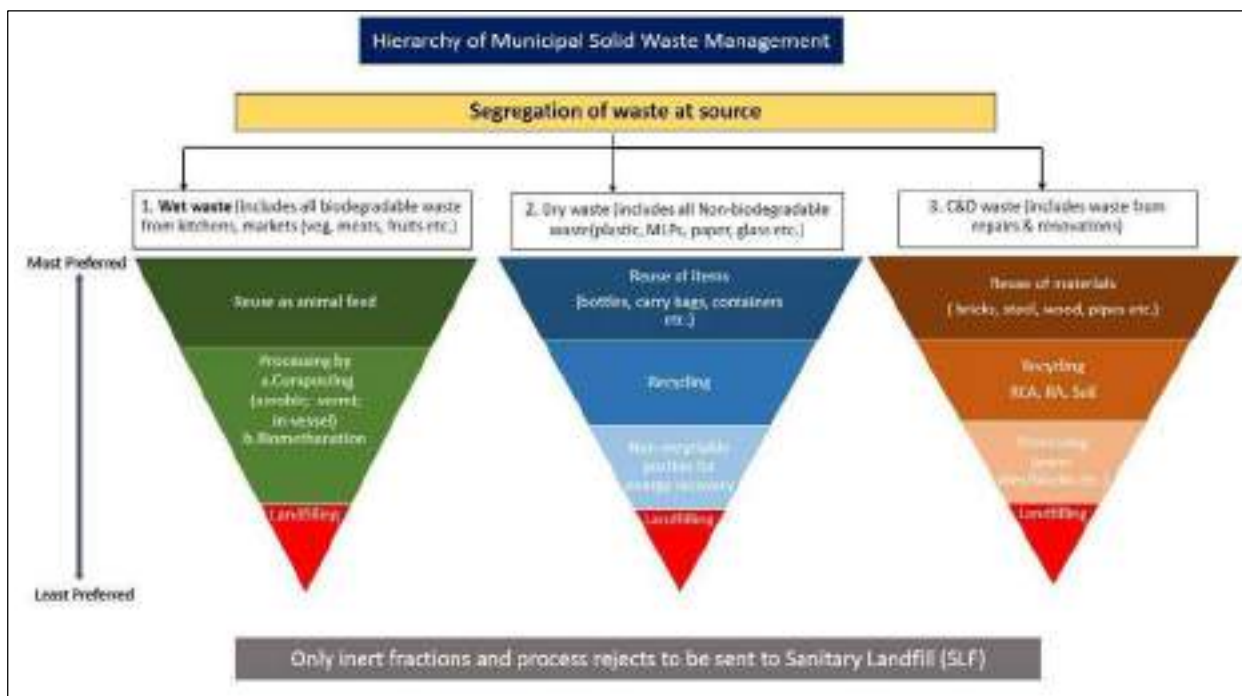
Process Flow of Municipal Solid Waste Management

6.2 General Principles for Designing of Waste

6.2.1 The composition of Municipal Solid Waste in

Processing Facilities:

India is as follows:



- Organic / compostable fraction: 40 – 60%;
- Recyclable/ Recoverable Resource fraction: 20 – 30%;
- Non-Recyclable/ Combustible (RDF): 10 – 20%;
- Construction & Demolition (C&D) waste & unusable combustibles: 5 – 15%.

for creation of common infrastructure, keeping in mind the techno-commercial viability. For ULBs with population of more than 3 lakh (including ULB clusters), it is recommended that the wet waste will be processed using Biomethanation, to produce biogas/bioCNG for higher economic returns.

6.2.2 City Solid Waste Action Plan (CSWAP):

The vision of SBM 2.0 for scientific MSWM is that cities will ensure segregation of waste at source, process waste in segregated fractions, recover resources and recycle to the maximum extent and minimize landfilling to 20% or less (including reject material coming out of processing). Cities must be seen to be clean 360°, duly remediating the legacy dumpsites. Further, Cities with nonconforming air quality need to replace the common manual street sweeping with air quality friendly mechanical sweeping and process the C&D wastes as well.

6.2.2.1 As a first step in fulfilling the vision, ULBs will prepare the CSWAP duly identifying the projected waste generation, segregation as wet and dry waste, the available processing capacity and the gap thereof. The CSWAP should also capture the gaps in dumpsite remediation, mechanical sweeping and C&D waste processing facilities. Funds will be available for addressing the assessed gaps.

6.2.2.2 Cluster of ULBs can also be considered

6.2.3 CSWAP will identify sanitary landfills (SLFs) which shall be set up preferably on cluster model. In order to ensure economies of scale and operational efficiency, State/ UTs may encourage creation of common infrastructure to cater to a group of small ULBs and their surrounding rural areas (in convergence with SBM-Grameen), including shared O&M of the infrastructure. In this SLF matter, the “one-district-one-operator” approach may also be considered.

6.3 The templates of CSWAP for various funding components of SWM is at Annex 2. The targeted outcomes of scientific MSWM will also be brought out in the CSWAP such as:

- timelines for implementation of required infrastructure
- timelines for achieving stages of Star Rating under GFC protocol. A minimum 3 Star Rating will be achieved before the end of mission.

As achieving the mandatory GFC 3 Star Rating is linked to the creation of required infrastructure identified in the CSWAP, Cities and States /UTs need to examine strategic implementation plans. Bottlenecks such as land and environmental clearances need to be taken up in parallel with administrative and financial approvals so that the grounding of project works is not delayed. States/ UTs may develop a matrix of implementation issues for all their ULBs and select ULBs for their annual

Action Plans which will mature to immediate implementation.

SBM 2.0 interventions in MSWM envision discrete project categories such as (i) MSW processing plants (ii) Legacy Dumpsites Remediation (iii) C&D Waste Processing plants (iv) Mechanical Sweepers and (v) SLFs which can be implemented simultaneously as independent projects, and also have vastly different implementation characteristics and different sets of vendors/contractors. Cities and States/ UTs need to link such different implementation factors into their Annual Action Plans.

Considering these factors, the State / UT SBM Urban Mission Directorates are advised to prepare immediately ULB-wise CSWAPs and the corresponding implementation schedules.

6.6 Cities and States/ UTs can also develop implementation strategies responsive to the annual Swachh Survekshan to improve their rankings therein.

6.6.1 CSWAPs prepared duly incorporating the planned phasing of different modules will be the input for State/ UT Annual Action Plan and will be part of the proposal taken to SHPC for approval. State SBM Urban Mission Directorate will combine all CSWAPs and furnish the State Action Plan for achieving the mandatory 3 Star Rating of all ULBs in the State, spread across the 5 years of Mission. The State/ UT Annual Action Plans covering all ULBs will be approved in the first three years of mission, leaving a cushion of two years for implementation of outputs and achieving the mandated outcomes.

6.6.2 CSWAPs will also identify sanitary landfills (SLFs) which shall be set up preferably on cluster model. In order to ensure economies of scale and operational

efficiency, State/ UTs may encourage creation of common infrastructure to cater to a group of small ULBs and their surrounding rural areas (in convergence with SBM Grameen), including shared O&M of the infrastructure. In this matter, the “one-district-one-operator” approach may also be considered. Relevant CSWAPs will be part of the proposal taken to SLTC for approval. State SBM Mission Directorate will combine all CSWAPs and furnish the timeline for achieving the mandatory 3 Star Rating of all ULBs in the State, spread across the 5 years of Mission.

6.6.3 ULBs are to prepare DPRs for Solid Waste Management in consultation with State Governments, in compliance with MoHUA checklist (**Annex 6**). Smaller cities can be formed into clusters to become viable entities for economies of scale and to attract private investment. State Governments may handhold ULBs in preparing DPRs for SWM by engaging agencies/ institutions for this purpose. The DPRs should be ideally bankable, having a viable financial model. DPRs should be aligned with the guiding principles, SWM Rules 2016, CPHEEO Manuals and MoHUA Advisories.

6.6.4 Co-processing - Cement plant / RDF: For RDF produced from non-recyclable fraction of dry waste, the first priority should be given to using it in nearby cement plants or other similar industries (as alternative fuel).

6.6.5 It is stressed that waste to electricity projects are financially and operationally viable only with assured input of minimum 150 – 200 tonnes per day (TPD) of non-recyclable, high-calorific value segregated dry waste (RDF). Ideally, only ULBs with population of 10 lakhs and above

(individually or in cluster) may opt for waste to electricity projects. While approving Waste to Electricity projects, ULBs are advised to ensure adequate quantity of waste/ RDF of specified calorific value. In this respect, ULBs may refer to the waste processing flowchart given under para 6.1.2 for recommended processing options for various waste fractions.

6.7 State Government can engage qualified institutes/ organizations for the technical and economic appraisal for project DPRs recommended by ULBs.

6.8 Governance and Administrative provisions:

- i. While considering projects under SWM, it will be ensured that there is no duplication in terms of funding under any other scheme or programme.
- ii. States/ UTs shall be free to choose the technology for SWM projects.
MoHUA would be technology-agnostic as far as project funding is concerned, subject to overall allocation for State/ UT.
- iii. MoHUA shall, from time to time, bring to the notice of the States/UTs, through Advisories and Manuals, and other consultative mechanisms, various technology options available in the field.
- iv. States/ UTs and their ULBs are recommended to use the GeM (government e-market place) portal for procuring waste management equipment.

- v. The State Governments are recommended to put in place a single-window clearance system for SWM projects for ease of setting up of facilities in timely manner and encourage private sector participation.

6.9 Funding mechanism for the SWM projects (as mentioned in section 4.5.4):

The GoI contribution for setting up MRFs, transfer stations, waste processing plants (including C& D waste processing plants), procurement of mechanized sweeping equipment and bio-mining of legacy dumpsites shall be as follows:

- 90% for ULBs in NE/ Himalayan States
- 100% for ULBs in UTs without legislature
- 80% for ULBs in UTs with legislature
- 25% for other 10 lakh plus ULBs
- 33% for other ULBs with 1 lakh to 10 lakh population (both included)
- 50% for other ULBs with less than 1 lakh population

6.9.1 Components that can be funded include the

following (as given in section 4.5.4): i. In all statutory towns:

- Setting up of waste processing facilities such as MRFs, transfer stations, composting plants, bio methanation plants, RDF processing facilities (for ULBs with 5 lakh

population and above), plastic waste processing facilities, waste to electricity, sanitary landfill, etc.

- Remediation and land recovery of legacy dumpsites

ii. In 154 ULBs (NCAP cities +> 5 lakh population ULBs as per list given in **Annex 1**)

- Procuring mechanized sweeping equipment.
- Setting up processing facilities for effective management of Construction and Demolition (C&D) waste.

6.9.2 The **1st instalment of 40%** of allotted Central share from MoHUA will be released to the State, provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:

- SLTC approved CSWAP for respective modules (viz. C&D, Mech. Sweeping, Legacy dumpsites, MRF+waste processing) and action plans for respective component submitted;
- Receipt of SLTC approved proposals for a city along with O&M arrangements for at least 5 years, and its funding arrangements;
- Land identified & earmarked for setting up SWM facility/ facilities.

6.9.3 The **2nd instalment of 40%** of allotted Central share from MoHUA will be released to the State, provided the following conditions are satisfied:

- UC submitted for 75% expenditure of Central and State share of first instalment;

- Physical progress of at least 25% should have been completed in each of the sub components (such as processing plants, MRFs, SLFs, legacy dumpsite remediation, etc.)

- Receipt of documentary evidence of completion of construction of SWM facilities and their functionality with funds received under SBM-U earlier.

6.9.4 The **3rd instalment of 20%** of allotted Central share from MoHUA will be released to the State, provided the following conditions are satisfied:

- UC submitted for 75% expenditure of Central and State share of second instalment
- City is at least 1-star certified as per Star Rating Protocol for Garbage Free Cities, and is segregating at least 60% of its municipal solid waste at source;
- Physical progress of at least 60% should have been completed in each of the sub components (such as processing plants, MRFs, SLFs, legacy dumpsite remediation, etc.)

6.10 **Outcomes (in all statutory towns):**

i. 100% Door to Door collection; ii. 100% source segregation of MSW; iii. 100% waste processing (in separate

fractions of Wet , Dry, C&D waste);

iv. Safe, quantified and scientific disposal of inert waste and processing rejects to Scientific

Landfills;

- v. Legacy waste in dumpsites is remediated;
- vi. C&D Waste management in all 154 non-attainment cities under Nation Clean Air Program (NCAP) and remaining cities >5 lakh population is achieved;
- vii. All cities achieve at least 3-Star Garbage Free rating.

CHAPTER 7

USED WATER MANAGEMENT

Sets out the overall approach to be taken by ULBs to put in place systems and processes to ensure that no untreated waste/used water is discharged into water bodies, along with reuse of treated used water.

Some basic definitions & terms used under this chapter are as given below for ready reference.

7.1 Used water management

In the current scenario in India, only 40% of urban population have access to sewerage system, while the remaining 60% is dependent on unregulated on-site sanitation systems.

In the first phase of SBM (U), there were no funds earmarked for waste water management for towns. Based on learnings from the seven years, used water management for towns less than 1 lakh population has been newly added as a component under Swachh Bharat Mission Urban 2.0 and Govt of India's AMRUT 2.0 Mission has funds earmarked for used water treatment including Faecal Sludge management, for cities with more than 1 lakh population.

7.2 Components of Used Water Management Systems

The table below gives a tabular depiction of various components of domestic used water management systems:

S. No.	Components	Description
1.	Sewage (Used Water)	Used Water comprises of the following two components: Grey Water from kitchens, bathrooms, wash basins etc. Black Water from toilets & urinals. These may sometimes be mixed with other municipal flows such as surface water and storm water.
2.	Generation of Domestic Used Water	Generation of Domestic Used water: GOI/States/UTs endeavor to provide 135 Litres per capita per day (LPCD) of potable water through various Missions/ programmes. Of this, 80% (108 LPCD) is expected to be generated as used water.
3.	Management of Used Water	Management of Used Water includes collection, conveyance, treatment & recycling/ disposal of all the above stated flows.

S. No.	Components	Description
4.	Collection	Grey water from kitchens, bathrooms, wash basins etc. and black water from toilets shall be collected and let into the nearby sewer (i.e off-site sanitation system) or into the onsite sanitation systems (septic tanks with soak pits)
5.	Conveyance	
5.1.	Off-site System	Offsite System consists of sewage conveyance and treatment at STP
5.1.1	Interception & Diversion drains	This is a system of intercepting & collecting sewage from municipal drains (where sewer network is absent) and to divert it to STP for treatment.
5.1.2	Sewer network	<p>Sewer network consists of continuous pipes laid underground, mostly along roads, to collect sewage from households and other establishments.</p> <p>Central portion of city area often characterized by high population density is designated as Core Sanitation Zone (CSZ) which is suitable/ viable for laying of sewer network.</p> <p>The outskirts of a city often characterized by sparse population density is designated as fringe areas. These areas are often based on on-site sanitation system, as laying of sewer network is often unviable.</p>
5.2.	On-site System	Onsite treatment system (OTS) is a privately owned and maintained sewage disposal system (other than municipal body) that treats used water and produces partially treated water. However, some packaged onsite sewage treatment systems are also available.
5.2.1	Septage (from septic tanks with soak-pits)	In on-site systems, the fecal sludge and black water is accumulated in septic tank and soak pit, situated within the premises. Periodically, specialized collection vehicles will be used for desludging the septic tanks and transporting the same for treatment.
6.	Treatment	Sewage is treated in STP and faecal sludge can be treated either at STP or STP-cum-FSTP or standalone FSTP. Further, the treatment may be centralized or decentralized treatment.

6.1.	STP	Sewage Treatment Plants (STP) are used for treatment of used water coming out from Domestic, Commercial, institutional establishments etc.
S. No.	Components	Description
6.2.	Faecal Septage Treatment Plants (FSTPs)	Faecal Septage Treatment Plants (FSTPs) are used for treatment of faecal septage being periodically removed from septic tanks of domestic, commercial, institutional establishments etc. to maintain their efficiency.
6.3.	STP-cum-FSTP	Septage can be economically treated at STPs with certain minor modifications saving CAPEX, OPEX & land requirement.
7.	Recycle/ Disposal	The treated used water may be used by ULB either for selfconsumption, or sold, for the following purposes: <ol style="list-style-type: none"> 1. Non-potable purposes like flushing toilets, gardening etc. 2. Agricultural purposes 3. Horticulture purposes 4. Industrial purposes 5. Municipal purposes like dust mitigation, road washing, construction activity, etc. 6. Water body rejuvenation It is targeted to recycle and reuse at least 20% of treated used water for above mentioned purposes.
8.	User Fees	Suitable user fees matching the cost of sewage management to be levied ensuring long term sustainability and assured service delivery. Levied user charges should be sufficient to recover fully/ partial O&M cost for running the facility uninterruptedly. Along with user charges, suitable penalty provisions to be notified in ULB bylaws.

7.3 Used water as new component under SBM-U 2.0

SBM-U 2.0 provides funds to address the issue of used water management including the safe containment, transportation and disposal of faecal sludge and septage from toilets, for cities with population of less than 1 lakh. It will help to holistically manage approximately 13,000 MLD of sewage generated from the notified Class II - VI towns of the country, as shown in Table 7.1:

Class of Cities based on Population		No. of Cities*	Total Population @ 2011 Census [in crore]	STP capacity reqd (in MLD) (after adjusting for 23% decadal growth of population)	Average capacity (in MLD)
Class II	50,00099,999	535	3.65	4,498	5.5
Class III	20,00049,999	1,439	4.46	5,494	3.5
Class IV	10,00019,999	1,233	1.2	2,826	.70
Class V	5,0009,999	541	.43		
Class VI	<5,000	153	.05		
Total		3,901	10.42	12,818 (approx. 13,000)	

*- For purpose of estimation, Census 2011 figures are considered with suitable population projections. However, all Statutory towns will get funding support from SBM (U).

7.4 Objectives

Inclusion of used water management component under SBM-U 2.0 will help to achieve following two objectives:

i. all used water is safely collected, treated and reused to feasible extent and no untreated used water is discharged into water bodies or the open environment; ii. all faecal matter and septage is properly collected, treated and by-products reused.

7.5 Focus Areas under used water management

To achieve the objective of treating used water before discharge into water body/ overland, the following will be the major areas of focus under SBM 2.0, and will be eligible for Central share of funding:

i. setting up of Sewage Treatment Plants (STPs)/ STP-cum-FSTP; ii. laying Interception and Diversion (I&D) structures including provision of pumping stations and pumping main/gravity main upto STP;

iii. procuring adequate numbers of septic tank desludging equipments; iv. deploying Digital (IT enabled) tools for real time monitoring of efficiency parameters during the operational phase of STPs and allied equipments.

7.6 Project components eligible for funding

7.6.1 Used Water Project Components eligible for central funding

The project components to be funded by GOI is given below.

1. **Sewage Treatment Plant:** State/ULB will be free to adopt any proven technology, as brought out in the CPHEEO Manual/MoHUA Advisories from time to time. However, for smaller ULBs, nature-based technologies in suitable combinations may be adopted. Relevant components for integration of septage treatment at STP such as desludging ramp, screens, solid/ liquid separation chamber, pumping etc, will be admissible components for Central funding as part of STP.

2. **Interception and diversion drains/ outfall sewer/ trunk main sewer:** Interception and diversion drain component is eligible for funding for conveying municipal dry weather flow upto STP/ STP cum FSTP through an outfall sewer/ trunk sewer from existing/ upcoming sewer network leading to the Sewage treatment facility.

3. Sewer & Septic tank cleaning machines

Desludging/ cleaning equipments will be eligible for funding provided that SLTC confirms that (a) the Private Sanitation Service Operators (PSSOs) are unlikely to be available to undertake this task at the particular ULB and (b) the State/ ULB will be engaging operators on contract to run them.

7.6.2 Used Water project components to be fully funded by States/ULBs

1. **Sewer Network-** The entire cost of sewer network being set up in the towns to be borne by the State/ UT & ULB including those of tied 15th Finance Commission(FC) Grants. The arrangements in terms of funds and timelines need to be delineated and explained to SLTC while sanctioning of projects and also

communicated to the National Mission Directorate, at the time of claiming central share of funds for STPs/ STP cum FSTP and I&D infrastructure in any town. It is expected that each ULB will use 15th FC tied Grants/ SFC Grants and their own resources to suitably convey sewage from the households through sewer networks to ensure robust and environmentally conscious sanitation approach. As an interim arrangement due to fund constraints or any other reasons existing and improved municipal pucca drains could be used as means of conveyance. Use of tied 15th FC grants towards development of sewage conveyance network would be monitored by Ministry in accordance with 15th FC guidelines.

Further, to promote planned urbanization with requisite basic services, it is advised that in new green field developments in and around towns, provision of sewerage network along with decentralized sewage treatment facilities should be ensured. This will avoid construction of individual septic tanks and soak pits.

2. Strengthening of Municipal Drains

As an interim arrangement, till sewers are laid in town, strengthening of drainage networks is to be taken up and intercepted into existing/ upcoming sewer network, wherever feasible, or brought to I &D point from where, sewage/ sullage can be conveyed to STP/ FSTP cum STP.

As in the case of sewer network, the arrangements being contemplated in terms of funds including tied 15th FC Grants and timelines need to be delineated and explained to SLTC, while sanctioning of projects, and also communicated to the National Mission Directorate, at the time of submission of funds

request towards STPs and I&D infrastructure. As explained above, in this case also funds mobilized out of 15th FC tied Grants/ SFC Grants and State/ULB's own resources would be monitored in adherence to 15th FC guidelines. **7.7 Mission Governance at State level**

7.7.1 Sanctioning of Proposals and Mission Monitoring

While administering, approving and monitoring various related proposals of Used water management, SLTC to ensure the following and place before SHPC for approval:

- i) **Annual progress plan for achieving Mission targets in respect of ODF++ and Water+.**
- ii) **Sanctioning of City Sanitation Action plans (CSAP) part 2, including year-wise overall action plan for its approval.**
- iii) **Seamless project implementation:** All Used water management projects are planned in an integrated manner, where Interception & Diversion of drains, STP and/ or STP- cumFSTP construction and at least 5-years O&M of the constructed infrastructure are the responsibility of the same vendor/ operator and to be awarded in a single package.
- iv) Ensuring that projects are planned in a manner that the envisioned Mission objectives of "no untreated used water discharged into water bodies" are met in totality.
- v) For robust O & M of assets created, the "one-district-one-operator" approach may also be explored, if other wise found suitable to State/UT.
- vi) **Cluster/ clubbing of ULBs:** In order to ensure economies of scale and operational

efficiency, State/ UTs may encourage creation of common infrastructure to cater to a group of small nearby ULBs and their surrounding rural areas (in convergence with SBM-Grameen), including shared O&M of the infrastructure, where found feasible.

- vii) **Recycle & Reuse:** The projects must provide for recycle and reuse of treated used water. The recycle and reuse projects should be formulated in such a way so as to be financially sustainable.
- viii) **Land availability:** SLTC will ensure timely land availability to take up implementation of projects particularly STPs.
- ix) **Use of IT enabled Tools/ Computer software:** States / ULBs are encouraged to use IT-enabled tools/ computer software for design of various project components, its cost estimation & overall DPR preparation, to the extent feasible.
- x) Policy and leveraging funds from various sources, private sector, capacity building etc.
- xi) Constitution of State level Technical Committee(SLTC) under Principal Secretary (UD) for technical appraisal and sanctioning of projects submitted after detailed examination by engaged Technical Agency/Institutes.
- xii) The DPRs submitted by ULBs to state Mission directorate will be required to be systematically scrutinized by technical institutes/ agencies, engaged for the purpose, from techno-economic angle and submitted to SLTC for technical sanction before submitting the same to SHPC for Financial & Administrative Sanction as outlined in Chapter 3.

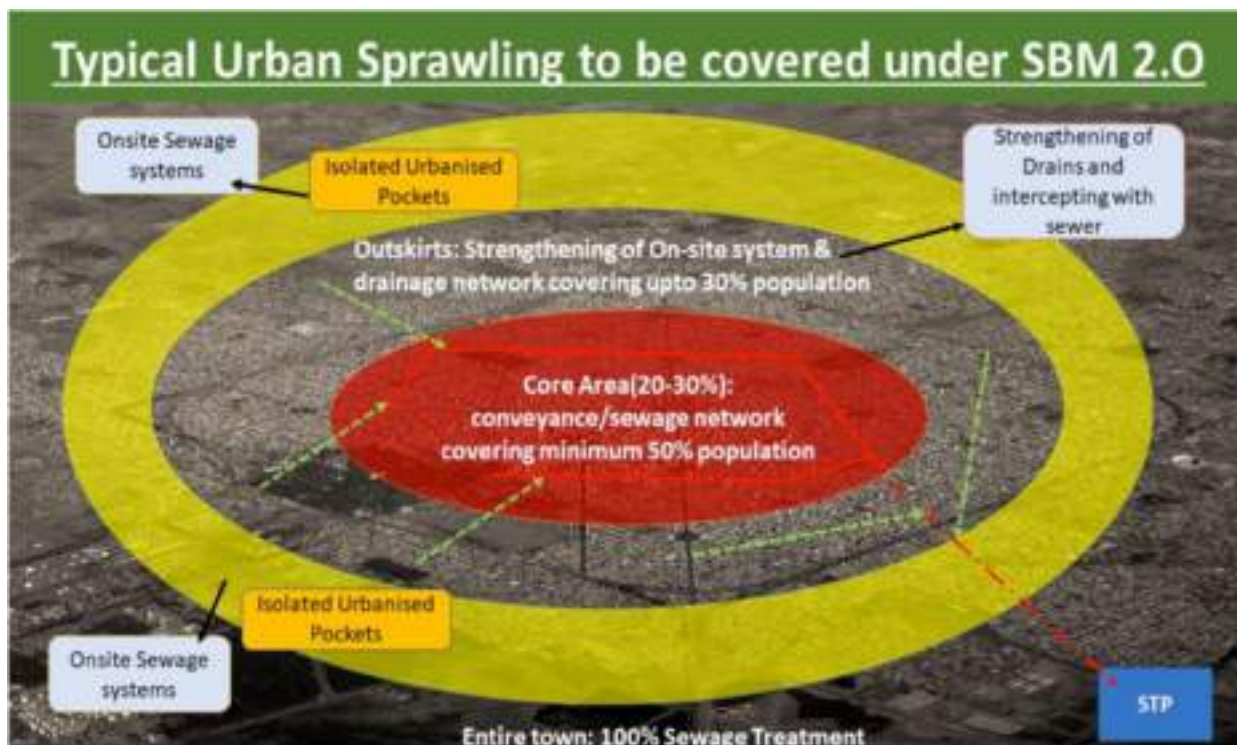
7.8 Mission Implementation Strategy

7.8.1 City Sanitation Action Plan (CSAP) – Part 2

As a first step, ULB will be required to prepare the

Broad DPR preparation approach is outlined below for two possible field scenarios:

- A) Sound foundation for sanitation in ULBs using sewer network based robust used water



CSAP Part 2. The CSAP Part 2 is expected to contain information on sewage management, specifically details of existing sewer networks, STPs, STP cum FSTPs, FSTPs and details of main municipal drains, etc, along with gap analysis in respective infrastructure and proposed projects along with block cost estimate, as per standard template provided at **Annex 3B**.

Gap Analysis: CSAP Part 2 must contain a gap analysis in sewage management and prospective projects to be taken up under SBM-U 2.0 along with its prioritization. The tentative block cost estimate for components like STP, sewer networks, pumping stations and I&D drains etc. are to be prepared with suitable zoning.

7.8.2 Broad DPR preparation approach

management approach followed by Sewage treatment facility.

- B) Where, States/ULBs, instead decides to adopt, municipal pucca drains based used water conveyance system, as interim arrangement, followed by I&D and Used Water and Septage treatment facility.

7.8.3 DPR Preparation approach adopting sewer network & STP

State/ ULB will be required to prepare DPR as identified in CSAP, following the CPHEEO Manual on Sewerage & Sewage Treatment Systems, 2013/ Advisories published by Ministry from time to time. For guidance on the type of

Infrastructure [sewerage, drainage, I&D and STP etc.] to be considered while preparing DPRs for various class of towns, the schematic layout may be considered:

1. **Sewer Network in Core Sanitation Zone:** ULBs to identify its “**Core Sanitation Zone (CSZ)**”, defined as a zone which has at least 50% of the town’s current population settled over an area comprising about 20-30% of the town’s spread (please refer diagram given above). The CSZ will be provided with a sewer network to connect it directly to the STP.

The cost of the CSZ sewer network will be borne entirely by the State/ ULB from 15th FC Grants/ SFC Grants/ their own funds etc. States/ UTs are expected to encourage the ULBs to identify any suitable area in the city to provide with a sewer

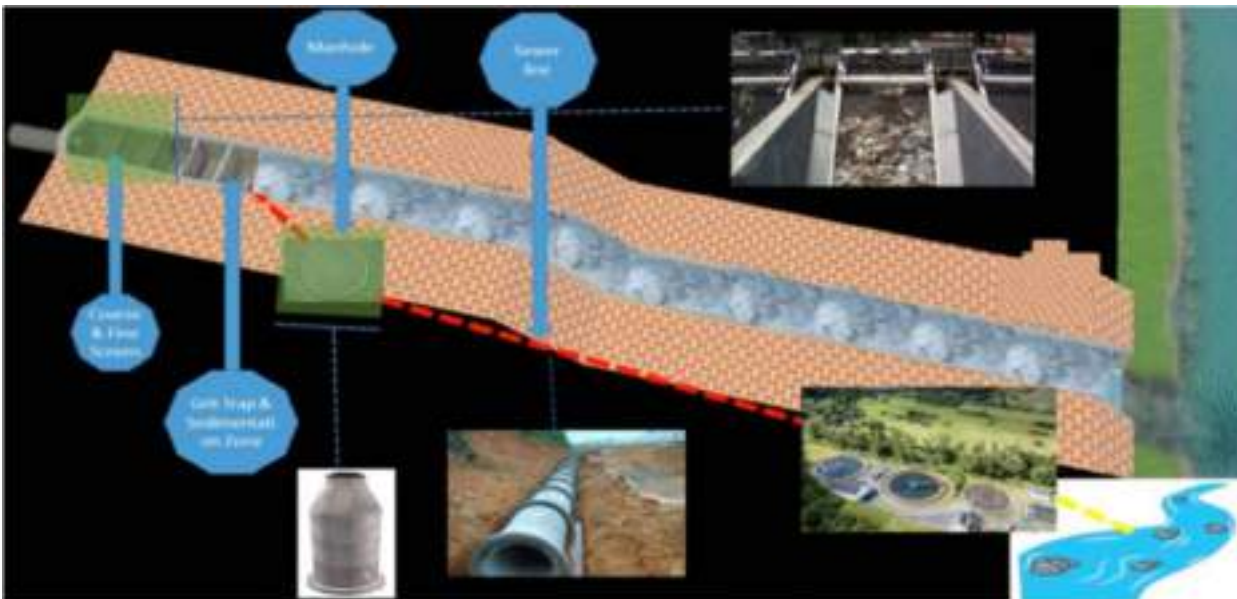
treatment facilities should be factored in planning.

2. **Intercepting used water from open drains to Sewer network:**

State is also required to **strengthen existing open drains** carrying sullage and connect the same to the sewer network, wherever feasible, after providing suitable I&D structures like coarse screen, grit chamber, fine screen and settling basin etc. before intercepting into sewer network.

3. **Approach for Fringe Areas**

- For inhabitants residing in fringe areas outside the CSZ, the town authorities may work out economically judicious solutions, opting between continuing with onsite disposal systems (septic tanks with soak pits) and providing localized community level sewage



network. City can expand network coverage based on necessity and availability of resources over the time.

For upcoming new green field developments in and around towns, the provision of sewerage network along with decentralized sewage

treatment plants for grey/ black water where feasible or conveying it to STP depending on economics. The septage from these households will continue to be safely hauled to a designated STP under professional arrangements.

- It is advised that the fringe areas may try to strengthen their onsite disposal arrangements by providing for soak pits where they are missing and forcing the septic tank effluent into the ground, adhering to design norms.

4. Provision for adequate Used Water Treatment Facility in each ULB:

It may be noted that each ULB needs to plan for adequate used water (grey water + black water) treatment facility with provision to treat septage as well. Creating adequate used water treatment facility is an important component and aligned with mission objective to ensure that used water is discharged to water body or over land only after proper treatment ensuring compliance to environmental discharge standards. This is necessary to comply with Legal and Regulatory requirements under Hon'ble NGT O.A no. 673/2018 and Honb'le Supreme court WP(C) 375.2012. as well as WATER (Prevention and Control of Pollution) Act 1974.

Accordingly, all towns will need to prepare a DPR containing the provision of minimum one STP (for 70% of current population).

5. STP Technology:

As regards selection of Used water treatment technology, it will be open to ULB/State Government to select **any proven technology** as brought out in the CPHEEO Manual/ Advisories from time to time. In case States come across any other technology not listed in CPHEEO Manual/Advisories, the same should be referred to CPHEEO for evaluation and inclusion in the Advisories. State Governments are encouraged to select nature-based sewage treatment technologies (alone or in combination of two to

attend desired treated effluent quality), where feasible, to economise Capex & Opex.

In this context, it may be mentioned that global experiences have established STPs to be the most effective method for treating used water (grey water and black water). Hence, States/ UTs may take informed decisions regarding technology to be used for treating their used water so that the Mission's objective of "no untreated used water polluting water bodies" is realized.

7.8.4 Municipal pucca drains based used water conveyance system, followed by I&D and Used Water Treatment Facility

- Urban Drains of various sizes comprising tertiary, secondary and primary tributaries (main drains) discharge sewage into natural water bodies. During dry weather (when it is not raining), almost the entire flow in urban drains consists of
 - raw sewage from toilets not connected to a sanitary disposal system,
 - partially treated effluent from existing septic tanks, and
 - other onsite management systems where soak pits are not provided or are blocked.
- As an interim arrangement, till sewers are laid or in the periphery outside core area of town where providing sewerage system is uneconomical, strengthening of drainage networks can be taken up by ULBs and intercepted in the sewer network wherever feasible, so as to efficiently convey sewage/ sullage to STP in the town.
- Sullage Diversion (I&D) Plan leading to Used Water Treatment Facility**

All tertiary and secondary drains will be provided with bar screens to trap floating debris, as per the following norms:

- Drain upto 1 metre width cross section – at every 1000 metre
- Drain above 1 metre width cross section-as per the local engineer's assessment.
- On primary drain, before outfall into a water body, there should be at least two bar screens within 2 km before discharge point into the water body.
- Proper periodic (daily) cleaning mechanism for drains to avoid overflowing in case of choking, especially by safai karmacharis.

iv. **Repair & Maintenance of drains:** ULBs will also need to repair all surface drains to maintain continuity so that the discharge is not dissipated through a breach or overflow.

The dry weather discharge flowing in the drains needs to be intercepted by ULB at suitable locations so that at least 50% of the current sewage generation in the town is collected and conveyed to the Used Water Treatment Facility. This criterion is a mandatory condition for sanctioning Used Water Treatment Facility for

any ULB. Pumping arrangements are permitted, if absolutely necessary. However, gravity sewers are preferred.

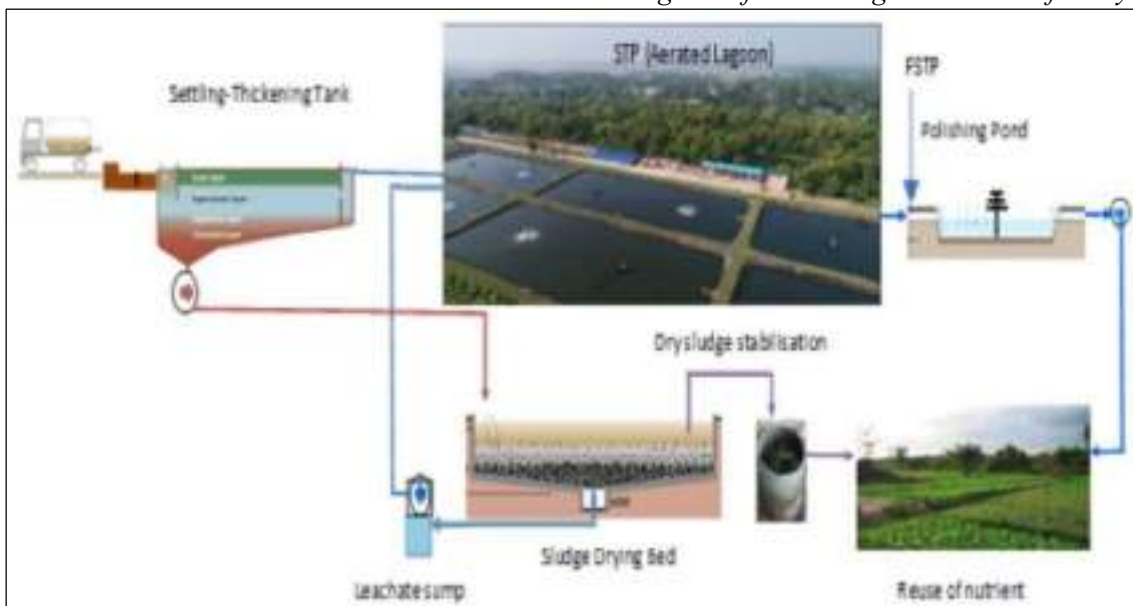
7.8.5 Faecal sludge treatment approach

In the towns/ those parts of town not covered with sewer network, ULBs need to have in place adequate mechanism for **faecal sludge treatment**. The approach to treat the faecal sludge may follow the hierarchy/ order of priority given below:

- **Town with existing STP:** Wherever STP is available, faecal sludge is to be co-treated with sewage in STP by constructing septage unloading facility coupled with Solid liquid separator by way of retrofitting. Liquid so separated would be pumped at inlet of STP and settled sludge can be put to sludge drying bed. If septage has low solid content (< 3 %), it can be even directly injected at inlet of STP after ensuring suitable ratio of dilution as detailed out in "On-site and Off- site sewage management systems" advisory brought out by MoHUA. It is explained in figures a and b above.
- **Town without STP:** In ULBs where no Used Water Treatment Facility is available, ULBs will need to ensure that Used water generated in its jurisdiction is properly collected, conveyed and



STP-cum-FSTP to treat sewage and faecal sludge in the same facility



Process Diagram of STP-cum-FSTP in the same facility

treated to environmental discharge standards before its discharge into water body/ over land. While planning for new Used Water Treatment Facility, faecal sludge management may be factored in such a manner that it is co-treated in the facility itself as mentioned above. This will result in reduced Capex & Opex and would also save precious land, thereby, promoting sustainability

and improved service delivery. In newly notified smaller ULBs, where there is no STP and no FSTP, it is advised to plan and implement used water treatment facility with facility to co-treat faecal sludge. Further, till STP facility is created, faecal sludge can be transported to nearby STP having facility to cotreat faecal sludge to economise Capex & Opex.

• **Town with FSTP but without STP:** In towns having standalone FSTPs, although it provides facility to treat faecal sludge from septic tanks, desludged once in 3 years, it is not capable of treating Greywater from kitchens, bathrooms and washings etc, which is in huge quantity compared to septage and generated on daily basis. It also contains major share of pollution load generated from households/ commercial establishments etc. In a majority of cases, septic tanks do not have soak pits and black water from septic tank finds its way to municipal drains subsequently, polluting water bodies. This comes out on continuous basis from septic tanks and there is no treatment available for it, under faecal septage treatment facility. In such ULBs, State will need to draw up a plan to collect grey water as well as black water from septic tanks and suitably collect and treat to meet environmental discharge standards before release into a water body or over land.

It also need to be ensured by States/ ULB that untreated used water (grey water and / or black water) is not discharged or allowed to percolate into ground water which has potential to pollute ground water and cause environmental degradation.

Where the existing FSTPs are available, the same can be utilized to treat septage from periurban area/ rural areas. However, since it is not designed to treat used water generated in the ULB area, separate used water collection and treatment infrastructure need to be created by each ULB to safely treat used water to the environmental discharge standards before its release in compliance with Honb'le NGT O.A. no. 673 of 2018.

7.9 Recycle & Reuse

The treated used water may be used by ULB either for self-consumption, or sold, for the following purposes:

1. Non-potable purposes like flushing toilets, gardening etc.
2. Agricultural purposes
3. Horticulture purposes
4. Industrial purposes
5. Municipal purposes like dust mitigation, road washing, construction activity, etc.

Efforts may be made to utilize as much used water as feasible, but not less than 20%. Circularity in used water has many advantages over conventional system of treating and discharging into water body or over land.

7.10 Fund release:

7.10.1 Funding Pattern

Central share for above mentioned components will be disbursed as per following cost sharing pattern:

- 90% for ULBs in NE/Himalayan States,
- 100% for UTs without legislature,
- 80% for UTs with legislature,
- 50% for ULBs with less than 1 lakh population

This will follow suitable ULB wise cost capping as mentioned in Annex- 10

7.10.2 Outcome-based fund release (as mentioned in section 4.5.4)

The Central government fund for used water management will be released in three (3) instalments with each instalment to be released based on achievement of specific milestones / outcomes as mentioned below:

7.10.2.1 The **1st instalment of 40%** of allotted Central share from MoHUA will be released to the State/ UT for a ULB provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:

- i. Responsible Sanitation Authority (RSA) notified across the State/ UT at District level/ in big municipal corporations;
- ii. Submission of City Sanitation Action plans (CSAP) part 2 (approved by SHPC) for sewage management along with gap analysis; iii. Receipt of SLTC approved proposals for a city along with at least 5 years' O&M contract post commissioning, and its funding arrangements; iv. Annual progress plan of State/UT of ODF++ and Water+ cities;
- v. Action plan for revamping all nonfunctional existing STPs/FSTPs in ULBs having less than 1 lakh population (if any- as recorded in the City MIS). vi. ULB has provided for encumbrance free land for setting up STP/ STP-cum- FSTP.

7.10.2.2 The **2nd instalment of 40%** of allotted Central share from MoHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- i. Functional Sanitation Response Units (SRU) set up; ii. UC submitted for 75% of first instalment of Central and State shares; iii. Portion of O&M being recovered through user charges; iv. City is certified ODF+ at least once;
- v. State will certify along with geo-tagged photos and other documentary evidence that: vi. Work has commenced for the drainage system development/ installation/ revamping duly completed (with geo-tagged photos and other documentary evidence); vii. The Interception & Diversion drain & related

conveyance system has reached 20% physical progress; viii The STP/FSTP (in case of co-treatment) sub-project has achieved at least 10% physical progress on ground. ix. Existing STP/FSTPs are made functional to treat used water, at least to the level as per their original design.

- x. Work awarded for non-functional STPs/ FSTPs requiring major repairs/ rehabilitation.

7.10.2.3 The **3rd instalment of 20%** of allotted Central share from MoHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- i. UC submitted for 75% of second instalment of Central and State shares; ii. The Interception & Diversion drain & related conveyance work has been completed to the extent of at least 80% of physical process; iii. The STP sub-project work has been completed to the extent of atleast 60%;
- iv. Non-functional STPs/FSTPs made functional.

It may be noted that proposals should be in compliance with checklist provided in **Annex 6**.

7.11 Expected Outcomes

The following outcomes are envisaged under SBM-U 2.0 for used water management:

- i. All statutory towns with < 1 lakh population will become ODF++ certified.
- ii. 50% of all statutory towns with < 1 lakh population will become Water+ certified.

States/UTs would be required to develop road map to achieve and sustain above outcomes and progress would be monitored periodically.

CHAPTER 8 IEC & BEHAVIOR CHANGE

Sets out the overall approach to be adopted to ensure awareness creation along with large scale citizen outreach to intensify ‘Jan Andolan’ and institutionalize swachh behavior and action , for achievement of “Garbage Free” cities, and sustaining the gains of urban

sanitation

8.1 The IEC & Behaviour Change initiatives under SBM 2.0 will be based on the learning that the achievements of SBM-U in the last 7 years largely rest on people’s participation, made possible through systematic communication at multiple levels. The Jan Andolan created under SBM-Urban was triggered by the Hon’ble Prime Minister and managed to engage with nearly 20 crore urban citizens. With the momentum created by the SBM, citizens have realised that sanitation impacts their lives in so many ways that it needs to be everybody’s agenda. The scale of impact that behavioral choices around sanitation have on people’s lives and society at large makes the issue of sanitation both personal and social. Under SBM-U 2.0, this aspect will assume far greater criticality, and will need to become the soul of the Mission. Accordingly, IEC and BCC under SBM-U 2.0 will require a more intensified and focused approach to ensure participation and active engagement from each and every citizen and every stakeholder. In fact, people’s participation will be foundational to achieving the Mission’s vision of Garbage Free cities. The IEC and BCC strategy would thus have to be innovatively reformatted to cater to the Mission’s vision of Garbage Free cities in accordance with the objectives under SBM-U 2.0.

8.2 IEC and BCC strategy:

8.2.1 MoHUA will disseminate a National Level Communication Strategy to be implemented at Central, State and ULB levels. This will be done in

close consultation with States, other stakeholders, domain experts and after taking into account relevant studies of the past and present. Additionally, States and ULBs would also be advised to design their own communication strategy.

8.2.2 MoHUA will hold periodic consultations among States for mutual learning and exchange of best IEC practices.

8.2.3 Detailed studies will need to be taken up by States/ UTs to identify triggers for behavior change among communities, which would form the basis of their IEC and BCC strategy and initiatives to be undertaken.

8.2.4 ULBs would need to engage citizen volunteer (depending on the size of the ward), who will be the designated interpersonal communicator(s) to engage with each household in the ward on regular basis. The role of these volunteers would be critical in bringing about and sustaining behaviour change at the ground level with respect to key sanitation and waste management practices. The volunteers could be engaged through community structures already working in the ward such as NULM, NUHM, ASHA, Anganwadis, Self-Help Groups (SHGs), Non-Governmental Organizations (NGOs), youth/ women’s groups, CommunityBased Organisations (CBOs), RWAs, and other similar bodies, or from among general citizens (e.g. teachers, senior citizens, retired personnel, etc) who have influence in the community/ ward.

8.2.5 The role of the citizen volunteer would be to sensitise households on how their role would be

critical to make their cities Garbage Free, trigger among them a sense of intolerance to garbage, alert them to the benefits of a clean surrounding and specify the behaviors they can adopt to contribute to that vision.

8.2.6 For achieving Garbage Free outcomes, households and citizens would need to be sensitized about:

- i. segregating their household waste into two bins;
- ii. taking ownership to maintain cleanliness of their immediate neighbourhoods;
- iii. educating others about the importance of cleanliness;
- iv. harmful effects of single use plastic and triggered to reduce their usage;

8.2.7 For sanitation and used water management, households and citizens would need to be sensitized about:

- i. the harmful effects of grey and black water from kitchens and toilets not being safely contained, transported and managed
- ii. maintaining community toilets in a functional manner,
- iii. providing feedback after using public toilets
- iv. calling for periodic desludging of their septic tanks

8.2.8 ULBs should facilitate formal creation and registration of all citizen residential areas into RWAs/ CBOs/ Slum Development Associations or equivalent, to strengthen ULB's last mile connect with every household.

8.2.9 ULBs should set up City Sanitation Committees with participation of selected citizen representatives for periodically reviewing and monitoring the efficient functioning of assets created.

8.3 States and ULBs may make use of existing IEC material designed at the national level, in addition to developing their own creative content, depending on the local and cultural context.

8.4 States will make sure that at least three comprehensive multi-media campaigns are created and placed in public domain: 1. in favour of garbage free city 2. Usage and maintenance of toilets, especially public and community toilets 3. Safe disposal of used water.

8.5 States will locate opportunities to converge SBMU campaigns with other highly visible major campaigns for gaining collateral impact

8.6 States and ULBs will coordinate with locally resourceful organizations/ enterprises so that they partake in SBM-U 2.0 messaging in a significant manner and add to the overall communication.

8.7 Fund Sharing (as mentioned in Section 4.5.4)

8.7.1 The Centre: State fund sharing for this component will be as given below: • 90:10 for ULBs in NE/Himalayan States;

- 100% for UTs without legislature;
- 80:20 for UTs with legislature;
- 60:40 for other States/ UTs

8.7.2 A total of 5% of the total allocation for project components of the overall budget will be earmarked for this component. Of this earmarked amount, 80% of the Central share will be released to States/ UTs/ ULBs to design and undertake IEC/ BCC interventions. Out of this released amount, half the amount must be allocated to ULBs by respective State/ UT. The remaining 20% per cent will be earmarked for the National Mission Directorate to draw up a national campaign and develop standard campaign tools for effective awareness and communication.

8.7.3 The 1st instalment of 40% of allotted Central share from MoHUA will be released to the State/ UT for a ULB provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:

- SLTC approved IEC action plan for State submitted (as per Annex 7).

8.7.4 The 2nd instalment of 60% of allotted Central share from MoHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- UC submitted for 75% expenditure of Central and State share;
- 50% Progress against action plan;
- City certified ODF+;
- City certified at least 1-star with 60% source segregation.

8.7.5 Expenditure on national Newspaper and TV is not an admissible item under this component for the State Government or for the ULBs.

8.7.6 Under no circumstance shall the IEC fund be utilized for purchase of vehicles, construction and maintenance of buildings, creation of posts and payment of salary of municipal staff, and purchase of furniture and fixtures.

8.7.7 While approving IEC proposals, SHPC should ensure that at least 80% of the funds requested are for ground -level behavior change initiatives through inter-personal communication, rather than for merely messaging and awareness activities.

8.7.8 In light of the experience of the past, it is advised that ULBs will need to report expenditure on IEC to the State Mission every month and States in turn will provide information on monthly expenditure in IEC to SBMU Mission at MoHUA through the designated portal. For further release of funds to States, at least 75 % of utilization of funds earmarked for IEC would be considered essential.

8.8 Outcomes

It is expected that outcomes of the IEC and BCC initiatives would lead to:

- all households segregating their household waste into two bins and ensuring its due disposal
- all citizens sensitized about non-acceptability of garbage in any form in their vicinity and acting for its due disposal
- all citizens sensitized about harmful effects of usage of single use plastic and triggered to reduce their usage
- all citizens sensitized about necessity for getting septic tanks periodically desludged and acting accordingly

CHAPTER 9 CAPACITY BUILDING, SKILL DEVELOPMENT & KNOWLEDGE MANAGEMENT

Sets out the overall approach to be adopted by ULBs for building the capacities and skills of all stakeholders, preeminently of the ULBs, in order to ensure effective ground level implementation, for achieving the vision of “Garbage Free” cities and towns, and for

meeting all other objectives of SBM-U 2.0.

9.1 Urban Local Bodies (ULBs) are mandated by the Constitution of India, under Twelfth Schedule, to carry out functions related to water supply and sanitation. The first phase of the Swachh Bharat Mission was successful in meeting its aims and objectives to make India an ODF country, but also brought to light qualitative and quantitative shortfalls in the capacities of the key personnel engaged in the implementation of the Mission. With the launch of SBM-U 2.0, it has become imperative to develop a cadre of professionals at the ULB level and also at the State level to work towards the specific objectives of the Mission, and sustain the gains made in last seven years. Identifying the need to make the Mission truly people-centric and stakeholder-owned, SBM-U 2.0 will focus on comprehensive capacity building across the pyramid of stakeholders engaged in program implementation, and most importantly at the ULB level. This would include components for which funding is available within the mission, and other related areas where funding is available through convergence with other schemes, including leveraging of AMRUT 2.0 and other relevant Mission/ Programme funds such as SBM Grameen, Namami Gange, Ministry of Social Justice and Empowerment, etc.

9.2 In line with these goals, there is a requirement for a focused approach to capacity building and stakeholder development. Thus, MoHUA will conceptualize a National Capacity Building and Skill Development Strategy to be implemented at the Central, State/UT and ULB levels. States/UTs and ULBs will be required to identify relevant administrative and technical officials (both senior level officials and fieldlevel functionaries, including sanitation workers and *SafaiMitras*) for training

and draw up a quarterly training calendar for them. It will be the responsibility of the State Mission Director to ensure that the identified officials undergo adequate capacity building to ensure the success of SBM-U 2.0 at the State and ULB level. Another key component of the National Strategy Document would be a robust mechanism of assessments and certifications for the capacity building and skill development training imparted, which would also include independent evaluations.

9.3 Capacity Building and Skill Development

The capacity building and skill development initiatives under SBM-U 2.0 will focus on the selected key stakeholders in the sanitation and waste management value chain, who will be trained in the following key priority areas, with support from the professional organizations that will be partnered at the Central and State/UT level as per the procedures laid down in the National Capacity Building and Skill Development Strategy document under SBM-U 2.0.

9.3.1 State Government and Parastatal Officials

- Focus on institutionalizing holistic leadership development and change management by facilitating customized capacity building and training through workshops, online training and short-term technical courses.

9.3.2 Administrative Officials of ULBs:

- Focus on developing implementation capacity and change management functionalities by creating targeted capacity building training, e-learning courses and online workshops.
- Comprehensive approach to human resource development with a sensitization towards the

social, economic and technological environment for effective implementation and service delivery under the Mission.

9.3.3 PHE and Technical Officials of the ULBs

- Technical officials and staffs will be provided hands on technical training, access to e-learning courses, workshops, field visits and knowledge exchange exposure visits to enhance their capacity to effectively implement objectives of SBM-U 2.0. Courses will be focused on the latest technologies, which are sustainable, environmentally friendly, and context appropriate.
- In addition to trainings developed towards enhancing the technical knowledge and skill sets, the PHE and technical officials will also be imparted trainings to sensitize them with the citizen centric and social aspects of the Mission, with the intent of inculcating a holistic human centered approach to all interventions under the Mission.

9.3.4 SafaiMitras and Sanitation Workers:

- Focus on the skill development of SafaiMitras and sanitation workers, and the promotion of entrepreneurship across the value chain in the sanitation sector, in partnership with Ministry of Skill Development & Entrepreneurship, NSDC and respective Sector Skill Councils.
- Conducting a skill gap study to develop an understanding of the human resource requirement in the sector, demand and supply scenario of skilled people, skilling gaps in the

existing workforce and recognition of skills of the informal workers.

- Training and orientation of Master Trainers for conducting the trainings on relevant subject areas in sanitation.
- Institutionalizing a robust framework for undertaking Recognition of Prior Learning (RPL) based assessments and providing certifications, in consonance with the NSQF, to the SafaiMitras and sanitation workers to recognize the existing skill sets and to ensure that a high quality of training is imparted for further progression.
- A special emphasis will be laid on imparting training to the sanitation workers to build their technical knowledge and skill sets for operating advanced equipment and safety gears.

9.3.5. NGOs, Educational and Skilling Institutes and other organizations

- Focus on engaging diverse sets of organizations such as NCC, NSS, NYK, Skill Institutes along with schools and colleges to impart targeted Capacity Building training. The training will be centered upon enabling these organizations to become ambassadors of the Mission and to contribute towards the implementation of initiatives under the focus areas of SBM (U)- 2.0, with a special emphasis on those components, which are to be executed in a campaign mode, such as Garbage Free Cities, maintenance of community/public toilets, safe disposal of wastewater and reduction of plastics, amongst others.

- 9.4 Center(s) of Excellence (CoE) focusing on capacity building, research, and innovation in key thematic areas of sanitation and waste management, will be established at the national level in partnership with eminent knowledge institutions. The mandate of the CoE will be to provide leadership & technical training, policy guidance, develop best practices, and other relevant activities on sanitation and waste management issues, in line with the aims and objectives of the Mission.
- 9.5 Chair Professor position(s) will be established at select academic institution(s) of national repute in the field of sanitation and waste management, with funding support from the Centre.
- 9.6 For building the capacities of technical officials at Central, State/UT and ULB level, (in-service engineers, other technical officials) regular master level training programs and short-term courses under PHE training will be implemented at the national level by MoHUA.
- 9.7 Government, Non-Government, educational and professional Institutions of repute and with prominent experience in the field of Capacity Building, particularly in sanitation and waste management will be empaneled as '**Swachhta Knowledge Partners**' (SKPs), to support the design and delivery of training modules and workshops on capacity building and skill development, to ensure effective implementation of the Mission. The Swachhta Knowledge Partners will be selected and onboarded as per the procedures laid down in the National Capacity Building and Skill Development strategy document.
- 9.8 MoHUA will establish strategic collaborations under the Mission with key development sector organizations, having prominent sectoral expertise, knowledge and implementation experience across thematic areas. The development sector partner organizations will play a pivotal role in providing technical assistance at the Central level and handholding support to States/UTs and ULBs in implementing capacity building and skill development interventions under the Mission.
- 9.9 To promote affordable and scalable modern technologies suitable to different geographical conditions, a national level

technical committee will be set up at MoHUA under the Mission exclusively for promoting research & development, innovations and entrepreneurship in the field of sanitation and waste management.

- 9.10 A part of Central funds will be used to pilot innovative projects/ start-ups in sanitation and SWM sectors, in partnership with States/ UTs, reputed institutes of national importance, etc.
- 9.11 States/UTs will also be encouraged to set up incubators to provide support to entrepreneurship, innovation and private sector participation.
- 9.12 Swachhata Technology Challenges, hackathons, etc. will be conceptualized and implemented in collaboration with the key private sector organizations, towards encouraging startups and social business ventures to develop innovative digital solutions and business models in the sanitation and waste management sector. The Challenges will encompass diverse thematic areas and endeavor to achieve the dual objective of identifying and leveraging key enabling technologies while also encouraging and recognizing local

entrepreneurs and technology solutions at the national level.

9.13 Knowledge Management

9.13.1 A comprehensive Knowledge Management Framework will be institutionalized to augment the capacity building initiatives under the Mission. As a part of this, the relevant knowledge materials such as training modules literature, videos, plans and reports developed by the ULBs during the implementation of various initiatives across focus areas of the Mission, will be consolidated and uploaded onto the SBM-U e-Learning portal for ease of use and access by all stakeholders. Further, the training and the technical material developed for trainings will be made available via the SBM-U e-Learning platform.

9.13.2 States/ UTs will be encouraged to set up technical cells within premier academic/ technical institutions to facilitate Research & Development.

9.13.3 As part of the training needs analysis, it is suggested that ULBs ascertain the gaps and deficiencies in the available training material and aim to fill those gaps by suitably revising the existing material or developing new modules if required, before conducting the trainings for relevant stakeholders.

- Materials used for training in workshops, capacity building courses and other technical

courses shall be uploaded on SBM-U e-learning portal for ease of use and access.

supported with human resources as per the requirements.

- The States / UTs and ULBs shall be free to add their own resource materials to the SBM-U e-learning platform. It is suggested that ULBs revise and update the training material at regular intervals.

9.14.3 The Program Management Unit at the State/UT level should ideally consist of the following human resources. The State/UT shall have the flexibility of expanding the PMU with additional specialists based on their specific requirements.

9.14 Human Resource Support under SBM (U) 2.0:

9.14.4 A specialized program will be conceptualized and implemented for engaging students from academic and technical institutions as young professionals and interns for supporting interventions under SBM U 2.0 at the National as well as the State/UT level. The selected young professionals and interns will be deputed to select

9.14.1 In addition to enhancing the capacities of the key officials and sanitation workers, there is a pertinent need for dedicated human resources with specialist knowledge and skills in order to

State Level PMU (With more than 100 ULBs)	State Level PMU (With less than 100 ULBs)
<ol style="list-style-type: none"> SWM expert - 1 Waste-Water expert - 1 Procurement Specialist - 1 Capacity Building Specialist - 1 IEC Specialist - 1 M & E Specialist - 1 IT Specialist – 1 Documentation Specialist – 1 Additional specialist – 1 (As per requirement) 	<ol style="list-style-type: none"> SWM expert- 1 Waste-Water expert - 1 Procurement Specialist - 1 Capacity Building Specialist - 1 IEC Specialist - 1 IT and M & E Specialist - 1 Additional specialist – 1 (As per requirement)

strengthen the implementation of the various components of the Mission. Towards this, dedicated human resource units have been envisaged at the State/UT level, the details on which have been elaborated below.

projects across focus areas under the Mission, for a stipulated time, and will play a pivotal role in augmenting the internal human resources of the departments while also strategically integrating the youth with SBM-U 2.0.

9.14.2 At the State/UT level, a dedicated Program Management Unit (PMU) will be set up under the Mission to ensure effective implementation of the SBM-U 2.0. Parastatal bodies supporting ULBs in implementation of Mission components may be

9.14.5 The ULBs will be provided with the flexibility to hire Young Professionals and interns to augment their internal human resources for key project implementation activities under the Mission. Additionally, State may provide human resource support from their own share of funding

for implementation of key mission components under SBM (U) 2.0.

9.15 Funding Mechanism

9.15.1 The Centre: State fund share for this component will be as given below:

- 90%:10% for ULBs in NE/ Himalayan States,
- 100% for UTs without legislature
- 80%: 20% for UTs with legislature,
- 60%: 40% for other States/ UTs.

9.15.2 A total of 3% of the total allocation for project components will be earmarked for the component of Capacity Building, Skill Development and Knowledge Management. Out of the Central share for this component, 67% will be earmarked for States/ ULBs to conduct capacity building and skill development initiatives. The remaining 33% will be earmarked for MoHUA. It may be noted that Administrative and Office expenditure in a year should be kept as a proportion of actual expenditure / output rather than as a percentage of indicative outlay.

9.15.3 The disbursement of the Central Assistance will be as follows- **1st instalment of 40%** of allotted Central share from MOHUA will be released to the State/ UT for a ULB provided the entry conditions specified in Section 4.2, and following additional conditions are satisfied:

- SHPC approved CB action plan for State submitted (as per **Annex 8**).

9.15.4 The **2nd instalment of 60%** of allotted Central share from MOHUA will be released to the State/ UT for a ULB provided the following conditions are satisfied:

- 40% of identified State Officials/ Parastatal Officials/ ULB Officials trained (in some format of training);
- 40% of Sanitation workers identified for skill development completed training;
- All informal sector workers (including those in sewer and septic tank cleaning) identified and integrated by ULB; • City certified ODF+;
- City certified at least 1-star with 60% source segregation;

9.15.5 Under no circumstance shall this fund be utilized for purchase of vehicles, construction and maintenance of buildings, creation of permanent/regular posts and payment of salary, and purchase of furniture and fixtures, etc.

9.15.6 States/ UTs/ ULBs may take assistance of PSUs and Corporates through CSR for implementing capacity building programs

9.15.7 States/ UTs and ULBs, if they so wish, may use the CB funds to upgrade/ strengthen their existing institutes / entities to provide capacity building support to the State/ ULB.

9.15.8 States shall propose extensive capacity building activities, including training of administrative and technical staffs, conducting skill gap analysis, skill development training programs for sanitation workers to be implemented in a Mission- mode manner, which will enable the progressive achievement of objectives of SBM-U 2.0 in a time-bound manner. These will be specified in the comprehensive annual action plan prepared by each State/ UT and approved by SHPC. At least 50% of this fund, in each annual plan, as approved by SHPC must go to the ULBs for activities at the ULB level.

9.15.9 The SLTC will approve State training plan comprising the following:

- Training Need Analysis (TNA) for Capacity Building and Skill Gap Analysis for Skill Development;
- Training Modules and Tools;
- Institutions to impart training, and cost of training;
- Mandatory Inclusion of areas identified by CPHEEO;
- Training Calendar; • Evaluation of training.

9.16 **Expected Outcome**

It is expected that outcomes of the Capacity Building, Skill Development and KM initiatives would lead to improvement in capacities, knowledge, skills, leadership development and change management competencies of ULB officials and Sanitation workforce connected with implementation of Mission, through Workshops, Seminars, Trainings, etc.







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GVP Details



GVPs List in a ward



Directions to GVP



Monitor to Transform GVP



CHAPTER 10 IT ENABLED GOVERNANCE

Enumerates the various digital enablements developed for maximising citizen outreach, along with facilitating a transparent and an objective monitoring and evaluation of Mission progress, to ensure a smooth and seamless user experience by all stakeholders, and making the Mission paperless, towards ensuring standardization of outcomes across

all ULBs.

10.1 Digital interventions will support different stages of SBM-U implementation in a paperless manner, across all components, starting from conceptualization, implementation, and realtime online monitoring of functional assets to be created under different components of the Mission, such as STP, MRF etc, and other key indicators of progress for the Mission. The ICT and GIS enabled tools and systems will also be leveraged in the evaluation of the interventions.

10.2 MoHUA has developed various workflow based, web enabled IT-enabled applications and mobile applications in order to ensure a transparent and robust citizen-centric engagement, Mission governance, Mission implementation, along with facilitating collaborations amongst key stakeholders & capacity building.

10.3 The various IT-enabled applications that will be mandatorily deployed for all implementation components of the Mission, including the monitoring of the progress of the Mission, are briefly described:

10.3.1 SBM-U Integrated platform: MoHUA has developed a comprehensive platform that provides an integrated experience for States/ UTs and ULBs and enabled fact-based decisionmaking at various levels of governance. The portal allows ULBs to create city profiles (ward, area, workforce, vehicles, BWGs, Non BWGs, vendor details, etc.), upload details of city infrastructure and assets (e.g.

processing plants, landfills, dumpsites, water bodies, storm water drains, STP/FSTP etc.) and report their sanitation and waste management progress on a monthly/periodic basis through a single sign-on approach. The platform standardizes information across States/ULBs and ensures a single source of truth and data consistency across levels.

10.3.2 Swachhata App: This is a Mobile based application that enables citizens to register sanitation related complaints and enables the ULBs to address the citizen's grievances efficiently and effectively. The app plays a pivotal role in scaling demand and ensuring transparency and accountability in sanitation service delivery. In its updated version, the App will, in addition to taking feedback, also engage with citizens for validating the information regarding the city's progress on improving sanitation outcomes, in a time-bound manner. The App is available on both Google Play & IOS platforms.

10.3.3 SBM Toilets on Google Maps and CT/ PT feedback system - To improve access to, and thereby their usage, of community and public toilets, MoHUA has partnered with Google to map all CT/ PTs on Google maps, as SBM Toilet. In its updated version, citizens can also provide feedback and rate these public toilets which, in turn, will lead to better cleanliness and maintenance of these facilities.

10.3.4 Geo spatial enabled Project Proposal

Creation and Tracking System: This application has been designed to enable States/ ULBs to upload their SHPC-approved project proposals (along with the documentation as per the checklist circulated by the National Mission Directorate) for the release of Central share by MoHUA, dissemination of funds by States/ UTs (i.e. Central share + State share) to respective ULBs, and subsequently, digitally tracking the project's progress and functionality. MoHUA, States/ UTs and ULBs would be able to receive and transmit documents in electronic mode with a facility of system-generated alert messages (SMS & e-mail), for greater transparency. The GIS-based monitoring & controlling of the project would support Mission governance, through periodic online uploading of photographs of progress on

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project site, along with its geo coordinates.

10.3.5 Annual GFC Rating, Swachh Survekshan & ODF Assessments through an integrated module:

An integrated system is being designed to capture online data for assessment, digital tools to conduct selfassessment, uploading of documents required for desktop assessment. The Assessor App for use by third party agency is also an integral part of the platform. This integration will help in minimizing the assessment duration and also optimize the documents requirement, especially where similar documents are required across multiple protocols and assessments.

10.3.6 GIS Mapping of SBM-U assets and infrastructure:

MoHUA has developed web and mobile applications that will enable all ULBs to draw their city boundaries, ward boundaries, assets (CT/ PT, processing plants, STP, FSTP, etc.) boundaries, map existing geo spatial data and collect geo-location of all facility points in existence.

This GIS application provides a wide range of capabilities such as data visualization, analysis, understanding and insight into city or ULBs' activities, both current and planned.

10.3.7 Dashboard and Analytics platform: This is a stakeholder requirement-based analytical dashboard for monitoring the progress of SBM-U 2.0, with inbuilt data standardization and validation mechanism that ensures informed decision making. The dashboards at ULB, State and National level will provide a unified experience with accumulated data points. It is planned to be supported by AI-driven components such as Chatbot and predictive analytics.

10.3.8 E-Learning Platform: The current pandemic has demonstrated the importance of digital medium to ensure that the process of learning continues uninterrupted. The E-learning platform takes care of the training needs of the frontline workers, ULBs, mission officials, agencies and citizens, at a time and place of their

convenience. Moreover, the e-learning platform has a modular, incremental approach with training/ learning modules customized to different audiences and levels.

10.3.9 14420 Helpline – In a bid to reduce incidences of unsafe manual entry into sewers and septic tanks, and promote their cleaning through mechanized means, MoHUA, through Department of Telecommunications (DoT), has been given a short code "14420" as the National Helpline number across all telecom service providers, for registering citizens' complaints on this issue.

10.4 Other digital initiatives: A list of additional IT-enabled modules under development or planned for the future as per of digital roadmap of the Mission is summarised below:

10.4.1 Swachh Nagar and IoT based asset

monitoring: to provide ease of monitoring waste management lifecycle at ULB, State and Central levels. It is envisioned that the solution would generate large amounts of data to accelerate the progress in solid and liquid waste management in the mission.

10.4.2 Document Management System -

System is used to receive, track, manage and store documents exchanged at various levels and encourage paperless communication.

10.4.3 IEC activities tracking system - Facilitating ULBs to track and trace the planned IEC activities for citizen outreach.

10.5 Evaluation Mechanisms

The aforementioned digital solutions will also play a pivotal role in enabling the holistic evaluation of the outcomes and outputs under SBM (U) 2.0.

10.5.1 The National Mission Director would conduct periodic reviews in the form of monthly reviews (through VC) with each State and select ULBs (as required). Further, periodic visits would also be conducted by officials of MoHUA / NMD, etc. to monitor on-ground progress, understand challenges and identify good practices adopted by States/ULBs.

10.5.2 The National Mission Directorate will engage appropriate third-party independent agencies for conducting certifications/ assessments of cities as per the ODF+/ODF++/ Water+ protocols and the Garbage Free Star Rating system. Background data for the same shall be taken from the Mission MIS, and any additional requirements would be communicated to States/cities from time to time.

10.5.3 The National Mission Directorate will undertake an annual ranking exercise - Swachh Survekshan. The survey has a comprehensive list of *Swachhata* parameters with a robust methodology

to competitively rank the cities on initiatives undertaken and progress made, towards enhancing the cleanliness and improving the sanitation service delivery chain, both in terms of quality of safely managed services and access to such services. The methodology of the survey will be revised on an annual basis and would be released to States/ UTs/ ULBs prior to on-field assessments.

10.5.4 States / UTs would need to submit an output-outcome plan (as per format given in **Annexure 5**), and thereafter submit quarterly progress on the same format.

10.5.5 Other tools such as impact studies, third party evaluations may also be instituted by National Mission Directorate.

10.5.6 After 18 months, a comprehensive evaluation of the Mission's progress will be undertaken to effect mid-term correction and align the Mission to achieve its objectives.

10.6 States/ UTs need to ensure that the information provided by ULBs is correct by

10.7 States/ ULBs are also encouraged to periodically conceptualize and launch suitable ICT platform to create awareness among citizens to provide feedback on mission outcomes through communication channels like social media, IVR, mobile app, email, WhatsApp, website, etc. The innovative solutions, if found feasible and successful, can be suitably replicated, and scaled up.

10.8 The various IT enabled applications will be eligible activities for funding under the capacity building head of the Mission.

10.9 Digital components pertaining to monitoring of efficiency/ operational outcomes of SBM-U project components (Sanitation, Wastewater

Management & SWM) will be funded under the respective component heads.

periodic review of the information provided by their ULBs and signing off on the data submitted, to signal their approval/ confirmation of the ULB data. It may be noted that MoHUA will only be accepting those ULBs' data for further action that has been confirmed/validated by the respective State/UT.

ANNEXES

ANNEX 1: LIST OF ULBs ELIGIBLE FOR C&D WASTE PROCESSING AND MECHANISED SWEEPING FUNDING

(As referred in Chapters 2 and 7)

S. No.	State Name	ULB Name	Status of City	Population
1	Andhra Pradesh	GVMC Visakhapatnam	NAC	>20 Lakhs
2	Andhra Pradesh	Vijayawada	NAC	10-20 Lakhs
3	Andhra Pradesh	Guntur	NAC	5-10 lakhs
4	Andhra Pradesh	Nellore	NAC	5-10 lakhs
5	Andhra Pradesh	Kurnool	NAC	5-10 lakhs
6	Andhra Pradesh	Rajahmundry	NAC	3-5 Lakhs
7	Andhra Pradesh	Anantapur	NAC	3-5 Lakhs
8	Andhra Pradesh	Ongole	NAC	3-5 Lakhs
9	Andhra Pradesh	Vizianagaram	NAC	3-5 Lakhs
10	Andhra Pradesh	Eluru	NAC	1-3 Lakhs
11	Andhra Pradesh	Kadapa	NAC	1-3 Lakhs
12	Andhra Pradesh	Chittoor	NAC	1-3 Lakhs
13	Andhra Pradesh	Srikakulam	NAC	1-3 Lakhs
14	Assam	Guwahati	NAC	10-20 Lakhs
15	Assam	Silchar	NAC	1-3 Lakhs
16	Assam	Nagaon	NAC	1-3 Lakhs
17	Assam	Sibsagar	NAC	<1 Lakh
18	Assam	Nalbari	NAC	<1 Lakh
19	Bihar	Patna	NAC	>20 Lakhs
20	Bihar	Gaya	NAC	5-10 lakhs
21	Bihar	Muzaffarpur	NAC	3-5 Lakhs
22	Chandigarh	Chandigarh	NAC	10-20 Lakhs
23	Chhattisgarh	Raipur	NAC	10-20 Lakhs
24	Chhattisgarh	Bhilai Nagar	NAC	5-10 lakhs
25	Chhattisgarh	Korba	NAC	3-5 Lakhs
26	Delhi	South Delhi (Sdmc)	NAC	>20 Lakhs
27	Delhi	North Delhi (N-Dmc)	NAC	>20 Lakhs
28	Delhi	East Delhi (Edmc)	NAC	>20 Lakhs
29	Gujarat	Ahmedabad	NAC	>20 Lakhs
30	Gujarat	Surat	NAC	>20 Lakhs
31	Gujarat	Vadodara	NAC	>20 Lakhs
32	Gujarat	Rajkot	NAC	10-20 Lakhs

S. No.	State Name	ULB Name	Status of City	Population
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33	Gujarat	Bhavnagar	Non-NAC	5-10 lakhs
34	Haryana	Faridabad	NAC	10-20 Lakhs
35	Haryana	Gurgaon	NAC	10-20 Lakhs
36	Himachal Pradesh	Baddi	NAC	<1 Lakh
37	Himachal Pradesh	PaontaSahib	NAC	<1 Lakh
38	Himachal Pradesh	Sunder Nagar	NAC	<1 Lakh
39	Himachal Pradesh	Nalagarh	NAC	<1 Lakh
40	Himachal Pradesh	Parwanoo	NAC	<1 Lakh
41	Himachal Pradesh	Damtal	NAC	<1 Lakh
42	Himachal Pradesh	Kala Amb	NAC	<1 Lakh
43	Jammu And Kashmir	Srinagar	NAC	10-20 Lakhs
44	Jammu And Kashmir	Jammu	NAC	5-10 lakhs
45	Jharkhand	Dhanbad	NAC	10-20 Lakhs
46	Jharkhand	Ranchi	NAC	10-20 Lakhs
47	Jharkhand	Jamshedpur	NAC	5-10 lakhs
48	Karnataka	Bruhat Bengaluru Mahanagara Palike	NAC	>20 Lakhs
49	Karnataka	Hubli-Dharwad	NAC	10-20 Lakhs
50	Karnataka	Mysore	Non-NAC	10-20 Lakhs
51	Karnataka	Gulbarga	NAC	5-10 lakhs
52	Karnataka	Devanagere	NAC	5-10 lakhs
53	Kerala	Thiruvananthapuram	Non-NAC	10-20 Lakhs
54	Kerala	Kozhikode	Non-NAC	5-10 lakhs
55	Kerala	Kochi	Non-NAC	5-10 lakhs
56	Madhya Pradesh	Indore	NAC	>20 Lakhs
57	Madhya Pradesh	Bhopal	NAC	>20 Lakhs
58	Madhya Pradesh	Jabalpur	NAC	10-20 Lakhs
59	Madhya Pradesh	Gwalior	NAC	10-20 Lakhs
60	Madhya Pradesh	Ujjain	NAC	5-10 lakhs
61	Madhya Pradesh	Dewas	NAC	3-5 Lakhs
62	Madhya Pradesh	Sagar	NAC	3-5 Lakhs
63	Maharashtra	Greater Mumbai	NAC	>20 Lakhs
64	Maharashtra	Pune	NAC	>20 Lakhs
65	Maharashtra	Nagpur	NAC	>20 Lakhs
66	Maharashtra	Thane	NAC	>20 Lakhs

S. No.	State Name	ULB Name	Status of City	Population
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67	Maharashtra	Pimpri Chinchwad	Non-NAC	>20 Lakhs
68	Maharashtra	Nashik	NAC	10-20 Lakhs
69	Maharashtra	Kalyan Dombivali	Non-NAC	10-20 Lakhs
70	Maharashtra	Vasai Virar	NAC	10-20 Lakhs
71	Maharashtra	Aurangabad	NAC	10-20 Lakhs
72	Maharashtra	Navi Mumbai	NAC	10-20 Lakhs
73	Maharashtra	Solapur	NAC	10-20 Lakhs
74	Maharashtra	Mira-Bhayandar	Non-NAC	10-20 Lakhs
75	Maharashtra	Bhiwandi Nizampur	Non-NAC	5-10 lakhs
76	Maharashtra	Amravati	NAC	5-10 lakhs
77	Maharashtra	Nanded Waghala	Non-NAC	5-10 lakhs
78	Maharashtra	Kolhapur	NAC	5-10 lakhs
79	Maharashtra	Ulhasnagar	NAC	5-10 lakhs
80	Maharashtra	Sangli	NAC	5-10 lakhs
81	Maharashtra	Jalgaon	NAC	5-10 lakhs
82	Maharashtra	Akola	NAC	5-10 lakhs
83	Maharashtra	Latur	NAC	3-5 Lakhs
84	Maharashtra	Chandrapur	NAC	3-5 Lakhs
85	Maharashtra	Jalna	NAC	3-5 Lakhs
86	Maharashtra	Badlapur	NAC	1-3 Lakhs
87	Meghalaya	Byrnihat	NAC	<1 Lakh
88	Nagaland	Dimapur	NAC	1-3 Lakhs
89	Nagaland	Kohima	NAC	1-3 Lakhs
90	Odisha	Bhubaneswar	NAC	10-20 Lakhs
91	Odisha	Cuttack	NAC	5-10 lakhs
92	Odisha	Rourkela	NAC	3-5 Lakhs
93	Odisha	Balasore	NAC	1-3 Lakhs
94	Odisha	Kalinga Nagar/Byasanagar	NAC	<1 Lakh
95	Odisha	Angul	NAC	<1 Lakh
96	Odisha	Talcher	NAC	<1 Lakh
97	Punjab	Ludhiana	NAC	>20 Lakhs
98	Punjab	Amritsar	NAC	10-20 Lakhs
99	Punjab	Jalandhar	NAC	10-20 Lakhs
100	Punjab	Patiala	NAC	5-10 lakhs
101	Punjab	Pathankot/DeraBaba	NAC	1-3 Lakhs
102	Punjab	Khanna	NAC	1-3 Lakhs

S. No.	State Name	ULB Name	Status of City	Population
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103	Punjab	Gobindgarh	NAC	1-3 Lakhs
104	Punjab	NayaNangal	NAC	<1 Lakh
105	Punjab	DeraBassi	NAC	<1 Lakh
106	Rajasthan	Jaipur	NAC	>20 Lakhs
107	Rajasthan	Jodhpur	NAC	10-20 Lakhs
108	Rajasthan	Kota	NAC	10-20 Lakhs
109	Rajasthan	Bikaner	Non-NAC	5-10 lakhs
110	Rajasthan	Ajmer	Non-NAC	5-10 lakhs
111	Rajasthan	Udaipur	NAC	5-10 lakhs
112	Rajasthan	Alwar	NAC	3-5 Lakhs
113	Tamil Nadu	Chennai	NAC	>20 Lakhs
114	Tamil Nadu	Coimbatore	Non-NAC	>20 Lakhs
115	Tamil Nadu	Madurai	NAC	10-20 Lakhs
116	Tamil Nadu	Tiruchirappalli	NAC	10-20 Lakhs
117	Tamil Nadu	Salem	Non-NAC	10-20 Lakhs
118	Tamil Nadu	Thoothukudi	NAC	3-5 Lakhs
119	Telangana	Greater Hyderabad	NAC	>20 Lakhs
120	Telangana	Warangal	Non-NAC	10-20 Lakhs
121	Telangana	Nalgonda	NAC	1-3 Lakhs
122	Telangana	Patencheru	NAC	1-3 Lakhs
123	Telangana	Sangareddy	NAC	<1 Lakh
124	Uttar Pradesh	Lucknow	NAC	>20 Lakhs
125	Uttar Pradesh	Kanpur	NAC	>20 Lakhs
126	Uttar Pradesh	Ghaziabad	NAC	>20 Lakhs
127	Uttar Pradesh	Agra	NAC	>20 Lakhs
128	Uttar Pradesh	Meerut	NAC	10-20 Lakhs
129	Uttar Pradesh	Varanasi	NAC	10-20 Lakhs
130	Uttar Pradesh	Allahabad	NAC	10-20 Lakhs
131	Uttar Pradesh	Bareilly	NAC	10-20 Lakhs
132	Uttar Pradesh	Moradabad	NAC	10-20 Lakhs
133	Uttar Pradesh	Aligarh	Non-NAC	10-20 Lakhs
134	Uttar Pradesh	Saharanpur	Non-NAC	5-10 lakhs
135	Uttar Pradesh	Gorakhpur	NAC	5-10 lakhs
136	Uttar Pradesh	Noida	NAC	5-10 lakhs
137	Uttar Pradesh	Firozabad	NAC	5-10 lakhs
138	Uttar Pradesh	Loni (Npp)	Non-NAC	5-10 lakhs
139	Uttar Pradesh	Jhansi	NAC	5-10 lakhs
140	Uttar Pradesh	Raebareli	NAC	1-3 Lakhs

S. No.	State Name	ULB Name	Status of City	Population
141	Uttar Pradesh	Khurja	NAC	1-3 Lakhs
142	Uttar Pradesh	Gajraula	NAC	<1 Lakh
143	Uttar Pradesh	Anpara	NAC	<1 Lakh
144	Uttarakhand	Dehradun	NAC	5-10 lakhs
145	Uttarakhand	Kashipur	NAC	1-3 Lakhs
146	Uttarakhand	Rishikesh	NAC	<1 Lakh
147	West Bengal	Kolkata (M Corp.)	NAC	>20 Lakhs
148	West Bengal	Haora (M Corp)	NAC	10-20 Lakhs
149	West Bengal	Durgapur	NAC	5-10 lakhs
150	West Bengal	Asansol	NAC	5-10 lakhs
151	West Bengal	Raniganj	NAC	5-10 lakhs
152	West Bengal	Siliguri	Non-NAC	5-10 lakhs
153	West Bengal	Haldia	NAC	1-3 Lakhs
154	West Bengal	Barrackpore	NAC	<1 Lakh

NAC: Non attainment city under NCAP

Non-NAC: not NAC, but included under "5 lakh and above" category

ANNEX 2: CITY SOLID WASTE ACTION PLAN (CSWAP)

(As referred in Chapter 2 and 6)

ULB's City Profile: (demographic and waste generation details)

1	Name of the ULB:			
2	Name of the District, State/ UT:			
3	No. of Municipal Zones in ULB:			
4	No. of wards in the ULB:			
5	Population & Households in the ULB as per 2011 Census:			
.	Population (P ₀)		Households(HH ₀)	
.				
6	Population & Households in the ULB as per current scenario:			
.	Population (P ₁)		Households(HH ₁)	
.				
7	Projected Population & Households in the ULB @2025			
.	Population (P ₂)		Households(HH ₂)	
.				
8	Institutional & Governance framework			
.			Yes / No	If no, action to be taken to notify & timeline
.	a	Regulatory Framework	Whether Municipal SWM Bylaws notified? (conforming to SWM Rules 2016)(furnish details)	
.			State SWM Strategy & Plan (available / not available)	
.	b	Institutional Arrangement	Roles and Responsibilities for dealing with MSWM services.	
.	c	Governance Reforms -	Implementation of e-governance in ULBs (available / not available)	
.	d	ICT based Governance	ICT based monitoring of MSWM operations, services and complaint redressal (furnish details)	

9. MSWM Service Level Benchmarks				
	Indicator	Benchmark	Before implementation of project(s)	After implementation of project(s)
1.	Household level coverage of SWM services	100%		
2.	Efficiency of collection of municipal solid waste	100%		
3.	Extent of segregation of municipal solid waste	100%		
4.	Extent of municipal solid waste recovered	80%		
5.	Extent of scientific disposal of municipal solid waste	100%		
6.	Efficiency in redressal of customer complaints	80%		
7.	Extent of cost recovery in SWM services	100%		
8.	Efficiency in collection of SWM-related user charges	90%		
--	Notified User Fee for MSWM services (provide details)			

Current MSW Management:

1.	Current MSW total generation in TPD (A): _____ TPD= _____ Tonnes per day	Per Capita generation in gms: _____ (Ax10 ⁶ / P ₁)				
2.	Total waste collected (TPD): _____					
3.	No. of wards & % of wards practicing source segregation:					
	<table border="1"> <thead> <tr> <th>No of wards</th> <th>% of wards</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> </tr> </tbody> </table>	No of wards	% of wards			
No of wards	% of wards					
4.	No. of wards & % of wards practicing 100% door to door waste collection:					
	<table border="1"> <thead> <tr> <th>No of wards</th> <th>% of wards</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> </tr> </tbody> </table>	No of wards	% of wards			
No of wards	% of wards					
5.	Total quantity transported in TPD to:					
	<table border="1"> <thead> <tr> <th>Processing Plants</th> <th>SLF</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> </tr> </tbody> </table>	Processing Plants	SLF			
Processing Plants	SLF					

6.	Secondary collection points/Transfer Stations (TS) (only if TS is/ are existing, otherwise not applicable)		
	Waste stream	Number of TS	Capacity of TS (in TPD)
	Wet waste		
	Dry Waste		
7.	On basis of Waste Characterization, quantity of segregated waste generated (in TPD), of given waste streams		
	MSW Waste Stream	Quantity in TPD	% of MSW
	Wet waste		
	Dry Waste		
	Sanitary Waste		
	Domestic Hazardous Waste		
	Other wastes (Drain Silt & Inert)		
	C&D Waste	Qty in TPD	% of MSW
	Total C&D Waste generated		(expressed as % of A at row 1 above)
8.	Total quantity of MSW currently processed (B) in TPD:		
9.	Total design capacity* available of all types of processing plants in TPD: *All existing, under construction, approved and defunct plants (defunct plants that have not been written off) Note: This capacity will be equal to or greater than (B)		
10.	Operation & Maintenance and Recovery of SWM fees Issues Prepare statement of previous 5 years O&M costs incurred in ULB for O&M and the collections of SWM use fees and analyses for sustainability of O&M		

Assessment of requirement of processing plants/facilities:

A	Projected waste generation@2025 in TPD:	
	Per capita generation for calculating waste generation:	
	ULBs > 10 lakh population@550 gms/capita:	
	ULBs 1 lakh -10 lakh (both included) population@450gm/capita:	
	ULBs <1 lakh population@300gm/capita:	

B	Projected Waste generation streams for year 2025:			
	Waste stream	Fraction in MSW (indicative—can be changed as per actuals in ULB)	Projected waste generation in TPD	% of MSW
	Wet Waste	55%		
	Dry Waste	35%		
	Domestic Hazardous waste	Minor		
	Other Waste(Drain Silt & Inert)	10%		
	To SLF (not more than)	20%		

Other components of MSW Management

C	Sanitary Landfill (SLF) (Filling CELL for 5 years only)	
	Waste sent to SLF restricted to 20% of total Municipal	
	SLF capacity for 5 years duly adding extra volume for daily cover, top cover etc. (as per Manual on MSWM) Tonnes/cum/day	

D	Estimated cost for proposed components as per GAP analysis			
	Waste Management Component	Total proposed requirement (gap projected @2025)	Estimated cost/ tonne (per machine for MRSs)	Proposed estimated cost
	Wet waste processing			
	Dry waste processing			
	C&D waste processing			
	Dumpsite Remediation			
	Sanitary Landfill			
	Transfer Station			
	Mechanical Road Sweepers (MRSs)			

Financing Planning of Fund Required for Addressing the GAPs (Rs. in Crore)

	Waste management Item	Total Proposed Cost	ACA under SBM-U 2.0	State Govt. Fund	ULB fund	Other Fund (PPP, others)
1.	For wet waste processing					
2.	For Dry waste processing					
3.	For C&D waste processing					
4.	For Dumpsite Remediation					
5.	For Sanitary Landfill					
6.	For Transfer Station					
7.	For Mechanical Road Sweepers					
	Grand Total					

Items not required/applicable in the particular ULB may be deleted

Module 1: MSW Processing GAP analysis & Action Plan

M1.1 GAP Assessment for 100% Processing of MSW at ULB level

Processing Facility proposals	Existing Plants Capacity (TPD)*	Status of Current Capacity- Deficit/ Surplus	GAP Projected @2025 (TPD)
Mixed Waste Processing Facility (continue to be used for either Wet OR Dry Waste) – Data taken for assessing capacities			No new mixed waste plant will be allowed
Composting Plants (for WET waste)			
Bio-methanation Plants (for WET waste)			
Material Recovery Facilities MRF- (for DRY waste)			
Standalone RDF Plants (for DRY waste downstream of MRFs)(not part of composting plants)			
Waste to Electricity (RDF based – only for ULBs > 10 lakh)			
Others (describe the nature of plants, feed stock should be source segregated waste)			

*(Operational/Under Constn. / in Tender Process, Non-Functional good condition)

Explanation for calculating the GAP.

Many ULBs have installed composting plants receiving mass waste, without segregation at source, but carry out segregation within the process. Such plants shall continue to be utilized for either wet or dry waste, for full design capacity with segregation at source. It will result in proposing plants for other waste stream only.

Additional process may be added down the line to process RDF if not already being done in such plants.

After the GAP analysis, actions need to be taken for preparation of DPRs; Identifying & earmarking land; documents for tenders etc.

M1.2 ULB level Action Plan for achieving 100% scientific MSW Processing

Processing Facility proposals	Proposed Plant Capacity (TPD)	Estimated Cost	Plant Commissioning Date
Composting Plants (for WET waste)			
Bio-methanation Plants (for WET waste)			
Material Recovery Facilities MRF- (for DRY waste)			
Standalone RDF Plants (for DRY waste downstream of MRFs)(not part of composting plants)			
Waste to Electricity (RDF based – only for ULBs > 10 lakh)			
Others (describe the nature of plants -feed stock should be source segregated waste)			
TOTAL			
<i>Other Proposals part of MSW</i>			
Construction of SLF			
Construction of TS, if required (ULBs >5lakh and haulage of fully loaded vehicles is > 15Km)			
TOTALs			

M1.3 ULB commitment timelines for Certification under Garbage-free Cities Star Rating

S.No.	GFC Star Rating Certification	Committed Date
1.	1-Star GFC Rating Certification	
2.	3-Star GFC Rating Certification	(mandatory before 31.3.2026)
3.	5-Star GFC Rating Certification	These Certifications are beyond the mandatory requirement under SBM 2.0. ULBs are encouraged to get these certifications.
4.	7-Star GFC Rating Certification	

M1.4 State/ UT – Consolidated Financial Action Plan for MSW Processing: Financials in Rs. Crore

	FY 2021-22	FY 2022-23	FY 2023-24	TOTAL (equal to SBM 2.0 SWM allocation, Processing part only)
Action Plan Amount				
No. of ULBs covered*				All ULBs in the State/ UT covered in APs by 2023-24

** Detailed ULB-wise, plant-wise Action Plan statement is to be furnished
Action Plan approvals to be obtained by 31.3.2024 for all ULBs*

M1.5 State / UT – Consolidated Certification- cum-Implementation Action Plan (only First time GFC Certifications to be considered)

Certification	Before SBM 2.0	FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26
No. of ULBs rated 1-Star				All ULBs to be 1-Star rated by 31.3.2023		
No. of ULBs rated 3-Star*						
No. of ULBs with 100% waste processing						

* All ULBs to become 3-Star GFC Rated before 31.3.2026

Module 2: Legacy Waste Dumpsites Remediation Action Plan

M2.1 ULB's Dumpsite Remediation Plan (applicable only if ULB has an existing dumpsite(s))

Total quantity of existing legacy waste in tonnes	
Land occupied by the dumpsite, Acres	
Proposed method for remediation*	
Action plan for recoverable material	
Indicative Uses/ Utilization of Segregated Material	
Land to be recovered, Acres (extent of land from which waste is completely removed)	
End uses of remediated dumpsite area	
Estimated Cost for Remediation	
Most likely date for complete remediation (not beyond 31.3.2023 for ULBs < 10 lakhs and 31.3.2024 for ULBs > 10 lakhs)	

** to be compliant with extant NGT and Court orders*

M2.2 State/ UT– Consolidated Financial Action Plan for Dumpsite Remediation: Financials in Rs. Crore

	FY 2021-22	FY 2022-23	TOTAL (equal to SBM 2.0 allocation for dumpsite remediation for the State / UT)
Action Plan Amount			
No. of ULBs covered*			All ULBs in the State/ UT
Action Plan approvals to be obtained by <u>31.3.2022</u> for all ULBs <10 Lakh and by <u>31.3.2023</u> for all ULBs >10 lakh			
<i>* Detailed ULB-wise, dumpsite-wise Action Plan statement is to be furnished</i>			

M2.3 State/ UT – Consolidated Dumpsite Remediation Implementation Action Plan

Remediation	Before SBM 2.0	By 31.7.2022	By 31.3 2023	By 31.3.2024	TOTAL
No. of ULBs completing remediation					All ULBs in the State/ UT to complete remediation by 31.3.2024

Module 3: C&D Waste Processing Action Plan (only for 154 non-complying (NCAP cities) and 5-lakh size ULBs)

M3.1 ULBs Gap Assessment for Processing of Construction and Demolition Waste

(Applicable for ULBs > 5 lakh population and/or 154 Non-attainment cities)

Estimated C&D Waste generated @ 50gm/capita of total Municipal Solid Waste in TPD	
Add 25% extra for bulk C & D waste generators, depositing with ULB	
Add 20% over and above	
Total C&D waste currently generated in TPD	
Existing capacity of C&D waste processing plant available in TPD	
Proposed capacity in TPD for 2025	

M3.2 State/ UT – Consolidated Financial Action Plan for C&D Waste Processing: Financials in Rs. Crore

C&D Waste Processing	FY 2021-22	TOTAL (equal to SBM 2.0 allocation for C&D Waste Plants)
Action Plan Amount		Approvals to be obtained by 31.3.2022 for all the ULBs concerned in one go, thus prioritizing control of air pollution
Detailed Statement of ULBwise C&D waste processing plant proposals are to be furnished		

M3.3 State/ UT– Consolidated C&D Waste Processing Plants Implementation Action Plan

Setting up C&D Waste Processing Plants	Before/ Outside SBM 2.0	By 31.7.2022	By 31.3.2023	TOTAL
No. of ULBs				All ULBs > 5lakh + NCAP ULBs in the State/ UT to complete the plants by 31.3.2023

Module 4: Mechanical Road Sweepers Action Plan (only for 154 non-complying (NCAP) and 5-lakh size ULBs)

M4.1 Mechanical Road Sweepers (Applicable only for ULBs > 5 lakh population and/or 154 Non-attainment cities) - Assessment for a ULB:

Length of road to be swept daily(Only those roads which are 4-lane or more lanes)	
---	--

Detailed calculation of mechanical sweeping required in Lane-KMs	
Proposed no. of Machines required to sweep the length	
No. of Machines currently operating /existing	
Current requirement of machines (nos)	

M4.2 State/ UT – Consolidated Financial Action Plan for Mechanical Road Sweepers: Financials in Rs. Crore

	FY 2021-22	TOTAL (equal to SBM 2.0 allocation for Mechanical Road Sweepers)
Action Plan Amount		Approvals to be obtained by 31.3.2022 for all the ULBs concerned in one go, thus prioritizing control of air pollution
<i>Detailed Statement of ULB-wise Mechanical Road Sweepers proposals are to be furnished</i>		

M4.3 State Government / UT Administration – Consolidated Mechanical Road Sweepers Implementation Action Plan

Equipping ULBs with Mech. Road Sweepers	Before/Outside SBM 2.0	By 31.7.2022	By 31.3.2023	TOTAL
No. of ULBs				All ULBs > 5lakh + NCAP ULBs in the State/ UT to complete procurement of MRSs by 31.3.2023

STATE/ UT ANNUAL ROADMAP

I. State/ UT Annual Action Plans (Financial)

(Aggregate of action plans mentioned at M1.4, M2.2, M3.2 and M4.2 above)

	FY 2021-22	FY 2022-23	FY 2023-24	TOTAL
Sub-Action Plans:				
MSW Processing				
Dumpsite Remediation				
C&D Waste Processing				

Mechanical Road Sweepers				
Cumulative Action Plan TOTAL				(equal to SBM 2.0 allocation)
No. of ULBs covered				All ULBs in the State/ UT are to be covered in Action Plans by FY 2023-24 leaving adequate time for implementation

II. Roadmap for Deliverables:

MSWM compliances	Before SBM 2.0	By 31.3.2022	By 31.3.2023	By 31.3.2024	By 31.3.2025	By 31.3.2026
No. of ULBs with -						
100% MSW processing						(All ULBs)
100% Dumpsite Remediation				(all ULBs concerned)	-----	-----
100% C&D Waste processing			(all ULBs concerned)	-----	-----	-----
Mechanical Road Sweeping			(all ULBs concerned)	-----	-----	-----
* All ULBs to become 3-Star GFC Rated before 31.3.2026						

III. Roadmap for Garbage Free City (GFC) Star Rating Certifications:

Certification	Before SBM 2.0	By 31.3.2022	By 31.3.2023	By 31.3.2024	By 31.3.2025	By 31.3.2026
No. of ULBs with GFC 3-Star Certification (mandatory under SBM 2.0) or higher certification						(All ULBs)

ANNEX 3A: CITY SANITATION ACTION PLAN (CSAP): FOR TOILETS

(As referred in Chapters 2 and 7) To be filled in by all ULBs

S. No	Description	Particulars	Detailed description	Remarks
A	GENERAL INFORMATION			
1	Location and Physical aspects			

1.a	Location	Name of the City, District, State		
1.b	Physical Aspects	Municipal Area in sq. km and Class of Town		
		Number of Wards		
		Geographical description -Hilly area, river, Environmental sensitive area etc.		
1.c	Maps	Map depicting administrative boundaries, roads and railways, water bodies, Important landmarks etc. (if not available, to be prepared)		
		Topo-Sheet (<i>ref: Survey of India, Scale - 1:50000</i>)(if not readily available, get it)		
2	Demography and Growth pattern			
2.a	Population	Census data - Latest census data and previous census data (population projection for 2025, 2040 and 2055)		
		Slum population <ul style="list-style-type: none"> • Population • Households • Density 		
		Non slum population <ul style="list-style-type: none"> • Population • Households • Density 		
		Floating population <ul style="list-style-type: none"> • Population per day (if available from tourism department) 		
		Decadal Population growth rate (in %)		
3	Land Use information and Development			
3.a	Land Use pattern	Land use classification in the city– [Area under residential, commercial, Institutional, open areas, slums (available / not available)]		
		Details of Population and projected growth		
3.b	Maps	Map depicting the existing land use - residential, commercial, Institutional, slums, green cover, open land etc. (available / not available)		

B	TECHNICAL INFORMATION: Information regarding Sanitation infrastructure facilities
4	Access to Toilet (<i>Ward-wise information to be made available</i>)

4.a	Individual Toilet	<ul style="list-style-type: none"> • Numberof Sanitary toilets • Numberof insanitary toilets (single pit, twin pit, insanitary, dry, pour flush) • septic tank without soak away 		
	Community toilet	<ul style="list-style-type: none"> • Numberof households dependent • Numberand Locationof toilet blocks • Numberof seats per block • Functional status • Septic tank without soak away 		
	Public toilet and urinals	<ul style="list-style-type: none"> • Numberand Locationof toilet & urinal blocks • Numberof seats per block • Functional status • Septic tank without soak pit 		
	Open defecation	<ul style="list-style-type: none"> • Location of OD spots 		
4.b	Operation and maintenance	Notified rates of User charges (Rs) <ul style="list-style-type: none"> • For community toilets • For public toilets 		
		Responsible agency for O&M [By in-house arrangement or outsourced]		
		Complaint redressal system		
4.c	Service Level Benchmark (100%)	Access to toilet (% coverage)		
4.d	Maps	Map depicting the Location of public and community toilets (if not available, the same to be depicted)		
C	INSTITUTIONAL AND GOVERNANCE			
5	Institutional framework			
5.a	Regulatory Framework	Whether Municipal Sanitation Bye Laws notify tariff for sanitation services. (details)		
		State Sanitation Strategy (available / not available)		
5.b	Institutional Arrangement	Roles and Responsibilities for dealing with sanitation services.		
5.c	Governance and Reforms -	Implementation of e-governance in ULBs (available / not available)		

D	CAPACITY ENHANCEMENT:
----------	------------------------------

6	Capacity Management				
6.a	Human Resource Development	Details of the personnel engaged in sanitation services along with roles and responsibilities.			
		Outsourcing of staff and services (available / not available)			
E	GAP ANALYSIS:				
7.a		Analyze the projected requirement of sanitation infrastructure/facilities in 2025,			
7.b		Identify the available infrastructure in good condition			
7.c		Analyze the gap in various areas and suitably club as part of a project/DPR <ul style="list-style-type: none"> IHHL/CT/PT/Urinals 			
Funding requirement					
	Total fund required	Central share	State share	ULB share	Others (pl specify)

ANNEX 3B: CITY SANITATION ACTION PLAN (CSAP): FOR USED WATER MANAGEMENT

(As referred in Chapters 2 and 7)

(To be filled in only for Cities below 1 Lakh Population, as referred in Chapters 2 and 6)

S.No.	Description	Particulars	Detailed description	Remarks
A	GENERAL INFORMATION			
1	Location and Physical aspects			
1.a	Location	Name of the City, District, State		
1.b	Physical Aspects	Municipal Area in sq. km and Class of Town		
		Number of Wards		
		Geographical description -Hilly area, river, Environmental sensitive area etc.		
1.c	Maps	Map depicting administrative boundaries, roads and railways, water bodies, Important landmarks etc. (if not available, to be prepared)		
		Topo-Sheet (<i>ref: Survey of India, Scale - 1:50000</i>) (if not readily available, get it)		
2	Demography and Growth pattern			
2.a	Population	Census data - Latest census data and previous census data (population projection for 2025, 2040 and 2055)		
		Slum population <ul style="list-style-type: none"> • Population • Households • Density 		
		Non slum population <ul style="list-style-type: none"> • Population • Households • Density 		
		Floating population <ul style="list-style-type: none"> • Population per day (if available from tourism department) 		
		Decadal Population growth rate (in %)		
3	Land Use information and Development			

3.a	Land Use pattern	Land use classification in the city- [Area under residential, commercial, Institutional, open areas, slums (available / not available)]		
		Details of Population and projected growth		
3.b	Maps	Map depicting the existing land use - residential, commercial, Institutional, slums, green cover, open land etc. (available / not available)		
B	TECHNICAL INFORMATION: Information regarding Used water infrastructure facilities			
4	Details of existing sewage infrastructure			
4.a		Brief description of existing sewage infrastructure in the town: (i) TPs (ii) FSTPs (iii) Existing sewers (iv) Drains (v) Number of cesspool tankers (govt./private) (vi) Funding Agencies & amount		
5	Sewage Management			
5.a	Sewage Generation	<ul style="list-style-type: none"> Estimated sewage generation (in MLD for 2025, 2040, 2055) 		
5.b	Collection and Conveyance	<p>NETWORK COVERAGE</p> <ul style="list-style-type: none"> Present population covered with sewerage network Present population uncovered with sewerage network. 		
		<p>SEPTAGE</p> <ul style="list-style-type: none"> Status of scheduled desludging (by ULB/ Licensed operator) 		
		<p>Drainage</p> <ul style="list-style-type: none"> Number of drains with length & material of construction etc. (width more than 75 cm) carrying sewage into the surface water body or open land Status of drains with or above 75 cm width (covered/uncovered) Number of outfall locations along with estimated quantity of sewage (dry weather) being discharged into surface water body or open land 		
		<p>Outfall location</p> <ul style="list-style-type: none"> Mention the location of outfall points (river/ Natural drain/surface water body/ open land) 		

5.c	Treatment (Septage, Used water)	<p>Used water treatment (including cotreatment)</p> <p>–</p> <p>Are the used water treatment facility available (yes/no)</p> <p>If 'yes'</p> <ul style="list-style-type: none"> • Treatment technology and Capacity (MLD) • Current capacity utilization–under/over (MLD) • Quantity of used water treated (MLD) • Quantity of septage co-treated (KLD) • Reuse (treated used water, sludge, biogas) Information along with respective quantity 		
		<p>Septage treatment</p> <p>Are the septage treatment facility available (yes/No) – If 'yes'</p> <ul style="list-style-type: none"> • Quantity of septage to be treated (KLD) • Treatment technology and Capacity (KLD) • Current utilization - under/over (KLD) • Reuse (treated used water, sludge, biogas) Information along with respective quantity 		
5.d	Operation and Maintenance	<p>For existing septage collection, conveyance and treatment facility</p> <ul style="list-style-type: none"> • Responsible agency • User charges for desludging, conveyance and disposal per household (Rs) • O&M cost for the treatment facility (Rs) • Cost recovery (%) 		
		<p>For existing used water collection, conveyance and treatment facility</p> <ul style="list-style-type: none"> • Responsible agency • Household sanitation tariff – Monthly (Rs) • Conservancy tax as part of property tax • O&M cost for the conveyance and treatment facility (Rs) 		

		<ul style="list-style-type: none"> • Cost recovery(%) 		
--	--	--	--	--

5.e	Service Level Benchmark - Present	Indicators	Benchmark	Before implementation of project	After the implementation of project		
		Coverage of Sewerage Network	100%				
		Collection efficiency of Sewerage Network	100%				
		Adequacy of Sewage Treatment Capacity	100%				
		Quality of sewage treatment	100%				
		Extent of Reuse and Recycling of Sewage	20%				
		Extent of cost recovery in sewage/ used water management	100%				
		Efficiency in redressal of customer complaints	80%				
		Efficiency in Collection of sewage / used water Charges	90%				
		Access to toilets	100%				
		Scheduled desludging	100%				
		Notified tariff for desludging					

5.f	Maps	Map depicting the coverage of existing sewer network coverage and onsite system		
		Access to toilets		
		Scheduled desludging		
		Notified tariff for desludging		
C	INSTITUTIONAL AND GOVERNANCE			
6	Institutional framework			
6.a	Regulatory Framework	Whether Municipal Sanitation Bye Laws notify tariff for sanitation/sewage services (details)		
		State Sanitation Strategy (available / not available)		
6.b	Institutional Arrangement	Roles and Responsibilities for dealing with sanitation/ sewage services.		
6.c	Governance and Reforms -	Implementation of e-governance in ULBs (available / not available)		
D	CAPACITY ENHANCEMENT:			
7	Capacity Management			
7.a	Human Resource Development	Details of the personnel engaged in sanitation services along with roles and responsibilities.		
		Outsourcing of staff and services (available / not available)		
E	GAP ANALYSIS:			
8.a		Analyze the projected requirement of used water infrastructure/facilities in 2025,		
8.b		Identify the available infrastructure in good condition		
8.c		Analyze the gap in various areas and suitably club as part of a project/DPR <ul style="list-style-type: none"> • Sewer network • Septage conveyance • STP cum FSTP • Recycle and reuse potential 		
F	CONCLUSION	On above lines identify various DPRs/ plan for projects related to <ul style="list-style-type: none"> • I&D and STP cum FSTP • Sewer network • Storm water drainage system • Recycle and reuse projects • Gap in human resources for execution and O&M etc. 		
Funding requirement				

Total fund required	Central share	State share	ULB share	Others (pl specify)

Roadmap for achieving Mission outcomes

Target/Year	2021-22	2022-23	2023-24	2024-25	2025-26	Remarks
Cities ODF++						
Cities Water+						

ANNEX 4: STATEWISE ALLOCATION OF FUNDS

(As referred in Chapter 4)

For toilet construction and SWM components, the allocation of funds has been done on the basis of weighted average of urban population of State/ UT to total urban population of statutory towns, and area of State to total area of country. For Used water management, the allocation of funds has been done on the basis of total population of < 1 lakh ULBs in State / UT to total population of < 1 lakh ULBs in the country. All population figures are based on Census 2011 figures.

S. No.	Name of State/ UT	Central share allocation (₹ in crores) for:					
		Toilet construction		Used water Management	Solid Waste Management	IEC	CB
		Floating fund	State allocation				
1.	ANDAMAN AND NICOBAR ISLANDS		0.5	0.0	5.5	1.7	0.9
2.	ANDHRA PRADESH		47.1	694.1	458.1	142.4	71.6
3.	ARUNACHAL PRADESH		1.0	79.3	33.2	10.3	5.2
4.	ASSAM		14.2	315.7	118.3	36.8	18.5
5.	BIHAR		37.9	666.5	341.1	106.0	53.3
6.	CHANDIGARH		3.3	0.0	28.5	8.9	4.5
7.	CHHATTISGARH		19.1	414.6	200.1	62.2	31.3
8.	DADRA AND NAGAR HAVELI & DAMAN and DIU		1.1	23.1	4.8	1.5	0.7
9.	DELHI		52.8	0.0	436.1	135.6	68.1
10.	GOA		2.9	56.9	12.3	3.8	1.9

11.	GUJARAT		83.0	806.9	701.4	218.0	109.6
12.	HARYANA		28.5	284.4	226.9	70.5	35.4
13.	HIMACHAL PRADESH		2.2	101.0	36.5	11.3	5.7
14.	JAMMU & KASHMIR		10.3	226.4	131.7	40.9	20.6
15.	JHARKHAND		25.6	236.8	174.9	54.4	27.3
16.	KARNATAKA		76.1	1,128.6	709.3	220.5	110.8
17.	KERALA		51.4	521.7	205.8	64.0	32.2
18.	LADAKH		0.7	34.1	19.0	5.9	3.0
19.	MADHYA PRADESH		64.7	1,229.5	617.5	192.0	96.5

20.	MAHARASHTRA	IHHL/CT/ PT/Urinals	163.8	1,484.8	1,438.1	447.1	224.7
21.	MANIPUR		2.5	58.7	23.9	7.4	3.7
22.	MEGHALAYA		1.9	40.8	16.8	5.2	2.6
23.	MIZORAM		1.8	48.1	22.2	6.9	3.5
24.	NAGALAND		1.8	60.3	19.0	5.9	3.0
25.	ODISHA		22.6	491.0	209.8	65.2	32.8
26.	PUDUCHERRY		2.7	25.5	20.4	6.3	3.2
27.	PUNJAB		33.5	589.0	294.2	91.5	46.0
28.	RAJASTHAN		54.9	916.1	541.8	168.4	84.6
29.	SIKKIM		0.5	9.8	6.2	1.9	1.0
30.	TAMIL NADU		112.5	1,999.7	807.4	251.0	126.1
31.	TELANGANA		43.9	463.1	381.9	118.7	59.7
32.	TRIPURA		3.1	48.4	23.0	7.2	3.6
33.	UTTAR PRADESH		143.4	2,117.2	1,235.9	384.2	193.1
34.	UTTARAKHAND		9.8	203.0	89.0	27.7	13.9
35.	WEST BENGAL		93.8	507.9	577.7	179.6	90.3

	RETAINED AT MOHUA			-		790.2	782.4
	TOTAL	405	1,215	15,883	10,168	3,951	2,371

ANNEX 5: OUTPUT-OUTCOME INDICATORS

(As referred in Chapter 10)

Outputs (2021-26)				Outcomes (2021-26)					
Output	Indicator(s)	Target	Year-wise Target	Out-come	Indica-tor (s)	Target	Year-wise Target		
Sustainable Sanitation									
1 Construction of Community Toilets/ Public Toilets (70,000 nos.)	Total number of CT/PT constructed	Number of CT/PT constructed	Y1:		ODF+ Status (All cities declared ODF+)	Total number of Cities/ towns declared ODF+	Number of Cities/ towns declared ODF+ in the country	Y1:	
			Y2:					Y2:	
			Y3:					Y3:	
			Y4:					Y4:	
			Y5:					Y5:	
2 Construction of Urinals (50,000 nos.)	Total number of Urinals Constructed	Number of Urinals Constructed	Y1:					Y1:	
			Y2:				Y2:		
			Y3:				Y3:		
			Y4:				Y4:		
			Y5:				Y5:		
3 Construction of IHHL (10,000 nos.)	Total number of IHHL constructed	Number of IHHL Con- structed	Y1:					Y1:	
			Y2:				Y2:		
			Y3:				Y3:		
			Y4:				Y4:		
			Y5:				Y5:		
Solid Waste Management									
1 Upgradation system of segregation, collection and transportation (All Cities)	Total number of cities with upgraded segregation, collection and transportation system	Number of cities with upgraded segregation, collection and transportation system / number	Y1:		Garbage Free Ratings for the Cities (All cities)	Total number of Cities/ Towns Declared at least 3 star rated	Number of Cities/ Towns Declared at least 3 star rated	Y1:	
			Y2:					Y2:	
			Y3:					Y3:	
			Y4:					Y4:	

		of wards covered by 100% source segregation	Y5:						
2 Construction of Material Recycling Facilities (MRFs) (All Cities)	Total number of Cities with MRFs installed	Number of Cities with MRFs installed	Y1:						Y2:
			Y2:						
			Y3:						
			Y4:						
			Y5:						

2.3 Processing of Waste (dry and wet waste) (All Cities)	Scientific Processing of Waste gener- ated in all the cities	Number of cities with 100% scientific processing of waste / quantity (tonnes per day) of generated waste being scientifically processed	Y1:						
			Y2:						
			Y3:						
			Y4:						
			Y5:						
2.4 Processing of Construction and Demolition Waste (Non- Attainment Cities and other cities with population of 5 lakh and above)	Scientific Processing of C&D waste in NonAttainment Cities	Number of Non- Attainment Cities with Scientific Processing of C&D Waste / quantity (Tonnes per day) of C&D waste processing for which plants commissioned	Y1:					Y3:	
			Y2:						
			Y3:						
			Y4:						
			Y5:						
2.5 Biomining and Capping of Dumpsites (>10 Lakh Population Cities)	(a) Biomining of waste from dumpsites of all cities.	Number of Cities with biomining of waste / Quantum (in lakh tonnes) of waste remediated in dumpsites	Y1:					Y4:	
			Y2:						
			Y3:						
			Y4:						

			Y5:						
	(b)Biomining and Capping of dumpsites in Cities with 10 lakh & above population	Number of Cities with 10 lakh & above population with Capping of Dumpsites / Quantum (in lakh tonnes) of waste remediated in dumpsites	Y1:						
			Y2:						
			Y3:						
			Y4:						
			Y5:						
2.6 Mechanized Road Sweeping (Non-Attainment Cities and other cities with population of 5 lakh and above)	Mechanized road sweeping in Non-Attainment cities	Number of NonAttainment cities with Mechanized road sweeping.	Y1:					Y5:	
			Y2:						
			Y3:						
			Y4:						
			Y5:						

1. Used water Management (only for cities with population of below 1 lakh)									
3.1 Installation of Sewage Treatment Plants (STPs/FSTPs)	Installation of STPs/FSTPs in cities with less than 1 lakh population.	Number of cities with less than 1 lakh population having installed STPs/FSTPs	Y1:		ODF++ Status All Class II cities and below	Total number of Cities	Number of Cities		
			Y2:			ODF++	ODF++		
			Y3:		and	Water+	Water+		
			Y4:						
			Y5:		Water+ Status (in 50% of ClassII and below cities)				
3.2 Procurement and O&M of Septic Tank Cleaning Vehicles	Provision of Scheduled cleaning of septic tanks in all the cities of	Number of cities of less than 1 lakh population with	Y1:					Y1: ODF+ +	
			Y2:					Y1: Water+ +	
			Y3:						

	less than 1 lakh population	provision of scheduled cleaning of septic tanks	Y4:				Y2: ODF+ + Y2: Water+ +	
			Y5:					
3.3 Improvement of Sewerage and Septage Management in cities with less than 1 lakh Population	Total Sewerage Treatment plants (STPs) capacity added/installed	Total STPs capacity to be achieved in five years	Y1					
			Y2				Y3: ODF+ + Y3: Water+ +	
			Y3					
			Y4					
			Y5					
	Total FSSM Capacity added/installed	Total FSTPs capacity to be achieved in five years	Y1				Y4: ODF+ + Y4: Water+ +	
			Y2					
			Y3				Y5: ODF+ + Y5: Water+ +	
			Y4					
			Y5					

4. IEC and Capacity Building	Campaigns on Radio, TV, Social Media, and e-learning training workshops	Cover 100% population in Urban Area	Y1:		Awareness generation and behavioural change vis-à-vis importance of hygiene and sanitation in public health. The outcome is not quantifiable,	Number of citizens participated in Star Rating for GFC, Swachh Manch, Swachhata App Down-	Cover approx. 30% people connected with GTL, Swachhata App, Helpline, Swachh Manch.	Y1:	
			Y2:					Y2:	
			Y3:					Y3:	
			Y4:					Y4:	

			Y5:	however, effective communication and awareness would lead to greater public participation and citizen involvement in creating garbage free and Open Defecation Free cities, and ultimately, make Swachh Bharat Mission into a 'jan andolan'. 100% population sensitized about the Mission	loads		Y5:	
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	Number of Workshops conducted such as Regional/ National level Workshops, Star Rating Garbage free protocol, NIUA workshops on Sanitation and SWM, etc.	Number of ULBs covered with Capacity Building (All cities)	Y1:		Improvement in skills, knowledge and capacities, leadership development and change management competencies developed of ULB officials connected with implementation	Number of ULB officials trained	Cover all ULB officials	Y1:	
			Y2:					Y2:	
			Y3:					Y3:	
			Y4:					Y4:	
			Y5:					Y5:	
			Y2:						
			Y3:						

			Y4:		of Mission, through Work-shops, Sem-inars, Trainings, etc.		
			Y5:				

ANNEX 6: CHECKLIST FOR PROPOSAL PREPARATION

(As referred in Chapter 6,7)

Check List for Scrutiny for Solid Waste Management Projects seeking funding from Swachh Bharat Mission (Urban) 2.0

1.	Name of the Project:		
2.	Name of the ULB, District, State/UT:		
3.	No. of wards of the ULB:		
4.	Present Status of SWM:		
	a.	MSW generation in TPD:	
	b.	Per capita waste generation:	
	c.	% of wards practising source segregation:	
	d.	% of wards practising door to door collection:	
	e.	Quantity of MSW being processed in TPD:	
	f.	% of waste being processed:	
	g.	% of waste dumped /landfilled	
5.	Waste Quantification with the waste streams of the current year records		
	Waste streams	Current year (TPD)	% of MSW
	Wet Waste		
	Dry Waste		
	Sanitary Waste		
	Domestic Hazardous Waste		

	Other Waste(Drain Silt & Inert)		
6.	Details of existing/on-going/proposed scheme in the project area (Please enter brief details project wise)		
7.	Details of existing design capacity of processing facilities (including under construction, tendered, nonfunctional)		
	Waste Processing Unit	Exiting Design Capacity	
	Composting Plants		
	Bio-methanation Plants		
	Material Recovery facility		
	Material Recovery facility with RDF		
	Waste to Electricity		
8.	Population Details		
	2011 Census	Current Year 2021	Projected 2025
9.	Implementing Agency:		
10.	Operating Agency:		
11.	City Sanitation Plan (CSP) status: Approved/Not approved		
12.	Recycling agencies whether/ which have in partnership with ULBs etc. (brief details to be mentioned)		

13.	Status of Solid Waste Management Service Level Benchmarks						
	S. No.	Indicator	Unit	Baseline before project	Reliability of measurement	After project	Reliability of measurement
	1	Household level coverage of SWM services	%				
	2	Efficiency of collection of municipal solid waste	%				
	3	Extent of segregation of municipal solid waste	%				
	4	Extent of municipal solid waste recovered	%				
	5	Extent of scientific disposal of solid waste	%				
	6	Efficiency in redressal of customer complaints	%				
	7	Cost recovery of SWM services	%				
8	Efficiency in collection of charges	%					
For Integrated Solid Waste Management							
14.	Per capita waste generation :						
	ULBs > 10 lakh population@550 gm/capita:						
	ULBs 1 lakh -10 lakh (both included) population@450gm/capita:						
ULBs <1 lakh population@300gm/capita:							
15.	Projected Quantity of Waste Generation for 2025 in TPD as per waste/capita: TOTAL:						

16.	Projected Waste generation streams for year 2025:			
	Waste stream	Fraction	Proposed waste generation in TPD	% of MSW
	Wet Waste	55%		
	Dry Waste	35%		
	Domestic Hazardous waste	Minor		
	Other Waste(Drain Silt & Inert)	10%		
	To SLF	20%		

17.

Details of Proposed Components

- a. Proposed capacity of processing facilities for Integrated Municipal Solid Waste Management (as applicable):

Waste Processing Unit	Existing Design Capacity (inclusive of the under construction/ tendered/non-functional /approved units)	Required Capacity
Composting Plants		
Bio-methanation Plants		
Material Recovery facility with RDF		
Waste to Electricity		

- b. Transfer Stations (applicable only for ULBs with >5 lakh population)

Existing capacity in (TPD)		Proposed Capacity in (TPD)	
Wet Waste	Dry Waste	Wet Waste	Dry Waste

- c. Sanitary Landfill (SLF)

Proposed quantity of waste sent to SLF (restricted to 20% of total MSW) in TPD	
Proposed capacity of SLF (Tonnes/Cum/day)	
Proposed design Year of SLF -5 years tenure	

- d. Dumpsite Remediation(applicable only if Dumpsite is existing)

Total quantity of existing legacy waste	
Details of Proposed method for remediation	
Cost of per tonne of waste remediation proposed	
End uses of remediated dumpsite area	
Indicative Uses/ Utilization of Segregated Material	

- e. Construction and Demolition Waste Management (applicable only for ULBs >5 lakh and NCAP cities)

C&D waste generation in TPD (restricted to 50gm/capita of total MSW generated)	
C&D waste generation (Bulk waste generators) (@ 25% of the total C&D waste generation)+20% extra in TPD	
Total Processing Capacity proposed in (TPD)	

	f. Mechanical Road Sweepers (applicable only for ULBs >5 lakh and NCAP cities) * Rate of mechanical sweeping 80 Km-Lane per Shift		
	Proposed length of Road to be swept/day (only 4 or more lane roads)		
	Detailed calculation of mechanical sweeping required in Lane-KMs (please attach)		
	Proposed no. of Machines required to sweep the length		
	No. of Machines currently operating /existing		
	Current requirement of machines (nos)		
	*All mechanical sweepers are to be procured from GEM portal or centralized State agency.		
18.	Estimated Cost-Abstract:		
	Estimated cost (Cost to be furnished for the proposed components)	Per tonne cost as per Estimate	
19.	Outcomes of the project:		
		Door to door collection service (% of wards)	Source segregation (% of wards)
			Processing of waste(% of total MSW generated)
	Proposed		
20.	Operation & Maintenance cost and revenue generation details (O & M Framework – existing & proposed)		
		User charges (in Rs. Per MT)	
		Existing	Proposed
	Residential		
	Commercial		
	Institutions		
	Industries		
		Existing (average of last 5 years)	Proposed

	Annual O & M cost (Rs. in lakhs)*		
	Annual Revenue generation (Rs. in lakhs)		
	*Detailed proposed Annual O&M cost to be attached		
21.	Land Acquisition: (a) Whether entire land required for all components of the project in possession of the Implementing Agency: (b) If not, time required for acquiring land: (c) Whether Right of Way required from other Government Agencies such as Railways, Defence and State Departments. (d) Whether Resettlement and Rehabilitation involved? If yes, whether R&R project/plan approved and funds allocated?		
22.	Whether the required Statutory clearances (to be identified) have been obtained – yes/no		

Certificate (to be furnished by ULB/ State officials):

Certified that the facts and figures mentioned have been duly verified and found to be correct

Signatures of responsible officers	(Officer 1/ULB)	(Officer 2/ULB)	(Officer 3/State)
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Check List for Preparation of Sewerage and Faecal Sludge & Septage Management (FSM) DPR seeking funding under Swachh Bharat Mission (Urban) 2.0

S.No.	Description	Remarks												
1.	Introduction													
i.	Background (Description of SBM 2.0, State and City)													
ii.	Location and connectivity of City													
iii.	Temperature, Rainfall and climate details of the city													
iv.	Topography and natural resources													
v.	Soil strata													
vi.	Depth of water level													
vii.	Socio economic conditions:													
	<table border="1"> <thead> <tr> <th>S.no.</th> <th>Census Year</th> <th>Population</th> <th>Decadal growth rate</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table>	S.no.	Census Year	Population	Decadal growth rate									
	S.no.	Census Year	Population	Decadal growth rate										

viii.	Objectives of the project (describe the goals of SBM 2.0 which are targeted through proposed project)	
ix.	Structure of the report indicating contents/chapters	
2.	Existing Infrastructure of the town	
i.	Status of water supply in the town (describe the coverage, supply hours, quality, supply rate etc.)	
ii.	Status of sewerage system of city (describe the existing sewerage zones, existing infrastructure etc.)	
iii.	Status of existing drainage system of the city (describe the number and capacity of the drains, outfall location etc.)	
iv.	City road network	
v.	Details of important surface water bodies, rivers natural drains etc. (intended recipient sewage)	
3.	Population Projection and sewage generation	
i.	Population projection (for base-2025, Intermediate-2040,and ultimate-2055 year)	
ii.	Ward wise population projections	
iii.	Water demand	
iv.	Sewage generation	
4.	Gap Analysis and prioritization	
i.	Necessity of the project	
ii.	Population covered under this project	
iii.	Water demand and sewage generation of the project area	

iv.	Key map of project area within ULB map	
5.	Proposed project components	
i.	Sewerage System and its components (DPR should contain the following) <ul style="list-style-type: none"> • Zoning under the project area • Proposed sewerage network (summary of pipes including length, material, dia etc.) • STP – design, capacity,technology, design year, input and output parameters, please mention if implementation in modules is considered) 36 • Details of Sewage pumpingstation, if any • Length of trunk sewer • Provision of reuse and recycle of treated used water • Life cycle cost assessment of treatment plant 	

ii.	Faecal sludge and septage management components <ul style="list-style-type: none"> Population covered under FSM component STP cum FSTP – design scheme, capacity, technology, design year, input and output parameters, please mention if implementation in modules is considered) Provision of reuse and recycle of treated used water Number of cesspool tankers proposed along with desludging schedule 																											
iii.	Interception & diversion works and Strengthening of drainage system <ul style="list-style-type: none"> Proposed length of drains (having width more than 75 cm) identified for strengthening and improvement Methodology for identification Number and capacity of the drains identified to be tapped Details of pumping arrangement, if any Details of outfall locations which are covered under this project Details treatment facility if proposed separately 																											
6.	Operation and Maintenance																											
i.	General																											
ii.	O&M components <ul style="list-style-type: none"> Direct manpower cost Direct electricity/energy cost Direct chemical cost Direct expenses on repairs of STP/FSTP/Pumps/sewer conveyance and others. Direct cost on mechanical devices 																											
iii.	Operation & Maintenance cost and revenue generation details (O & M Framework – existing & proposed) <table border="1" data-bbox="240 1249 1173 1574"> <thead> <tr> <th rowspan="2"></th> <th colspan="2">Sewerage Tariff (in Rs.)</th> </tr> <tr> <th>Existing</th> <th>Proposed</th> </tr> </thead> <tbody> <tr> <td>Residential</td> <td></td> <td></td> </tr> <tr> <td>Commercial</td> <td></td> <td></td> </tr> <tr> <td>Institutions</td> <td></td> <td></td> </tr> <tr> <td>Industries</td> <td></td> <td></td> </tr> </tbody> </table> Please specify whether it is included as conservancy tax within property tax. <table border="1" data-bbox="240 1615 1173 1807"> <thead> <tr> <th></th> <th>Existing (average of last 5 years)</th> <th>Proposed</th> </tr> </thead> <tbody> <tr> <td>Annual O & M cost (Rs. in lakhs)</td> <td></td> <td></td> </tr> <tr> <td>Annual Revenue received (Rs.in lakhs)</td> <td></td> <td></td> </tr> </tbody> </table>		Sewerage Tariff (in Rs.)		Existing	Proposed	Residential			Commercial			Institutions			Industries				Existing (average of last 5 years)	Proposed	Annual O & M cost (Rs. in lakhs)			Annual Revenue received (Rs.in lakhs)			
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Annual O & M cost (Rs. in lakhs)																												
Annual Revenue received (Rs.in lakhs)																												

	Please specify in case of desludging of septic tanks.			
		User fee : (in Rs.)		
		Existing	Proposed	
	By ULB			
	By Private operator			
iv.	Service level benchmarking			
	Indicators	Benchmark	Before implementation of project	After the implementation of project
	Coverage of Sewerage Network	100%		
	Collection efficiency of Sewerage Network	100%		
	Adequacy of Sewage Treatment Capacity	100%		
	Quality of sewage treatment	100%		
	Extent of Reuse and Recycling of Sewage	20%		
	Extent of cost recovery in sewage/ used water management	100%		
	Efficiency in redressal of customer complaints	80%		
	Efficiency in Collection of sewage / used water Charges	90%		
	Access to toilets	100%		
	Scheduled desludging	100%		
	Notified tariff for desludging			
7.	Environmental Assessment of the project			
i.	Environmental compliance requirements			
ii.	Applicable legislations			
iii.	Identified environmental impacts from the project			

iv.	Mitigation and enhancement measures	
v.	Environmental budgetary provision	
vi.	conclusion	

8.	Training and Institutional	
i.	Proposed capacity building works under the project	
ii.	Details of Institutional framework, if proposed	
9.	Implementation schedule	
10.	Statutory permissions/ Clearances	
11.	Cost Estimates	
i.	Cost basis for proposed works (component-wise) (as far as possible State schedule of rate are to be considered)	
ii.	O&M cost	
iii.	Provisional sum	
iv.	Cost for environmental and social management	
v.	Cost for capacity building works	
vi	Per Capita Cost(overall &component-wise)	

ANNEX 7: IEC ACTION PLAN

(As referred in Chapter 8)

1. City Profile

1	Name of the ULB:	
2	Name of the District, State/ UT:	
3	No. of Municipal Zones in City:	
4	No. of wards in the ULB:	
5	Population & Households in the ULB as per 2011 Census:	
	Population	Households
6	Population & Households in the ULB as per current scenario:	
	Population	Households
7	Projected Population & Households in the ULB @2025	
	Population	Households

2. Proposed IEC and Behavior Change interventions by the ULB

Proposed IEC initiatives					
Key themes/messages of the Mission amplified through the initiatives		Details of the activities undertaken (including communication materials developed and communication platforms used)	Target audience	Expected outcomes/ desired behavior change	Timeline
1	SWM (Source Segregation, Home Composting etc) / Waste Water Reuse etc	Advertisements in local print and electronic media			
2		Running radio jingles on the local FM/community radios			
3		Swaczhagrahis conducting meetings with the ward members (specify number of meetings)			
4		Swacchata Captains facilitating meetings with key opinion influencers (specify details of influencers engaged)			

5		Workshops for engaging school children (specify the number of locations)			
6		Communication collaterals put up at strategic locations across the ward (specify the number of locations)			
Proposed Initiatives for citizen engagement					
Number of Swacchata leaders and Swacchagrahis identified for formal nomination					
Number of Citizen Sanitation Committees proposed to be set up					

3. Financial overview

S. No	Description of the activity	Tentative expenditure (in `)	ACA under SBM-U 2.0	State Govt. Funds	ULB Funds	Other Funds (PPP, others)
1	Development of outdoor collaterals					
2	Advertisements in print, electronic media and FM/ community radios					
3	Monthly workshops/events with local community members and representatives					
4	Other activities					
Total tentative expenditure (in `)						

ANNEX 8: CAPACITY BUILDING ACTION PLAN

(As referred in Chapter 9)

1. City Profile

	Name of the ULB:
	Name of the District, State/ UT:
	No. of Municipal Zones in City:
	No. of wards in the ULB:

	Population & Households in the ULB as per 2011 Census:	
	Population	Households
	Population & Households in the ULB as per current scenario:	
	Population	Households
	Projected Population & Households in the ULB @2025	
	Population	Households

2. Training for Capacity Building of identified Stakeholders

S. No	Identified Stakeholders	Total Number	Areas for Training
1.	Municipal Officials		
	Technical staffs/PHE officials		
	NGOs, Educational and other institutes identified		
	Institutes identified for conducting CB Training		
	Master Trainers Identified for conducting CB Training activities		

Before beginning with trainings, ULBs are to conduct a Training Needs Analysis to identify relevant gaps and design appropriate programs and modules for imparting the training.

ULBs are to attach the following details in the CB Action Plan:

1. Quarterly training calendar carrying a description of activities as well as targeted groups
2. Training plan to also detail method of delivery of training (virtual, in person, e-learning, etc)
3. Monitoring and Evaluation Framework
4. Name and contact details of stakeholders who will attend the training

3. Training for Skill Development of the identified stakeholders

S. No	Identified Stakeholders	Total Number	Areas for Training
	Sanitation workers and SafaiMitras identified for Skill Development trainings		
	Training Institutes identified for conducting Skill Development trainings		
	Master Trainers identified for conducting Skill Development trainings		

Before beginning with trainings, ULBs are to conduct a Skills Gap Analysis to identify relevant gaps and skill needs to design appropriate modules for imparting the training.

ULBs are to attach the following details in the CB Action Plan:

1. Quarterly training calendar carrying a description of activities as well as targeted groups
2. Training plan to also detail method of delivery of training (virtual or in person)
3. Monitoring and Evaluation Framework

4. Financial Overview

S. No.	Activities to be Conducted (Representative List)	Tentative Expenditure (in `)	CA under SBM-U 2.0	State Govt. Funds	ULB Funds	Other Funds (PPP, others)
1	Training Needs Analysis					
2	Trainings for Municipal Officials					
3	Trainings for Technical/ PHE Officials					
4	Trainings for NGOs/ CSOs					
5	Skills Gap Analysis					
6	Trainings for sanitation workers and SafaiMitras					
7	Development of Manuals/documentation					
Tentative Total Expenditure (in `)						

ANNEX 9: FEATURES OF ASPIRATIONAL TOILETS

(As referred in Chapter 5)

Features of aspirational toilets

All **toilet seats** and **urinals** clean and usable at all times

Wash basin(s) clean and usable at all times

Availability of **water**

Adequate **ventilation** facility (vents, slanted glass slats and/or exhaust fan)

Premises are **well lit** at all times, both **within and outside**, with each seat having its own light point, and all light points functional

Functional **bolting arrangements** on all doors

Untreated faecal sludge/septage and sewage from the toilet is not discharged and/or dumped in drains, open areas or water bodies

Toilet floor is swept and mopped at all times
Mirrors , if available, are clean and polished
Available and regularly cleaned (covered) litter bins , with bins available with each toilet seat
Available and operational soap/soap dispenser
Usable taps and fittings, with no leakage OR water tank in or outside the structure with water available in it at all times during opening hours
Gender-segregated, distinct entrances for males and females, if both facilities available in single block
Entrance/ accessibility (like ramp, stairs) to toilet block is barrier free, including those for specially abled persons
Premises are visible to passersby, with clear signage, and the area within 3m from each direction of the structure is not encroached by unauthorized construction and vendors
Staff is provided with necessary supplies of consumables, cleaning equipment, protective gear and inventory, and there is no stock out for longer than 24 hours
Roster being maintained for regular cleaning and maintenance and a caretaker is on duty at all times during open hours
Public/Community Toilet is visible on Google Maps toilet locator as 'SBM Toilet'
Name and contact details of the following are displayed prominently - Supervisor, Supervisor's agency and area Sanitary Inspector(Contact number will be checked whether it is working or not)

Complaint registration and redressal mechanism (Swachhata App, Swachhata helpline 1969) is in place and is functional, with all complaints, maintenance issues or incidents resolved within 24 hours of registration
Air freshener applied
Walls and floors are clean and stain / graffiti free
Low height toilets/Indian toilets and basins for children
Plants / shrubs in the vicinity of toilet complex are well maintained
Space earmarked for advertisement for revenue generation
Hand dryer / paper napkin available
Ladies' toilets have vending machine for sanitary napkins

Incinerator facility available for disposal of used sanitary napkins for toilet having > 10 seats and also to the toilets adjacent to women college and hostels
Toilet identification number, name of ULB under which jurisdiction toilet is covered, ward number and maintenance authority prominently displayed for each toilet block
SMS based feedback with number displayed on which SMS has to be sent
Bathing facility available

ANNEX 10: BASIS OF COSTING FOR SWM COMPONENTS, CT/PTs and USED WATER COMPONENTS

(As referred in Chapter 4)

Costing for Solid Waste Management

S.No	Component	Nos/ Population	Unit Cost	Total Cost Rs in Crore	Central Share	State/ULB Share	Private Share
1.	Solid Waste Management (through MRF, transfer stations, processing facilities, remediation of legacy waste dumpsites through Biomining & Scientific Landfilling, etc).	42.86 Crores	Rs 605/ Capita	25930	16336	7675	1919
2.	C&D Waste Processing	17.14 Crores	Rs 35/ Capita (Rs 3.5 Crore/10 Lakh Population)	600	378	111	111
3.	Mechanised Sweeping for combating air pollution	Total of 816 machines	Rs 55 lakh per machine (average)	449	283	166	0

4.	Collection & transportation including modernization of existing system.	42.86 Crores	Rs 300/ capita	12858	0	2572	10286
Cost Estimate of SWM requirements proposed under SBM 2.0 (Aggregated for all ULBs)							
			Qty,TPD	Rate	Unit	Amount	
I. MSW Treatment Plants				Rs.Crore		Rs.Crore	
a.	Compost Plants		30658.38				
		say	30,700.00	11.50	100 tpd	3,531	
b.	BioMethanation Plants		15,063.96				
		say	15,100	18.00	100 tpd	2,718	
c.	MRF-cum-RDF Plants		45,152.98				
		say	45,200	8.50	100 tpd	3,842	
d.	WtE Plants (RDF based)(Electricity)		9,647.23				
		say	9,700	18.00	100 tpd	1,746	
					Subtotal	11,837	
II. SLF facilities for all ULBs			40,938.05				
		say	41,000	6.50	100 tpd	2,665	
III. Transfer Stations for ULBs> 5lakh population							
	120358.63 TPD	40 %	48,143.45				
		say	48,200	4.50	100 tpd	2,169	
V. C&D Waste management in all 102 NA cities + remaining 5 lakh cities							
	10409	say	10,000	6.00	100 tpd	600	

VI. Dumpsites remediation in all ULBs- 3 Categories							
a	>10 Lakh	754	Lakh MT	754	550.00	Per MT	4147
b	1-10 lakh	519	Lakh MT	519	550.00	Per MT	2855
c	<1 lakh	400	Lakh MT	400	550.00	Per MT	2200
						Subtotal	9,202
						TOTAL	26,472
						Contingencies & rounding off (0.22%)	58
						GRAND TOTAL	26,530

Rupees Twenty- Six thousand Five hundred Thirty Crore only

Costing calculations for CT/PTs:

The following section provides estimate of a 5 seat PT prepared by M/s Sulabh International which has constructed and running thousands of PTs across the country. The estimate was prepared for Bareilly Nagar Nigam in UP in FY 2019-20 following Schedule of Rates for FY 2018-19. Considering even one year cost escalation @6%, per seat cost works out to approx Rs 1.69 lakh. This justifies the cost of Rs 1.5 lakh per seat considered for Mission period 2021-2026.

Cost of 5 seat PT complex (2018-19 rate) = Rs 7,96,515

Cost escalation for one year @ 6% per annum = Rs 8,44,306

Cost per seat of PT/CT = Rs 1.69 lakh

This justifies the cost per seat adopted at Rs 1.5 lakh.

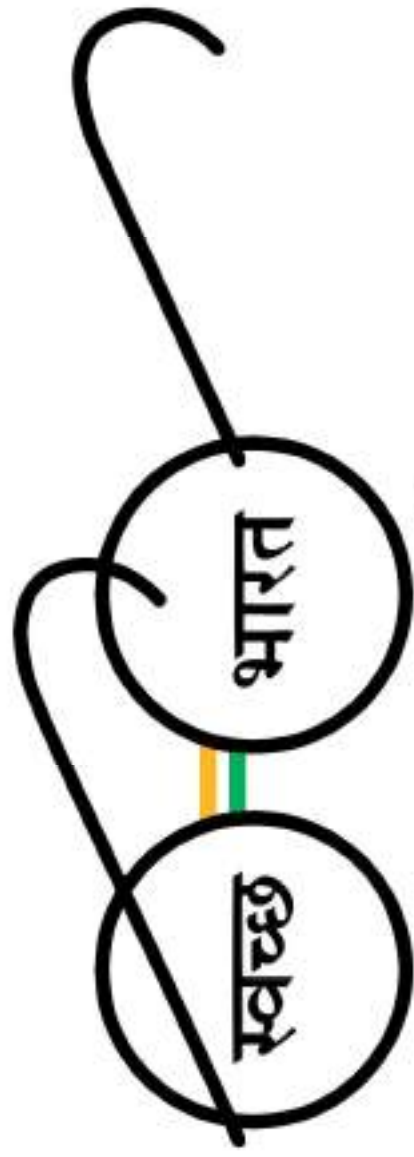
Costing calculations for Used water management

The Central share (as per eligible funding pattern) for STPs and I&D drains, for each notified town in the State/UT, will be governed by the following maximum per capita allocations:

Class of town	Maximum limit of per capita allocation for STP and I&D (including Central share + State/UT/ULB share)
II	`3,000
III	`2,000
IV	`2,000
V	`2,000
VI	`2,000
For NE & hilly States	Class II - `4,000
Class III and below- `3,000	

This will ensure that allocation of funds is uniform across all eligible ULBs. However, depending on needs at ground, States/UTs may sanction higher per capita funds for some town's projects, within the State/UT's overall funds allocation for used water component (Central + State share), provided that State/UT ensures that all the towns in Class II to VI are also covered with suitable sewage collection and treatment facilities.

In no case should allocated used water funds for all notified towns in the state be utilized in some selected towns while others are left unattended. In such a scenario, Central share allocation would be proportionately restricted commensurate to the number of towns attended.



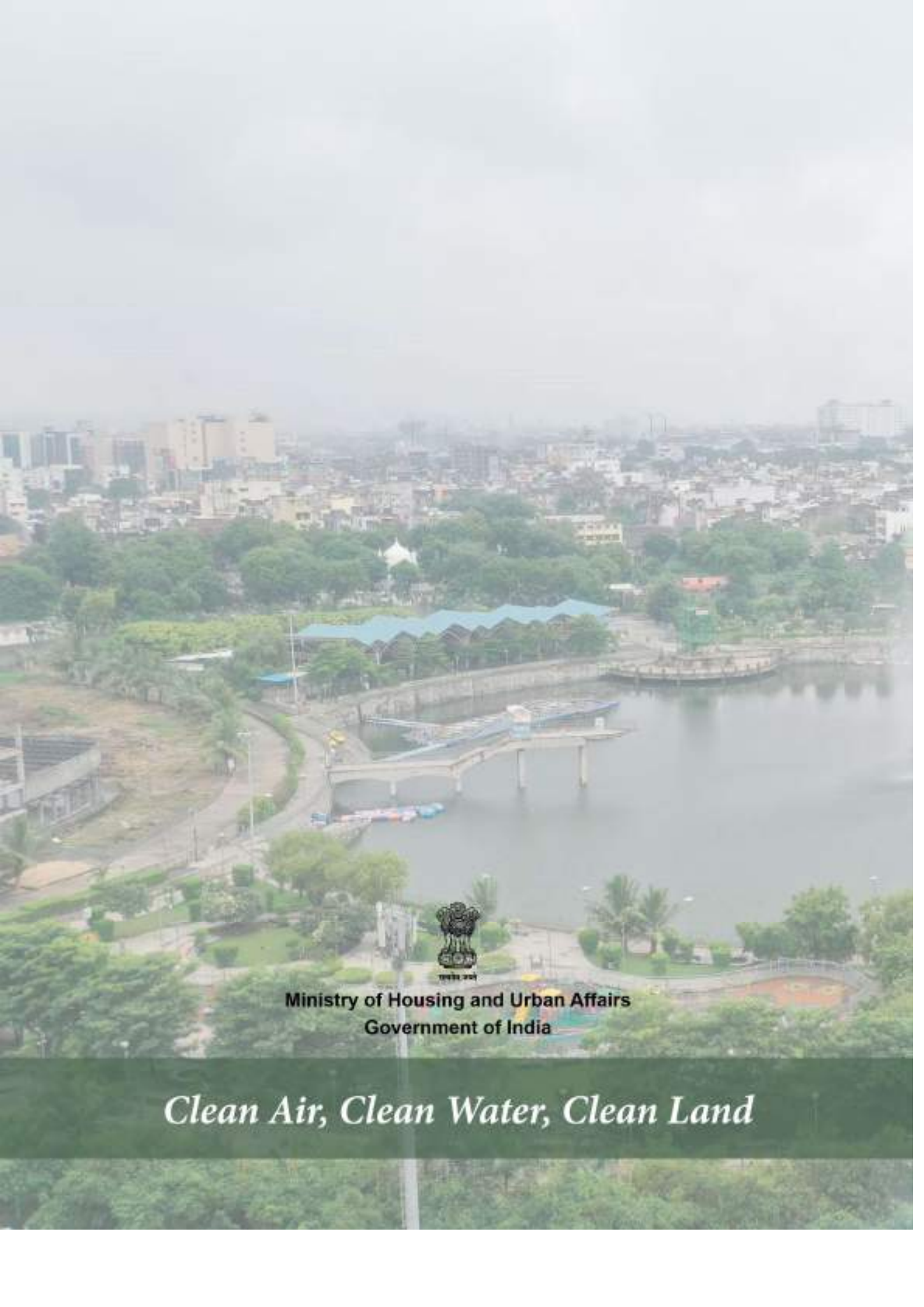
एक कदम स्वच्छता की ओर

“

आज इतने दशकों बाद,
स्वच्छता आन्दोलन ने एक बार
फिर देश को नए भारत के सपने के साथ जोड़ने का
काम किया है। और ये हमारी आदतों को बदलने
का भी अभियान बन रहा है और हम ये न भूलें कि
स्वच्छता यह सिर्फ एक कार्यक्रम है, स्वच्छता ये
पीढ़ी दर पीढ़ी संस्कार संक्रमण की एक जिम्मेवारी
है और पीढ़ी दर पीढ़ी स्वच्छता का अभियान चलता
है, तब सम्पूर्ण समाज जीवन में स्वच्छता का
स्वभाव बनता है।

'मन की बात' में प्रधानमंत्री नरेंद्र मोदी, 26 सितम्बर 2021





**Ministry of Housing and Urban Affairs
Government of India**

Clean Air, Clean Water, Clean Land



मिशन विवरण और दिशानिर्देश



सत्यमेव जयते

शहरी विकास मंत्रालय
भारत सरकार
जून 2015

अटल नवीकरण और शहरी
परिवर्तन मिशन
(अमृत)

मिशन विवरण और दिशानिर्देश



सत्यमेव जयते

भारत सरकार
शहरी विकास मंत्रालय
(जून, 2015)

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अटल नदीकरण और शहरी परिवर्तन मिशन (अमृत)

राष्ट्रीय प्राथमिकता के रूप में शहरों में परिवारों को बुनियादी सेवाएं (अर्थात्, जलापूर्ति, सीवरेंज, शहरी परिवहन) मुहैया कराने और सुख-सुविधाएं मुहैया कराने के उद्देश्य से अवसंरचना का सृजन करना है, जिससे विशेषतया गरीबों और वंचितों सभी के जीवन स्तर में सुधार होगा। उच्चाधिकार प्राप्ति विशेषज्ञ समिति (एचपीईसी) द्वारा वर्ष 2011 के दौरान वर्ष 2009-10 की कीमतों पर 20 वर्ष की अवधि के लिए अपेक्षित जनसंख्याओं का एक आकलन किया गया था। समिति ने यह आकलन किया कि शहरी अवसंरचना के निर्माण के लिए 39.2 लाख करोड़ ₹0 की राशि अपेक्षित थी जिसमें शहरी सबकों के लिए 17.3 लाख करोड़ ₹0 और जलापूर्ति, सीवरेंज, ठोस अपशिष्ट प्रबंधन और वर्षा जल निकासी जैसी सेवाओं के लिए 8 लाख करोड़ ₹0 शामिल हैं। इसके अलावा, प्रवालन और अनुसंधान (ओएडएम) के लिए 19.9 लाख करोड़ ₹0 का अलग से अनुमान लगाया गया था।

पूर्ववर्ती मिशन से प्राप्त अनुभव से यह पता चलता है कि अवसंरचना सृजन का सभी परिवारों को जल और शौचालय कनेक्शन की सुलभता जैसी लोगों की वास्तविक आवश्यकताओं पर प्रत्यक्ष प्रभाव पड़ेगा। इसका तात्पर्य यह है कि अवसंरचना सृजन पर मुख्य जोर हो जो लोगों को बेहतर सेवाएं मुहैया कराने से सीधे तौर पर जुड़ा हुआ है और इसका भारत के राष्ट्रपति द्वारा दिनांक 09 जून, 2014 और 23 फरवरी, 2015 को संसद के संयुक्त सत्र के अपने अधिवेशन में स्पष्ट रूप से उल्लेख किया गया।

अतः अटल नदीकरण और शहरी परिवर्तन मिशन (अमृत) का उद्देश्य (i) यह सुनिश्चित करना है कि प्रत्येक परिवार को निश्चित जलापूर्ति और सीवरेंज कनेक्शन सहित नल सुलभ हो (ii) हरित क्षेत्र और सुव्यवस्थित खुले मैदान (अर्थात् पार्क) विकसित करके शहरों की मजबूती में वृद्धि करना और (iii) गैर-मोटरीकृत परिवहन (अर्थात् पैदल चलना और साईकिल चलाना) के लिए सुविधाओं के निर्माण अथवा सार्वजनिक परिवहन को अपनाकर प्रदूषण को कम करना। ये सभी परिणाम नागरिकों विशेषतया महिलाओं के लिए महत्वाकांक्षी हैं और शहरी विकास मंत्रालय द्वारा सेवा स्तरीय बैचमार्क (एसएलबी) के रूप में संकेतक और मानक निर्धारित किए गए हैं।

तथापि, बेहतर परिणामों का प्रयास सभी को नल और सीवरेंज कनेक्शन (सभी को शामिल करते हुए) प्रदान करने पर नहीं रुकेगा। सभी को सेवाएं प्रदान करने के बैचमार्क का लक्ष्य प्राप्त करने के बाद क्रम दर क्रम प्रक्रिया का अनुसरण करके अन्य बैचमार्क का लक्ष्य बनाया जाएगा। बैचमार्क प्राप्त करने की ऐसी उत्तरोत्तर प्रक्रिया को 'इंजीनैटलिज्म' कहा जाता है। इसका तात्पर्य यह नहीं है कि अन्य सेवा स्तरीय बैचमार्क कम महत्वपूर्ण हैं, लेकिन उत्तरोत्तर वृद्धि प्रक्रिया में सेवा स्तरीय बैचमार्क राष्ट्रीय प्राथमिकताओं के अनुसार धीरे-धीरे प्राप्त किए जाते हैं। शहरी परिवहन के क्षेत्र में, बैचमार्क का उद्देश्य निर्माण करते समय शहरों में प्रदूषण को कम करना है और वर्षा जल निकासी की अनुसंधान लागत कम होने की आशा है और अन्ततः शहरों में बाढ़ की समस्या को समाप्त करता है जिससे शहरों को अधिक लचीला बनाया जा सकेगा।

फइते, शहरी विकास मंत्रालय परियोजना-दर-परियोजना स्वीकृति प्रदान करता था। अमृत में इसका, शहरी विकास मंत्रालय द्वारा वर्ष में एक बार राज्य वार्षिक कार्य योजना के अनुमोदन द्वारा प्रतिस्थापन किया गया है और राज्यों को अपने स्तर पर परियोजनाएं को स्वीकृति और अनुमोदन प्रदान करना होगा। इस प्रकार अमृत राज्यों को परियोजनाओं की आयोजना और कार्यान्वयन में राज्यों को समान भागीदार बनाता है, अतः सहकारी एकीकरण की भावना प्रलम्बेगी।

मिशन को सफल बनाने के लिए एक सुदृढ़ सांस्थानिक संरचना मूल आधार है। अतः समता निर्माण और सुधारों को मिशन में शामिल कर लिया गया है। सुधारों से सेवा सुलभता और संसाधन जुटाने में वृद्धि होगी और नगरपालिका के संचालन को अधिक पारदर्शी बनाएगा और पदाधिकारियों को अधिक जवाबदेह बनाएंगे जबकि क्षमता निर्माण नगरपालिका पदाधिकारियों को अधिकार प्रदान करेगा और परियोजनाओं को समय पर पूरा किया जा सकेगा।

1. प्रमुख क्षेत्र

1.1 मिशन में निम्नलिखित प्रमुख क्षेत्रों पर ध्यान दिया जाएगा :

- i. जलापूर्ति,
- ii. सीवरेज सुविधाएं और सेप्टेज प्रबंधन,
- iii. बाढ़ को कम करने के लिए वर्षा जल नाले,
- iv. पैदल मार्ग, गैर-मोटरीकृत और सार्वजनिक परिवहन सुविधाएं, पार्किंग स्थल, और
- v. विशेषतः बच्चों के लिए हरित स्थलों और पार्कों और मनोरंजन केन्द्रों का निर्माण और उन्नयन करके शहरों की भव्यता बढ़ाना।

2. कवरेज

2.1 अमृत के अंतर्गत पांच सी शहरों को शामिल किया जाएगा। शहरों की सूची की अधिसूचना उपयुक्त समय पर जारी की जाएगी। उन शहरों की श्रेणी जिन्हें अमृत में शामिल किया जाएगा, का ब्यौरा नीचे दिया गया है:

- i. छावनी बोर्ड (सिविलियन क्षेत्र) सहित अधिसूचित नगरपालिकाओं सहित एक लाख से अधिक जनसंख्या वाले सभी शहर और कस्बे,
- ii. 2.1 (i), में शामिल नहीं किए गए सभी राजधानी शहर/राज्यों के कस्बे/संघ राज्य क्षेत्र
- iii. हृदय स्कीम के अंतर्गत शहरी विकास मंत्रालय के द्वारा विरासत शहरों के रूप में वर्गीकृत सभी शहर/कस्बे,
- iv. 75000 से अधिक और 1 लाख से कम जनसंख्या वाले 13 शहरों और कस्बों जो मुख्य नदियों के किनारे पर हैं, और
- v. पर्वतीय राज्यों, द्वीप समूहों और पर्यटन स्थलों से दस शहर (प्रत्येक राज्य) से एक से अधिक शहर नहीं।

3. मिशन घटक

3.1 अमृत के घटकों में क्षमता निर्माण, सुधार कार्यान्वयन, जलापूर्ति, सीवरेज और सेप्टेज प्रबंधन, वर्षा जल निकासी, शहरी परिवहन और हरित स्थल और पार्क शामिल हैं। आयोजन के दौरान, शहरी स्थानीय निकायों को भौतिक अवसरंधना घटकों में कुछ स्मार्ट विशेषताओं को शामिल करने का प्रयास करना होगा। मिशन घटकों का ब्यौरा नीचे दिया गया है:-

3.1.1 जलापूर्ति

- i. मौजूदा जलापूर्ति में वृद्धि करने जल शोधन संयंत्रों और सभी जगहों पर मीटर लगाने सहित वर्षा जल आपूर्ति प्रणाली,
- ii. शोधन संयंत्रों सहित पुरानी जलापूर्ति प्रणालियों का पुनर्स्थापन,
- iii. विशेषतया पेयजल आपूर्ति और मृमिगत जल पुनःमरण के लिए जलाशयों का पुनरुद्धार,
- iv. उन क्षेत्रों सहित जिनमें जल की गुणवत्ता संबंधी समस्याएं हैं (उदाहरणार्थ आरसेनिक, फ्लोराइड) दुर्गम क्षेत्रों, पहाड़ी और तटीय शहरों के लिए विशेष जलापूर्ति प्रबंधन।

3.1.2 सीवरेज

- i. मौजूदा सीवरेज प्रणालियों और सीवेज शोधन संयंत्रों के संवर्द्धन सहित विकेंद्रीकृत, नेटवर्कबद्ध भूमिगत सीवरेज प्रणालियाँ,
- ii. पुरानी सीवरेज प्रणालियों और शोधन संयंत्रों का पुनर्स्थापन,
- iii. लाभकारी प्रयोजनों के लिए जल का पुनर्चक्रण और अपक्षिप्त जल का पुनः उपयोग।

3.1.3 सेप्टेज

- i. मल गाद प्रबंधन—कम लागत पर सफाई, परिवहन और शोधन,
- ii. सीवर और सेप्टिक टैंकों की यांत्रिकी और जैविक सफाई और प्रचालन की पूरी लागत वसूली।

3.1.4 वर्षा जल निकासी

- i. बाढ़ को कम करने और समाप्त करने के उद्देश्यों से नालों और वर्षा जल नालों का निर्माण और सुधार

3.1.5 शहरी परिवहन

- i. अंतर्देशीय जल मार्ग (घाट/खाड़ी अवसरचना को छोड़कर) के लिए जलयान और बस,
- ii. गैर मोटरकृत परिवहन (जैसे साईकिलों) के लिए फुटपाथ/पथ, पटरी, फुट ओवर ब्रिज,
- iii. बहुस्तरीय पार्किंग,
- iv. द्रुत बस परिवहन प्रणाली (बीआरटीएस)।

3.1.6 हरित स्थल और पार्क

- i. बच्चा हितैशी घटकों के लिए विशेष प्रावधान के साथ हरित स्थल और पार्कों का निर्माण करना।

3.1.7 सुधार प्रबंधन और सहायता

- i. सुधार कार्यान्वयन के लिए सहायता सरचना, कार्यकलाप और वित्तपोषण सहायता,
- ii. स्वतंत्र सुधार मॉनीटरिंग एजेंसियाँ।

3.1.8 क्षमता निर्माण

- i. इसके दो घटक हैं— व्यक्तिगत और सांस्थानिक क्षमता निर्माण,
- ii. क्षमता निर्माण मिशन शहरों तक सीमित नहीं होगा बल्कि अन्य शहरी स्थानीय निकायों तक भी इसका विस्तार किया जाएगा,
- iii. नए मिशनों के साथ इसके रिप्लायनमेंट के बाद व्यापक क्षमता निर्माण कार्यक्रम (सीसीबीपी)।

3.1.9 अस्वीकार्य घटकों की सांकेतिक सूची (सम्पूर्ण नहीं)

- i. परियोजनाओं अथवा परियोजना संबंधित कार्यों के लिए भूमि की खरीद,
- ii. राज्य सरकारों/शहरी स्थानीय निकायों दोनों के लिए स्टाफ के वेतन,

- iii. विद्युत,
- iv. बुरसंचार,
- v. स्वास्थ्य,
- vi. शिक्षा, और
- vii. मजदूरी रोजगार कार्यक्रम और स्टॉफ घटक।

4. धनराशि का आवंटन

4.1 वित्त वर्ष 2015-16 से 5 वर्ष के लिए अमृत के लिए कुल परिव्यय 50,000 करोड़ रु० है और मिशन को केन्द्रीय प्रायोजित स्कीम के रूप में संचालित किया जाएगा। इसके बाद अमृत को शहरी विकास मंत्रालय द्वारा किए गए मूल्यांकन के आलोक में और मिशन में मिले अनुभव को शामिल करते हुए जारी रखा जाएगा। मिशन निधियों में निम्नलिखित चार भाग शामिल होंगे :

- i. परियोजना निधि-वार्षिक बजटीय आवंटन के 90%
- ii. सुधारों के लिए प्रोत्साहन-वार्षिक बजटीय आवंटन के 10%
- iii. प्रशासनिक और कार्यालयी खय (ए एंड ओई) के लिए राज्य की निधि-वार्षिक बजटीय आवंटन के 8%
- iv. प्रशासनिक और कार्यालयी खय (ए एंड ओई) के लिए शहरी विकास मंत्रालय की निधि-वार्षिक बजटीय आवंटन का 2%

तथापि, वित्तीय वर्ष 2015-16 के लिए परियोजना निधि वार्षिक बजटीय आवंटन का 90% होगी क्योंकि सुधारों के लिए प्रोत्साहन वित्तीय वर्ष 2016-17 से ही दिया जाएगा। मिशन निधियां राज्यों/संघ राज्य क्षेत्रों को निम्नलिखित सिद्धांतों के आधार पर आवंटित की जाएगी।

4.2 परियोजना निधि

प्रत्येक वर्ष के शुरुआत में परियोजना निधि राज्यों/संघ राज्य क्षेत्रों के बीच विभाजित की जाएगी। वार्षिक बजटीय आवंटन की संवितरण के लिए एक समान फार्मूला का उपयोग किया जाएगा जिसमें प्रत्येक राज्य/संघ राज्य क्षेत्र (जनगणना 2011) के शहरी आबादी और राज्य/संघ राज्य क्षेत्रों के सांविधिक करों की संख्या को बराबर (50:50) महत्व दिया गया है। चूंकि सांविधिक करों की संख्या राज्यों/संघ राज्य क्षेत्रों द्वारा अधिसूचित किया जाता है और मिशन अवधि के दौरान परिवर्तित किया जाएगा, प्रत्येक वर्ष इस संख्या में परिवर्तन के फार्मूले को ध्यान में रखा जाएगा। आवंटित परियोजना निधि की राशि के बारे में राज्यों/संघ राज्य क्षेत्रों को उपयुक्त समय पर सूचित किया जाएगा। परियोजना के लिए केन्द्रीय सहायता (सीए) अनुमोदित लागत (पैरा 9) के 20:40:40 की तीन किशतों में होंगी।

4.3 सुधार के लिए प्रोत्साहन

मिशन का एक उद्देश्य सुधारों के माध्यम से शासन में सुधार लाना है। मिशन अवधि के दौरान 11 सुधारों का कार्यान्वयन किया जाएगा। सूची अनुलग्नक 1 में दी गई है। राज्यों के लिए प्रोत्साहन के अनुदान निम्न सिद्धांतों से सासित होंगे।

- i. पिछला अनुभव दर्शाता है कि यदि परियोजना निधि जारी करना अपूर्ण सुधारों से जुड़ जाता है तो परियोजना में विलंब हो जाता है। इसलिए अमृत देने के बजाय प्रोत्साहन प्रदान करता है। वार्षिक

बजट आवंटन के 10% को अलग रखा जाएगा और सुधारों को प्राप्त करने हेतु राज्यों/संघ राज्य क्षेत्रों को प्रोत्साहन के रूप में दिया जाएगा। मिशन अनुकूल वित्तीय वर्ष (एफवाई) के शुरुआत में पूर्व वर्ष के लिए प्रोत्साहन देगा। राज्यों/संघ राज्य क्षेत्रों अनुलग्नक 2 के तालिका 5.5 में दिए गए निर्धारित प्रक्रिया में स्व-आकलन करेंगे। राष्ट्रीय मिशन निर्देशालय स्व-आकलन की प्राप्ति होने पर राज्यों को प्रोत्साहन के पुरस्कार की घोषणा करेंगे।

- ii. प्रोत्साहन निधि एक अतिरिक्त धनराशि के रूप में है जो शहरी विकास मंत्रालय द्वारा मुहैया किया जाएगा और राज्य/शहरी स्थानीय निकाय द्वारा कोई समान निधि दिए जाने की आवश्यकता नहीं होगी।
- iii. राज्य उच्च अधिकार प्राप्त समिति (एसएचपीएससी) प्रोत्साहन राशि के उपयोग का निर्णय करेगी। प्रोत्साहन अवार्ड का उपयोग नई परियोजनाओं सहित अमृत के स्वीकार्य घटकों पर मिशन शहरों में किया जाएगा। एसएचपीएससी शहरी विकास मंत्रालय को परियोजनाओं पर प्रोत्साहन निधि के उपयोग के बारे में सूचना प्रदान करेगी।
- iv. प्रोत्साहन राशि को अमृत में परियोजना के राज्य अंश के रूप में उपयोग नहीं किया जा सकता लेकिन शहरी स्थानीय निकायों द्वारा उनके परियोजना वित्तपोषण के लिए उपयोग किया जा सकता है।
- v. सुधार हेतु अनुपयुक्त निधियों को प्रत्येक वर्ष में परियोजना निधि में परिवर्तित किया जाएगा।

4.4 राज्य निधि (प्रशासनिक एवं कार्यालयी व्यय)

- i. निधियां सभी राज्यों/संघ राज्य क्षेत्रों को पैरा 4.2 में दिए गए समान सूत्र के आधार पर आवंटित किए जाएंगे।
- ii. इन निधियों के उपयोग की सिफारिश एसएचपीएससी द्वारा की जाएगी और राज्य वार्षिक कार्य योजना (एसएपी) का एक भाग तैयार किया जाएगा।
- iii. इस निधि को क्षमता निर्माण कार्यक्रमों के लिए उपयोग किया जाएगा और वाहनों की खरीद, भवनों का निर्माण और रखरखाव, पदों के सृजन, वेतन का भुगतान और साज-समान के खरीद आदि के लिए उपयोग नहीं किया जाएगा।
- iv. सभी स्तरों पर मिशन के कार्यान्वयन में सहायता के लिए संविदा पर व्यावसायिकों तथा सहायक दलों की भर्ती स्वीकार्य होगी जैसा कि दिशा-निर्देशों तथा निष्पक्ष और पारदर्शी प्रक्रियाओं को अपनाने के पश्चात निर्धारित किया जाए।
- v. क्षमता निर्माण के लिए निधियों उपयुक्त परियोजना निधियों के लिए दिए गए समान किशतों में जारी की जाएगी।
- vi. सेवा के रूप में ई-न्यूनिसिपल्टी (ई-मास) से संबंधित गतिविधियां आरंभ करना।
- vii. अमृत मिशन के लोगो और टैगलाइन को सभी परियोजनाओं पर प्रमुखता से प्रदर्शित करना।
- viii. घाटू व्यापक क्षमता निर्माण कार्यक्रम (सीसीबीपी) और स्वतंत्र समीक्षा और निगरानी एजेंसियों (आईआरएमए) सहित मिशन कार्यान्वयन में सहायता प्रदान करने वाली संस्थागत व्यवस्थाएं इस निधि से विलंब घोषण किए जाने हेतु वात्र होगी।

4.5 शहरी विकास मंत्रालय की निधि (प्रशासनिक और कार्यालयी व्यय)

- निधि राष्ट्रीय मिशन निदेशालय स्तर (शहरी परिवहन प्रभाग सहित) पर क्षमता निर्माण मिशन निदेशालय, राष्ट्रीय एवं क्षेत्रीय कार्यशालाओं के आयोजन, पुरस्कार प्रदान करने और उत्तम व्यवहार के पहचान, उत्तम व्यवहारों का उन्नयन और पुनः प्रयोग और स्मार्ट समाधान, क्षमता निर्माण और प्रौद्योगिकी विकास हेतु उत्कृष्टता केन्द्रों और अन्य संस्थाओं एवं अंतर्राष्ट्रीय सहयोग के माध्यम से अनुसंधान और संबद्ध अध्ययन प्रारंभ करना आदि के लिए उपयोग किया जाएगा।
- ई-मास से संबंधी गतिविधियां आरंभ करना।
- किसी भी अन्य उद्देश्यों के लिए इन निधियों के उपयोग के संबंध में शीर्ष समिति द्वारा निर्णय लिया जाएगा।

5. वित्तपोषित किए जाने वाले घटक

- 5.1 परियोजना की वित्तपोषण पद्धति निम्नानुसार है जिसमें केन्द्र सरकार/राज्य सरकार/शहरी स्थानीय निकाय/निजी क्षेत्र का अंश दर्शाया गया है।

क्र.सं.	घटक	वित्त-पोषण पद्धति
1	जलपूर्ति <ul style="list-style-type: none"> नए जलपूर्ति प्रणाली का संवर्द्धन और पुनर्स्थापन। जलपूर्ति के लिए पहाड़ निकायों का नवीकरण और नू-जल के पुनर्स्थापन। दुर्गम क्षेत्रों, पहाड़ी और तटीय शहरों हेतु विशेष प्रबंधन। 	<ul style="list-style-type: none"> 10 लाख से अधिक आबादी वाले शहरों के लिए भारत सरकार से अनुदान के रूप में परियोजना लागत की एक-तिहाई। 10 लाख तक आबादी वाले शहरों/कस्बों के लिए अनुदान के रूप में परियोजना लागत का अर्ध। राज्य सरकारों/शहरी स्थानीय निकायों अथवा निजी निवेश के माध्यम से शेष शेष वित्त पोषण।
2	सीवरेंज <ul style="list-style-type: none"> नए सीवरेंज प्रणालियों और शोधन संयंत्रों का स्थापन और पुनर्स्थापन। सामग्री उद्देश्यों के लिए जल का पुनः उपयोग और असजल का पुनः उपयोग। 	<p>निधि में उपयुक्त इमारतों के आधार पर पांच वर्ष के लिए प्रचालन और अनुसंधान लागत शामिल होगी। परियोजना लागत के आकलन के लिए प्रचालन और अनुसंधान लागत छोड़ दी जाएगी, तथापि राज्य/शहरी स्थानीय निकाय, नराने को आत्मनिर्भर और लागत प्रभावी बनाने के लिए उचित लागत वस्तुओं तंत्र के माध्यम से प्रचालन और अनुसंधान का वित्तपोषण करेंगे।</p> <p>एनएनआईपी (पिआ 6 देखें) में सभी परिवारों के जल और सीवरेंज कनेक्शन का प्राक्काल पहले प्रदान किया जाएगा।</p>
3	सेप्टेज <ul style="list-style-type: none"> मलगाव प्रबंधन (सफाई, बुलाई और सौचन), सैप्टिक टैंकों और सीवरों का विशेषतः शक्ति और जैविक सफाई। 	
4	वर्षा जल संचयन <ul style="list-style-type: none"> नालियों और वर्षा जल नालों का निर्माण और सुधार। 	
5	शहरी परिवहन <ul style="list-style-type: none"> बसों, फुट ओवर ब्रिज, गैर-मोटरिकृत परिवहन, बसें, बीआरटीएस, बटु-शहरीय पार्किंग, जल मार्ग और लोक याहिकारों। 	

6	<ul style="list-style-type: none"> हरित स्थान और शिशु-अनुकूल घटकों हेतु विशेष प्राथमिकता के साथ पार्कों का विकास/पार्कों के लिए शहरी स्थानीय निकायों को स्थानीय निवासी भागीदारी के साथ-सहकार्य हेतु प्रणाली का स्थापना करना होगा। 	भारत सरकार द्वारा परियोजना लागत का आधा और इन परियोजनाओं पर कुल खर्च राज्य वार्षिक कार्य योजना (एसएएपी) के 2.5% से अधिक नहीं होगी।
7	<ul style="list-style-type: none"> क्षमता निर्माण और सुधारों का समर्थन 	शीर्ष समिति द्वारा निर्धारित मौजूदा मानदंडों और इकाई लागतों के आधार पर भारत सरकार द्वारा मुफ्त (100%)।
8	<ul style="list-style-type: none"> ए एंड अरेई (पीएमयू/पीआईयू/डीपीआर लागत, आदि) 	

6. सेवा स्तरीय सुधार योजनाओं (एसएलआईपी) की तैयारी

- 6.1 जलापूर्ति और सीवरेज (सेप्टेज सहित) के साथ सभी परिवारों को शामिल करना इसका प्राथमिक उद्देश्य है। इसके लिए अनुलग्नक 2 के भाग 2 में दिए गए अनुसार सेवा स्तरीय सुधार योजना (एसएलआईपी) प्रत्येक यूएलबी को तैयार करने हैं और कार्यान्वितिक कदम नीचे दिए गए हैं।
- 6.2 **सेवा स्तरीय अंतराल का मूल्यांकन करना:** अमृत राज्यों/शहरी स्थानीय निकायों के साथ जलापूर्ति तथा सीवरेज पर उपलब्ध आकड़ों, सूचनाओं तथा योजनाओं पर तैयार की गई है। यदि इन इस जॉन को जलापूर्ति तथा सीवरेज की सीमा के वर्तमान स्तर के लिए आधार इकाई के रूप में लेते हैं तो इस जॉन में परिवारों की संख्या, जिनके पास नल टॉटी/सीवरेज कनेक्शन है तथा जिनके पास ये सुविधाएं नहीं हैं, को जानगणना (2011) अथवा शहरी विकास मंत्रालय¹ द्वारा कराए गए आधारभूत सर्वेक्षण से लिया जाएगा। (कोई नया बेसलाइन सर्वेक्षण नहीं किया गया है तथा राज्य/शहरी स्थानीय निकाय पूर्ववर्ती बेसलाइन को स्वीकार/ संलग्न करें)। क्षेत्र-वार अंतरालों को यूएलबी में जलापूर्ति तथा सीवरेज में सेवा स्तरीय अंतरालों तक पहुंचने के लिए जोड़ा जाएगा।
- 6.3 **अंतराल को भरना :** जल तथा सीवरेज/सेप्टेज कनेक्शन वाले परिवारों की वर्तमान संख्या की तुलना में कुल परिवारों की संख्या के बीच के अंतराल की एक बार गणना हो जाने पर, जलापूर्ति तथा सीवरेज के शीर्ष के अंतर्गत पैरा 3 में वर्णित घटकों को एक या अधिक का प्रयोग करते हुए अंतरालों को भरने के लिए योजनाओं को तैयार किया जाएगा। एक क्षेत्र में सभी परिवारों को शामिल किया जाएगा तथा जलापूर्ति और सीवरेज के लिए यह कार्य पृथक रूप से किया जाए तथा यह एसएलआईपी का भाग होगा (तालिका 2.1, अनुलग्नक 2)
- 6.4 **विकल्पों का मूल्यांकन :** शहरी स्थानीय निकाय को उनके पास उपलब्ध विकल्पों की जांच करनी होगी। उदाहरण के लिए, एक राज्य/शहरी स्थानीय निकाय की वितरण में अंतराल को भरने की आवश्यकता हो सकती है। अन्य राज्य/शहरी स्थानीय निकाय के पास दूरस्थ जल स्रोतों तक अनेक समुदायों को जोड़ने के लिए सार्वजनिक सिद्ध की आवश्यकता हो सकती है। सीवरेज में, कुछ राज्य/शहरी स्थानीय निकाय केन्द्रीकृत एवं विकेन्द्रीकृत प्रणालियों के योग का चयन कर सकते हैं। इनके अलावा, सीवरेज तंत्र प्रणालियों की लागत पर विचार कर, कुछ शहरी स्थानीय निकाय कुशल सेप्टेज प्रबंधन प्रणालियों का चयन कर सकते हैं। इसलिए, सभी के लिए एक समान दृष्टिकोण उपयुक्त नहीं होगा तथा कम संसाधनों के साथ अधिक करने के लिए विकल्पों का सृजन किया जाए और इसे इस प्रकार किया जाए कि यह लाभ लगेों तक नल और शौचालय के रूप में पहुंचें।

¹ शहरी जल तथा स्वच्छता क्षेत्र (2012), स्थिति रिपोर्ट (2010-11), शहरी विकास मंत्रालय, भारत सरकार में सेवा स्तर देखें।

- 6.5 **लागत का अनुमान** : प्रत्येक परियोजना की लागत (पूँजीगत तथा प्रचालन और अनुरक्षण दोनों) ऑन-लाइन (या सार) अनुमानों के आधार पर तैयार की जाएगी। प्रत्येक यूएलबी (तालिका 2.1, अनुलग्नक 2 देखें) तथा संपूर्ण राज्य (तालिका 3.1, अनुलग्नक 2 देखें) के लिए महत्वपूर्ण परिणाम जलापूर्ति तथा सीवरेज (मास्टर प्लान) हेतु सर्वांग व्याप्ति हासिल करने के लिए निधियों की कुल आवश्यकता होगी। जेएनएनयूआरएम में निर्धारित सभी प्रासंगिक तथा उपयुक्त तकनीकी तथा वित्तीय मानक अमृत मिशन में लागू होंगे; कोई भी आकस्मिकताएँ अथवा लागत वृद्धि स्वीकार्य नहीं होगी तथा किसी भी अपूर्ण अथवा पहले से शालू परियोजनाओं को इसमें शामिल नहीं किया जाएगा।
- 6.6 **प्राथमिकीकरण** : केन्द्र सरकार अधिकतम धनराशि उपयुक्त पैरा 5 में दी गई परियोजना वित्तपोषण के अनुसार देगी। यदि एक वर्ष के भीतर सार्वभौमिक कवरेज को प्राप्त करने के संसाधन उपलब्ध हैं तब शहरी स्थानीय निकाय ऐसा प्रस्ताव करेगी। तथापि, यदि यूएलबी में सार्वभौमिक कवरेज को प्राप्त करने के लिए पर्याप्त संसाधन उपलब्ध नहीं हैं और मिशन को अनेक वर्षों में कार्यान्वित किया जाना है तो यूएलबी मिशन के प्रथम, द्वितीय, तृतीय, चतुर्थ तथा पाँचवें वर्ष में शुरू किए जाने वाले क्षेत्रों की प्राथमिकता तय करेगा। सार्वभौमिक कवरेज को सीवरेज के बाद जलापूर्ति के साथ शुरू किया जाएगा। निधियों की उपलब्धता के आधार पर जलापूर्ति तथा सीवरेज की सार्वभौमिक कवरेज साथ-साथ भी की जा सकती है। सार्वभौमिक व्याप्ति के प्राप्त हो जाने के पश्चात राज्य/यूएलबी अग्रणी प्राथमिकता का निर्णय करेंगे-शहरी स्थानीय निकाय वर्षा जल निकासी के निर्माण अथवा शहरी परिवहन के निधियन का निर्णय कर सकता है जो इस पर निर्भर करेगा कि स्थानीय प्राथमिकता क्रमिक बाढ़ को कम करना है अथवा वाहन-जनित प्रदूषण को घटाना है। कुल मिलाकर, जल और सीवरेज की सार्वभौमिक कवरेज एक राष्ट्रीय प्राथमिकता है तथा राज्यों/शहरी स्थानीय निकायों द्वारा प्राप्त किया जाने वाला प्रथम लक्ष्य है।
- 6.7 तथापि, उपर्युक्त पैरा 5 में दिए गए अनुसार वार्षिक आवंटन का 2.5 प्रतिशत तक बच्चों के अनुकूल विशेषताओं वाले उद्यानों के विकास में प्रयोग किया जाए जिसमें साथ ही साथ स्थानीय इच्छुक हितधारकों को निधियों तथा पदाधिकारियों के साथ उद्यान अनुरक्षण सौंपने का दिशा-निर्देश तैयार करना हो। अमृत में यह भी एक सुधार है।
- 6.8 **लीक से हटकर सोच** : यूएलबी द्वारा एसएलआईपी तैयार करने के दौरान पूर्व के निर्णयों में बदलाव किया जाना चाहिए। उदाहरण स्वरूप भारी पूंजी तथा विद्युत उपभोग लागत लगाकर लंबी दूरी से पानी को पंप करने के स्थान पर, राज्य/शहरी स्थानीय निकाय विकल्पों, जैसे कि-जल पुनर्चक्रण तथा पुनः उपयोग की जांच की जानी चाहिए। मानदंड यह है कि शहरी स्थानीय निकायों में जनित अपशिष्ट : जल का कम से कम 20% पुनः चक्रित की जाए तथा अपेक्षित जल के प्रयोग हेतु जल पुनर्चक्रण के मानक पहले ही निर्धारित कर दिए गए हैं। अधिक कुशल जल प्रणाली का अन्य माध्यम बेहिसाब जल (गैर-राजस्व जल) को 20% से कम तक कम करना है जो राज्यों/यूएलबी द्वारा किए जाने वाले सुधारों का एक अंग है तथा अमृत में इसे सहायता प्राप्त है।
- 6.9 तकनीकी अनुमानों के डिजाइन व तैयारी के दौरान, निम्न लागत विकल्पों (किफायती अभियांत्रिकी) को प्राथमिकता दी जाएगी तथा स्मार्ट समाधानों का प्रयोग लागतों को घटाने तथा सेवा को बेहतर बनाने के लिए किया जाय। प्रगत संगणन विकास केन्द्र (सी-डैक) द्वारा विकसित स्मार्ट समाधानों की सूची अनुलग्नक-3 में दिए गए हैं।
- 6.10 **शर्तें** : भूमि की अनुपलब्धता अथवा विलंब से उपलब्धता पूर्ववर्ती मिशन में परियोजनाओं के विलंब के प्रमुख कारणों में से एक थे। एक अन्य संबंधित मामला अन्य विभागों से स्वीकृति प्राप्त करना रहा है। इसलिए,

अमृत परियोजना में उन परियोजनाओं को शामिल नहीं किया जाए जिनमें भूमि उपलब्ध न हो तथा कोई भी परियोजना कार्य आदेश जारी नहीं किए जाए यदि सभी विभागों से सभी स्वीकृतियां उक्त तिथि तक प्राप्त नहीं कर ली गई हैं। इसके अतिरिक्त, राज्य/शहरी स्थानीय निकाय भूमि खरीद की लागत को वहन करेंगे। अंततः, अमृत निधि का प्रयोग जेएनएनयूआरएम के कुछ घटकों को पूर्ण करने हेतु न किया जाए जिन्हें प्रस्तुत किए गए परियोजना रिपोर्ट में अपूर्ण के रूप में दिखाया गया था तथा जिन्हें शहरी विकास मंत्रालय ने अनुमोदन प्रदान किया था। उदाहरण स्वरूप यदि जेएनएनयूआरएम अनुदानों का प्रयोग करते हुए मुख्य लाइनें बिछाई गई हैं वो नलों की व्यवस्था करना इस परियोजना का भी एक भाग थी परन्तु शहरी स्थानीय निकाय द्वारा उपलब्ध नहीं कराई गई है तब ऐसे रह गए भाग अमृत में वित्तपोषण के पात्र नहीं हैं।

- 6.11 **लचीलापन** : आपदाओं के विकरल लचीलेपन को समाविष्ट करना तथा परियोजनाओं को सुरक्षित करना इसके एसएलआईपी को तैयार करने के चरण, विशेषतः उपेक्षित तथा गरीबों के लिए, और परियोजना विकास चरण में किया जाएगा जिनमें आपदा-रोधी अभियांत्रिकी तथा संरचनात्मक मानकों को डिजाइन में शामिल किया जाएगा। इसे राज्य/यूएलबी एसएपी तैयार करते समय पुनः सुनिश्चित करेंगे।
- 6.12 **वित्त-पोषण** : प्रचालन और अनुरक्षण लागत सहित परियोजनाओं का वित्तपोषण एसएलआईपी का एक प्रमुख पहलू है। प्रत्येक विकल्प के लिए पूंजी लागत तथा प्रचालन और अनुरक्षण लागत का अनुमान लगाया जाए। वित्त के अन्य स्रोतों की भी पहचान की जाए। यूएलबी स्तर पर आंतरिक स्रोतों (अर्थात् करों, शुल्कों, अन्य), बाह्य स्रोतों (अर्थात् राज्यों से अंतरण, केन्द्र/राज्य सरकारों से परियोजना धनराशि अन्य) तथा ऋण, बांडों तथा अन्य की संभावनाओं का भी मूल्यांकन किया जाना आवश्यक है। अतिरिक्त लागत का भार वहन करने के लिए नागरिकों को प्रेरित करना एक चुनौती है। एक रास्ता एक रिहायशी क्षेत्र के लिए परियोजना निर्धारण हेतु ऋण लेना है तथा संपत्ति कर में वृद्धि करके ऋण का भुगतान करना है अर्थात् केवल उरी रिहायशी क्षेत्र में 10 वर्ष में इसे कर संवर्द्धन वित्तपोषण (टीआईएफ) कहा जाता है।
- 6.13 अमृत के साथ अन्य केन्द्रीय और राज्य सरकार कार्यक्रमों/स्कीमों के साथ मिलाकर निधियों का समांतरण स्थापित करना वित्तपोषण का एक और स्रोत भी है। एसएलआईपी को स्वयं के तैयार करने के चरण पर शहरों को, नगरों को स्मार्ट सिटी मिशन, स्वच्छ भारत मिशन (एसबीएम), राष्ट्रीय विरासत नगर विकास और संवर्धन योजना (एचआरआईडीएवाई), डिजिटल भारत, कौशल विकास, नमामी गंगे, सब के लिए आवास आदि के साथ सम्मेलन करना चाहिए।
- 6.14 **सुधार** : सुधारों का कार्यान्वयन एसएलआईपी का एक महत्वपूर्ण तत्व है। यूएलबी को सुधारों का एक खाका तैयार करना होगा जिसे राज्य मिशन निदेशालय द्वारा समेकित करके एसएपी के एक भाग के रूप में शामिल किया जायेगा। कुछ सुधारों में अन्य सुधारों की अपेक्षा अधिक धनराशि की आवश्यकता होती है। प्रयोज्य प्रभारों, सम्पत्ति कर, शुल्क इत्यादि का मूल्यांकन और संग्रहण ऐसे कार्यक्रमों के उदाहरण हैं जिनके लिए अतिरिक्त निधियों की बहुत कम मामलों में आवश्यकता होती है। यदि सुधारों के कार्यान्वयन के लिए निधियों की जरूरत पड़ती है तो उनका निर्धारण (i) अमृत के अनुमत संघटकों, (ii) राज्य ए एण्ड ओई निधियां, अथवा (iii) विश्व बैंक द्वारा वित्तपोषित शहरी विकास के लिए क्षमता निर्माण कार्यक्रम से किया जा सकता है। ये सभी एसएपी का एक भाग होने चाहिए, लेकिन, एसएलआईपी और एसएपी तैयार करते समय दोहराव और अत्यधिकता से बचना चाहिए (अनुलग्नक 2 और 7)।

7. राज्य वार्षिक कार्य योजना (एसएएपी)

- 7.1 एसएएपी को लिए बुनियादी बिल्डिंग ब्लॉक यूएलबी द्वारा तैयार की गई एसएलआईपी होगी। राज्य स्तर पर, सभी मिशन शहरों के एसएलआईपी को एसएएपी में एकीकृत कर दिया जाएगा। इसलिए बुनियादी तौर पर एसएएपी राज्य स्तरीय सुधार योजना है जो परिवारों को जलापूर्ति और सीवरेज कनेक्शनों में वर्ष-वार सुधार को दर्शायेगा।
- 7.2 **प्राथमिकीकरण के सिद्धांत** : राज्य अन्तर विश्लेषण और यूएलबी की वित्तीय स्थिति के आधार पर अन्तः-यूएलबी आवंटन के बारे में भी निर्णय करेंगे और पहले वर्ष में उन यूएलबी का ध्यान करेंगे जहां जलापूर्ति और सीवरेज के प्राकधानों में काफी अन्तर होगा। वित्तपोषण के लिए यूएलबी की प्राथमिकता का निर्धारण स्थानीय संसद सदस्यों, महापौरों और संबंधित यूएलबी के आयुक्तों से परामर्श करने के बाद किया जायेगा। वित्तीय रूप से कमजोर यूएलबी का काफी डब तक वित्तपोषण किया जा सकता है। शहरी गरीबों के अधिक अनुपात वाले शहरी स्थानीय विकासों को अधिक अंश मिलेगा। इसके अतिरिक्त, संभावित स्मार्ट सिटीज को प्रथम प्राथमिकता दी जायेगी क्योंकि स्मार्ट सिटी मिशन और अमृत एक-दूसरे के अनुपूरक हैं। राज्यों द्वारा प्राथमिकीकरण और उपलब्ध संसाधनों के आधार पर, राज्य एसएएपी को 2015-16 के दौरान राज्य को आवंटित केन्द्रीय सहायता (सीए) का तीन गुणा (क्योंकि परियोजना को पूरा होने में तीन वर्ष लगने की संभावना है और वित्तपोषण भी तीन किस्मों में किया जाना है) और पिछले वर्ष की बकाया सीए तथा बाद के वर्षों में वर्ष का वार्षिक आवंटन जारी करेंगे। परिणामस्वरूप, राज्य के भीतर विभिन्न यूएलबी भिन्न-भिन्न वित्त पोषण प्रतिमान के पात्र होंगे, परन्तु केन्द्र का हिस्सा नियत रहेगा जैसाकि इन दिशानिर्देशों में दिया गया है।
- 7.3 **प्रचालन और अनुरक्षण का महत्व**: पिछले कार्यक्रमों के अनुभवों ने दर्शाया है कि, एक बार परियोजना पूरी हो जाने पर, यूएलबी सृजित अवसररचनात्मक परिसम्पत्तियों का प्रचालन और अनुरक्षण करने की ओर बहुत कम ध्यान देते हैं। इसलिए एसएएपी में शहरी विकास मंत्रालय के लिए प्रस्तावित की जा रही परियोजनाओं में कम से कम पांच वर्षों तक ओ एण्ड एम का वित्त पोषण शामिल है और इसे प्रयोक्ता प्रभारों अथवा अन्य राजस्व साधनों की उम्मीद से पूरा किया जायेगा। लेकिन, परियोजना लागत के परिकलन के लिए प्रयोजन हेतु ओ एण्ड एम लागत को शामिल नहीं किया जायेगा। राज्य/यूएलबी उपयुक्त लागत वसूली तंत्र के माध्यम से ओ एण्ड एम का वित्तपोषण करेंगे ताकि उन्हें अल्प-निर्भर और किरायेती बनाया जा सके।
- 7.4 **परियोजनाओं का वित्तपोषण** : वित्तपोषण एसएएपी का एक महत्वपूर्ण तत्व है। पैरा 5 में दी गई तालिका दर्शाती है कि केन्द्र सरकार द्वारा अधिकतम अंश दिया जायेगा। राज्यों/यूएलबी को एसएएपी की तैयारी के समय शेष संसाधनों का सृजन करना पड़ेगा। नगरों का वित्तीय अंश राज्य भर में अलग-अलग होगा। कुछ राज्यों में, यूएलबी अन्य राज्यों के यूएलबी की तुलना में परियोजना लागत में महत्वपूर्ण योगदान देने की स्थिति में होते हैं। तदनुसार, राज्यों को एसएएपी बनाते समय यह निर्णय लेना होगा कि शेष वित्तपोषण (केन्द्र सरकार के अंश के अतिरिक्त) राज्य, यूएलबी और स्टेट/यूएलबी द्वारा पता लगाये गए अन्य स्रोतों (अर्थात् पीपीपी, बाजार ऋण) में कैसे बांटा जायेगा। लेकिन, एसएएपी में राज्य का योगदान कुल परियोजना लागत का 20% से कम नहीं होगा।
- 7.5 महत्वपूर्ण है कि, राज्य स्तर पर एसएएपी में केवल वही परियोजनाएं शामिल की जायेंगी जहां सम्पूर्ण परियोजना लागत पूर्णतः राजस्व स्रोतों से संबद्ध होगी। इसमें केन्द्र और राज्य सरकारों के अन्य क्षेत्रों और वित्तीय कार्यक्रमों का जोड़ा जाना भी शामिल होगा। वित्तीय मध्यस्थ सृजित करना एक लाभदायक तरीका, और अमृत में सुधार भी है, जिससे सभी स्रोतों से निधियों को जुटाया जा सके और यूएलबी को

समय पर निश्चियां जारी की जा सकें। ऐसा मध्यस्थ, वित्त के बाहरी स्रोतों, जैसे ऋण और बांड, पर पहुंच बनाने में भी सक्षम हो, क्योंकि छोटे और वित्तीय रूप से कमजोर यूएलबी वहां पहुंचने में असमर्थ होते हैं। म्यूनिसिपल-बाण्डों के लिए सेबी द्वारा विनियमों के प्रख्यापित करने से संभावित स्रोतों का ऐसे मध्यस्थ द्वारा पूर्णतः साकार किया जा सकता है। एसएएपी के विकास की प्रक्रिया के दौरान राज्य/संघ शासित प्रदेश को सार्वजनिक-निजी-भागीदारी (पीपीपी) के प्रयोग की संभावनाओं का पता लगाना चाहिए, कि क्या यह अधिमानतः निष्पादन मॉडल होना चाहिए। पीपीपी को सुदृढ़ नागरिक फीडबैक के साथ उपयुक्त सेवा स्तरीय करारों (एसएलए) को इसमें शामिल करना चाहिए। यह जन-सार्वजनिक-निजी भागीदारी (पीपीपी) मॉडल की अगुवाई करेगा।

7.6 एसएएपी का अनुमोदन: एसएएपी का अनुमोदन शहरी विकास मंत्रालय द्वारा वर्ष में एक बार शीर्ष समिति द्वारा दिये गए कार्यक्रम के अनुसार किया जायेगा। शीर्ष समिति एसएएपी को संशोधित कर सकती है और शर्तों के साथ अनुमोदित या अन्तरी को माटने के लिए लौटा भी सकती है। **अमृत राज्यों के माध्यम से यूएलबी को परियोजना राशि उपलब्ध करायेगा।** शहरी विकास मंत्रालय द्वारा एसएएपी के मूल्यांकन की कुछेक मानदण्ड निम्नवत् हैं :-

- (i) राज्य सरकार ने सेवा स्तरीय अंतरालों का किस निपुणता से पता लगाया है ?
- (ii) राज्य ने फूजीगत व्यय का किस निपुणता से नियोजन और वित्तापोषण किया है ?
- (iii) राज्य कितनी भली-भांति जलापूर्ति और सीवरेज/सेप्टेज के सार्वभौम कवरेज की उपलब्धि और राष्ट्रघात इन दोनों क्षेत्रों और शहरी परिवहन तथा वर्षा जल निकास निर्माण के अन्य मानकों की ओर बढ़ा है ?
- (iv) केन्द्र सरकार से वित्तीय समर्थन का प्रत्याशित स्तर क्या है और राज्य/यूएलबी ने कितनी अच्छी तरह से वित्तपोषण के अन्य स्रोतों का पता लगाकर उन तक पहुंच बनायी है ?
- (v) यूएलबी की जरूरतों की कैसे निष्पक्षता और समानता से विधिवत विचार किया गया है ?
- (vi) क्या नागरिकों, स्थानीय संसद सदस्यों और अन्य जन प्रतिनिधियों सहित सभी हितधारकों के साथ पर्याप्त परामर्श किया गया है ?

8. कार्य निष्पादन

8.1 परियोजनाओं का निष्पादन यूएलबी द्वारा किया जायेगा। यूएलबी के पास परियोजना के कार्यान्वयन की पर्याप्त क्षमता न होने की शुरुत में यूएलबी द्वारा एक संकल्प मासित करने पर राज्य सरकार एसएएपी में यह शिफारिश कर सकती है कि परियोजना का निष्पादन राज्य अथवा केन्द्र सरकार की विशिष्ट पैरास्टेटल एजेंसियों द्वारा किया जाएगा। ऐसी व्यवस्था राज्य सरकार, विशिष्ट पैरास्टेटल एजेंसी और संबंधित नगरपालिका के बीच एक त्रिपक्षीय समझौता करार (एमओयू) के माध्यम से निष्पादित की जानी चाहिए। ऐसे मामले में, यूएलबी की क्षमता को अमृत के क्षमता निर्माण संघटक द्वारा बढ़ाया जा सकता है। इस प्रकार सृजित परिसम्पत्तियों का अनुस्क्षण और रखरखाव की जिम्मेदारी यूएलबी और राज्य सरकार की होगी।

8.2 शहरी विकास मंत्रालय, परियोजना-दर-परियोजना अनुमोदन अथवा परियोजना डीपीआर को तकनीकी मंजूरी नहीं देगा, इन कार्यकलापों के लिए राज्य/संघशासित प्रदेश ही उत्तरदायी होंगे। शहरी विकास मंत्रालय ने ठोस अपशिष्ट प्रबंधन, सीवरेज, जलापूर्ति, शहरी परिवहन आदि पर व्यापक मैनुअल तैयार किया है, और दिशानिर्देश तथा परामर्शिकाएं जारी की हैं। राज्य स्तरीय तकनीकी समिति (एसएलटीसी) इन तकनीकी

दस्तावेजों का अनुपालन सुनिश्चित करेगी। नीचे दिया गया अनुक्रम चार्ट अमृत की आयोजना, अनुमोदन और कार्यान्वयन की पूरी प्रक्रिया का ब्यौरा देता है।



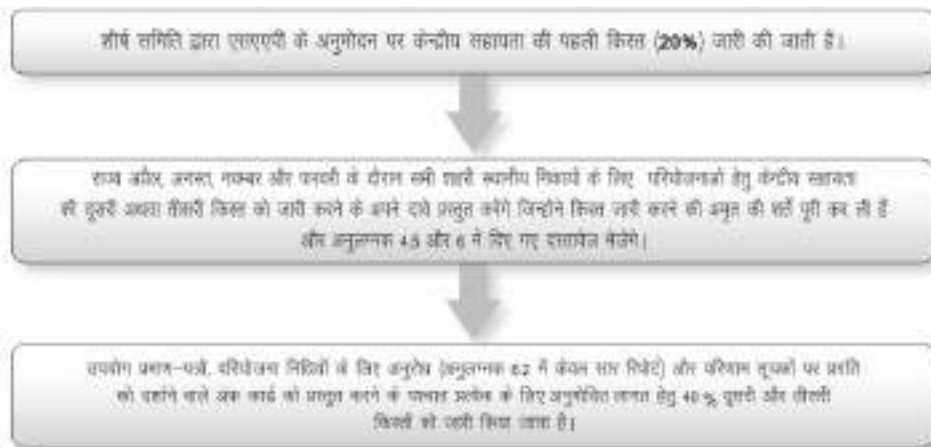
- 8.3. परियोजनाओं के भीमे कार्यान्वयन के लिए पता लगाए गए कुछेक घटक परियोजना के डिजाइन, निविदा की प्रक्रिया, विलंब के कारण, लागत में वृद्धि और निविदा मंगाने तथा उनको तय करने तथा अनुमोदित लागत में भिन्नता और विस्तृत परियोजना रिपोर्टों में दर्शाई गई लागत से संबंधित है। इन कठिनाईयों पर काबू पाने के लिए राज्यों/शहरी स्थानीय निकायों को एक दृष्टिकोण का अनुपालन करना चाहिए जिसमें विदेशी संस्थाओं द्वारा शहरी स्थानीय निकायों/राज्यों को परियोजना डिजाइन, विकास कार्यान्वयन और प्रबंधन के लिए आद्योपान्त सहायता प्रदान की जाती है। विशिष्ट तौर से यह सहायता एसएलआईपी, एसएएपी, डीपीआर इत्यादि को तैयार करने के लिए दी जाएगी। विदेशी संस्थाओं को परियोजना विकास और प्रबंधन परामर्शदाता (पीडीएमसी) कहा जाएगा। विदेशी संस्थाओं द्वारा आद्योपान्त सहायता प्रदान करने के लिए कार्य के एक माडल क्षेत्र का ब्यौरा अनुलग्नक 8 में दिया गया है और यह राज्यों/संघ राज्य क्षेत्रों को पीडीएमसी क्रय करने के लिए समर्थ बनाएगा। इस मिशन टूलकिट में प्रस्तावों के लिए माडल अनुरोध (आरएफपी) भी उपलब्ध हैं।

9. निधियां जारी करना

- 9.1. निधियों को 20:40:40 की तीन किस्तों में जारी किया जाएगा। इन निधियों को कार्यान्वयन एजेंसी द्वारा पृथक बैंक खाते में रखा जाएगा जैसा कि पहले के मिशन में किया गया था। अमृत की घोषणा के तत्काल पश्चात, प्रत्येक मिशन शहर को एसएलआईपी/व्यक्तिगत क्षमता निर्माण तैयार करने के लिए 25 लाख रूपए का अग्रिम दिया जाएगा जो प्रशासनिक और कार्यालय व्यय की निधियों के शहरी स्थानीय निकाय के हिस्से से आएगा और उसको पहली किस्त को जारी करने के समय पर इसके हिस्से में समावोजित किया जाएगा।
- 9.2. शीर्ष समिति द्वारा एसएएपी के अनुमोदन के तत्काल पश्चात पहली किस्त जारी की जाएगी। दूसरी और तीसरी किस्त (i) प्राप्तांक कार्ड (ii) उपयोग प्रमाण-पत्र और (iii) परियोजना की निधियों हेतु अनुरोध प्राप्त होने पर जारी की जाएगी। शहरी स्थानीय निकायों द्वारा राज्य मिशन निदेशकों को अनुलग्नक 6.1 और 7.3 (क्षमता निर्माण प्रगति) में दिए गए अनुरोध प्रपत्र भेजे जाएंगे। क्रय में राज्य मिशन निदेशक इनके अनुरोधों को समेकित करेंगे और अनुलग्नक 6.2 और 7.4 (क्षमता निर्माण प्रगति) में दिए गए प्रपत्रों में उनकी रिपोर्ट भेजेंगे और वे शहरी विकास मंत्रालय को अनुलग्नक 4 और 5 में दिए गए क्रमशः प्राप्तांक और उपयोग प्रमाण-पत्र भी भेजेंगे।
- 9.3. इन दस्तावेजों को (i) केन्द्र और राज्य द्वारा पैर 5 में दिए गए निधिकरण पैटर्न के अनुसार पहले से जारी की गई 75% धन राशि का उपयोग, (ii) राज्य/शहरी स्थानीय निकाय/निजी क्षेत्र के अंशों के उपयोग और (iii) एसएएपी में अन्तर्विष्ट रोड नेट में तथा आश्वस्त और स्वतंत्र समीक्षा और निगरानी एजेंसी (आईआरएनए) की रिपोर्ट में प्रनाशित सेवा स्तरीय लक्ष्यों को पूरा करने के विवरण को दर्शाना चाहिए। महत्वपूर्ण बात यह है कि केन्द्रीय सहायता की दूसरी और तीसरी किस्तें जारी करना निम्नलिखित के अधीन होगा: (क) राज्यों/संघ राज्य क्षेत्रों द्वारा एसएएपी में दिए गए आश्वस्त संसाधनों के अनुसार उन को जुटाना, और (ख) एसएचपीएससी और शीर्ष समिति द्वारा लगाई गई कोई अन्य शर्त। इस तथ्य को मानते हुए कि सभी अनुमोदित परियोजनाएं समान गति से नहीं चल रही हैं, राज्य असाधारण परिस्थितियों में, जब भी 75% उपयोग और अन्य शर्तें पूरी कर ली जाएं, यूएलबी/परियोजनाओं के एक सेट हेतु दूसरी और तीसरी किस्तें जारी करने के लिए अपने प्रस्ताव प्रस्तुत कर सकते हैं (पृष्ठ 16 पर पलो चार्ट देखें)।
- 9.4. शीर्ष समिति प्रत्येक वर्ष की तीसरी तिमाही के अन्त में राज्यों द्वारा आबंटनों के उपयोग की समीक्षा करेगी और गैर-कार्यनिष्पादन से कार्य निष्पादन करने वाले राज्यों/शहरी स्थानीय निकायों को उनके कार्य निष्पादन और निधियों का उपयोग करने की क्षमता के आधार पर निधियों को पुनः आबंटित करेगी। अनुमानित लागत के आधार पर जारी पहली किस्त की 20% से अधिक अथवा कम राशि की केन्द्रीय सहायता की दूसरी

किस्त को जारी करते समय समायोजित किया जाएगा जो अनुमोदित लागत पर आधारित होगी। अनुमोदित लागत परियोजना की मूल्यांकित लागत अथवा निविदा में प्रस्तुत की गई लागत (जो भी कम हो) है और उस को एसएचपीएससी द्वारा ध्यान में रखा जाना होगा। मिशन परियोजनाओं के प्रयोजनों के अलावा अन्य प्रयोजनों के लिए केंद्रीय अनुदानों को व्यय करने के लिए उस वनराशि पर दक्षिक ब्याज लगाया जाएगा और शीर्ष समिति द्वारा कोई अन्य कार्रवाई की जाएगी तथा अनुदान जारी करने पर प्रतिकूल प्रभाव शामिल हो सकता है।

- 9.5 पहले के कार्यक्रमों से प्राप्त अनुभवों ने इस तथ्य को स्पष्ट किया है कि राज्य सरकारों द्वारा परियोजना निधियों को समय पर जारी करना परियोजना को पूरा करने के लिए महत्वपूर्ण है। अतः राज्यों को शहरी विकास मंत्रालय द्वारा केंद्रीय अंश को जारी करने के सात कार्य दिवसों के भीतर शहरी स्थानीय निकायों को राज्य के अंश सहित केंद्रीय सहायता निधियों को जारी करना चाहिए अन्यथा वित्त मंत्रालय द्वारा राज्य पर सात दिनों से आगे की किसी देरी के लिए विनिर्दिष्ट दर पर ब्याज लगाया जाएगा और भावी किस्तों से समुचित कटौतियां की जाएंगी।
- 9.6 नीचे का अनुक्रमक चार्ट धन को जारी करने के कदमों का ब्यौरा देता है :



10. कार्यक्रम प्रबंधन संरचना

10.1 राष्ट्रीय स्तर

सचिव, शहरी विकास मंत्रालय की अध्यक्षता में और संबंधित मंत्रालयों और संगठनों के प्रतिनिधियों से बनी शीर्ष समिति इस मिशन का पर्यवेक्षण करेगी। शीर्ष समिति की संरचना इस प्रकार होगी :-

- | | |
|-------------------------------|---------|
| i. सचिव (शहरी विकास मंत्रालय) | अध्यक्ष |
| ii. सचिव (खय विभाग) | सदस्य |

iii. सचिव (आर्थिक कार्य विभाग)	सदस्य
iv. प्रधान सलाहकार (एचयूडी)नीति आयोग	सदस्य
v. सचिव (पैय जल एवं स्वच्छता)	सदस्य
vi. सचिव (आवास और शहरी गरीबी उपशमन मंत्रालय)	सदस्य
vii. सचिव (पर्यावरण एवं वन)	सदस्य
viii. संयुक्त सचिव एवं एफए, शहरी विकास मंत्रालय	सदस्य
ix. ओएसडी (यूटी) ,शहरी विकास मंत्रालय	सदस्य
x. सलाहकार (सीपीएचईईओ)	सदस्य
xi. टीसीपीओ	सदस्य
xii. निदेशक, एनआईयूए	सदस्य
xiii. मिशन निदेशक (शहरी विकास मंत्रालय)	सदस्य सचिव

शीर्ष समिति किसी भी सरकारी विभाग या संगठन के प्रतिनिधि को सदस्य के रूप में सहबोजित कर सकती है या विचार विमर्श में किसी विशेषज्ञ को आमंत्रित कर सकती है। शीर्ष समिति के कार्य इस प्रकार हैं: –

- i. राज्यों के क्षमता निर्माण बढ़ाने के लिए वार्षिक व्यापक कवरवाई योजना सहित एसएएपी उत्पाधिकार प्राप्त राज्य संचालन समिति द्वारा प्रस्तुत एसएएपी और एसएएपी में सुधार खाक का अनुमोदन।
- ii. राज्य/संघ शासित प्रदेशों/मिशन निदेशालय को निधियों का आबंटन और उनको जारी करना।
- iii. मिशन की समग्र निगरानी और पर्यवेक्षण
- iv. संसाधन जुटाने, निजी वित्त-पोषण और भूमि लीजरेजिंग के लिए नए साधनों के संबंध में राज्य/संघ शासित क्षेत्र/कार्यान्वयन एजेंसियों को सलाह देना।
- v. तृतीय पक्ष निगरानी (आईआरएमए) के लिए संगठनों, संस्थानों अथवा एजेंसियों की नियुक्ति की पुष्टि करना।
- vi. मिशन का शीघ्र कार्यान्वयन सुनिश्चित करने के लिए शीर्ष समिति मिशन निदेशक को एक निर्धारित सीमा के भीतर, कुछेक कार्यों को, जैसा वह उचित समझे, प्रत्यायोजित कर सकती है।
- vii. परियोजना की वास्तविक प्रगति का सीमांकन करना जिसके आधार पर राज्यों को निधियां जारी की जायेंगी।

शीर्ष समिति आवश्यकतानुसार किन्तु तीन माह में कम से कम एक बार बैठक अवश्य करेगी। एक राष्ट्रीय मिशन निदेशक होगा जो भारत सरकार के संयुक्त सचिव के पद के स्तर का होगा, जो मिशन संबंधी गतिविधियों के लिए सर्व-कार्य प्रभावी होगा। आवश्यकता पड़ने पर मिशन निदेशक विषय से संबंधित विशेषज्ञों एवं कर्मचारियों से सहायता लेगा। राष्ट्रीय मिशन निदेशक शीर्ष समिति के सदस्य-सचिव होंगे।

10.2 राज्य स्तर

राज्य को मुख्य सचिव की अध्यक्षता में एक राज्य स्तरीय उच्च शक्ति प्राप्त संचालन समिति, (एसएचपीएससी) अपनी सम्पूर्ण हैसियत में इस मिशन के कार्यक्रम का संचालन करेगी। एसएचपीएससी की निर्देशात्मक संरचना इस प्रकार है : -

i. मुख्य-सचिव	अध्यक्ष
ii. प्रधान सचिव (पीएचई)	सदस्य
iii. प्रधान सचिव (वित्त)	सदस्य
iv. प्रधान सचिव (आवास)	सदस्य
v. प्रधान सचिव (पर्यावरण एवं वन)	सदस्य
vi. शहरी विकास मंत्रालय के प्रतिनिधि	सदस्य
vii. मिशन निदेशक (यदि नीचे viii से गिन्न हो, तो)	सदस्य
viii. प्रधान सचिव (शहरी विकास)	सदस्य सचिव

एसएचपीएससी अन्य राज्य सरकार के विभागों/सरकारी संगठनों से सदस्य (सदस्यों) को सहयोजित कर सकती है और इसके विचार-विमर्श में भाग लेने के लिए इस क्षेत्र में विशेषज्ञों को भी आमंत्रित कर सकती है। एक राज्य मिशन निदेशक होगा जो राज्य सरकार के सचिव के स्तर का ही एक अधिकारी होगा जिसे राज्य सरकार द्वारा नामित किया जाता है और जो एक कार्यक्रम प्रबंधन यूनिट (पीएमयू) और एक परियोजना विकास और प्रबंधन परामर्शदाता (पीडीएमसी) के साथ कार्य करेगा। परियोजना विकास और प्रबंधन परामर्शदाता की स्थापना के साथ अमृत पूर्वमिशन के अंतर्गत स्थापित कार्यक्रम प्रबंधन यूनिटों और परियोजना कार्यान्वयन यूनिटों को सहायता प्रदान नहीं करेगा। इसके अतिरिक्त, राज्य यह सुनिश्चित करेगा कि मिशन सहायता की इन संरचनाओं के कार्यों में कोई अतिव्यापन नहीं होगा। यदि किसी पीएमयू को पहले ही सीसीडीपी के अंतर्गत स्थापित कर दिया गया हो तो किसी अन्य पीएमयू की मिशन की निधियों से सहायता नहीं की जाएगी। एसएचपीएससी के कार्य इस प्रकार हैं:-

- एसएलबी के आधार पर अवस्थापना में कमियों का पता लगाना, व्यक्तिगत और संस्थागत क्षमता निर्माण की आवश्यकता, शहरी सुधार के लक्ष्य प्राप्त करने के उपाय, मिशन के शहरों/करकों के वित्तीय परिचर्या इत्यादि को अन्तिम रूप देना।
- प्रत्येक वर्ष उपलब्ध संसाधनों के आधार पर राज्य को प्राथमिकता वाले शहरों और परियोजनाओं के शहरी स्थानीय निकायों की एसएलआईपी के आधार पर एसएएपी तैयार करना जैसा कि मिशन के विवरण और दिशा निर्देशों में निर्धारित किया गया है।
- राज्य स्तरीय तकनीकी समिति (एसएलटीसी) द्वारा तकनीकी रूप से आकलित और सन्वीकृत करने के परभाव परियोजनाओं को अनुमोदित करना। सभी परियोजना अनुमोदन, राज्य एचपीएससी द्वारा प्रदान किए जाएंगे बशर्ते कि ये परियोजनाएं अनुमोदित एसएएपी में शामिल हों। शहरी विकास मंत्रालय को

- किसी भी परियोजना को संस्वीकृति हेतु नहीं भेजा जाएगा। सम्पूर्ण परियोजना अनुमोदन, अधिप्रापण और निष्पादन प्रक्रिया में राज्य एनपीएससी यह सुनिश्चित करेगा कि राज्य वित्तीय नियमावली के सभी प्रावधानों का अनुपालन हो।
- iv. लघु, मध्यम और दीर्घावधि में निधि प्रवाह की योजना बनाना। परियोजनाओं के नियीकरण के लिए संसाधन जुटाने, निजी वित्तपोषण और भूमि बढ़ाने हेतु नवीन तरीकों का पता लगाना।
 - v. इन दिशानिर्देशों के पैरा 5 में विनिर्दिष्ट केन्द्र सरकार के अनुदान के अतिरिक्त परियोजनाओं हेतु राज्य और शहरी स्थानीय निकाय के अंश के हिस्से को तय करना।
 - vi. खराब गुणवत्ता, पर्यवेक्षण की कमी और अन्य उल्लंघनों की शिकायतों की जांच-पड़ताल करना। राष्ट्रीय पक्ष आकलन कर्ताओं और अन्यो के द्वारा कार्य की गुणवत्ता मूल्यांकन की रिपोर्टों को मॉनीटर करना और अपने स्तर पर कार्रवाई करना।
 - vii. राष्ट्रीय मिशन निदेशालय को चल रही परियोजनाओं के लिए निधियों की किस्त जारी करने हेतु प्रस्ताव संस्तुत करना।
 - viii. एक वित्तीय मध्यवर्ती संस्था स्थापित करने के लिए अनुवर्ती कार्रवाई, परियोजनाओं के निष्पादन के लिए केन्द्रीय और राज्य के हिस्से की निधियों को समय पर आबंटित करना और उनको जारी करना।
 - ix. शीर्ष समिति के अनुमोदनार्थ राज्य/शहरी स्थानीय निकायों में सुधारों के कार्यान्वयन के लिए रोडमैप और उपलब्धियों की सिफारिश करना। राज्य और शहरी स्थानीय निकाय स्तर पर प्रतिबद्ध शहरी सुधारों की प्रगति की समीक्षा करना।
 - x. शहरी स्थानीय निकायों में परियोजना के कार्यान्वयन समेत इस मिशन के कार्यान्वयन की प्रगति को मॉनीटर करना।
 - xi. इस मिशन के अन्तर्गत स्वीकृत और पूरी की गई परियोजनाओं के परिणाम और ओएंडएन व्यवस्थाओं को मॉनीटर करना।
 - xii. समय-समय पर क्षमता निर्माण और प्रशिक्षण कार्यक्रमों की प्रगति की समीक्षा करना।
 - xiii. जारी की गई निधियों की समय पर लेखा परीक्षा आयोजित करना और पहले के मिशन तथा नए मिशन से संबंधित विभिन्न लेखा परीक्षा की रिपोर्टों तथा तीसरे पक्ष, परियोजना विकास और प्रबंधन परामर्शदाताओं तथा शहरी स्थानीय निकायों के चुने गए प्रतिनिधियों की रिपोर्टों समेत अन्य रिपोर्टों पर की गई कार्रवाई की रिपोर्टों की समीक्षा करना।
 - xiv. इस मिशन के कार्यक्रम के बेहतर नियोजन और कार्यान्वयन के लिए अन्तर-संगठन समन्वय और सहयोग स्थापित करना।
 - xv. राष्ट्रीय मिशन निदेशालय द्वारा उल्लिखित अथवा मिशन के प्रभावी कार्यान्वयन के लिए किसी भी प्रकार का अन्य प्रासंगिक मामला।
 - xvi. न्यायालयों में कानूनी मुद्दे/मामले, यदि कोई हों तो उनकी निगरानी करना।

10.3 शहर स्तर

शहरी स्तर पर यूएलबी मिशन के कार्यान्वयन के लिए उत्तरदायी होंगे। म्यूनिसिपल आयुक्त एसएलआईपी को समय पर तैयार करने को सुनिश्चित करेंगे (पैरा 6 एवं अनुलग्नक-2)। यूएलबी एसएपी में अनुमोदित परियोजनाओं के लिए डीपीआर तथा बोली से संबंधित दस्तावेज तैयार करेंगे। यूएलबी डीपीआर और बोली से संबंधित दस्तावेजों के सिटी लेवल अनुमोदन को सुनिश्चित करेंगे तथा इन्हें अनुमोदन के लिए एसएलटीसी/एचपीएससी को अर्पित करेंगे। शहरी स्थानीय निकाय वितीय नियमों और विनियमों के आधार पर कार्यान्वयन एजेंसियां नियुक्त करेंगी तथा उन्हें कार्य सौंपने के बाद इसे समय पर पूरा करना सुनिश्चित करेगी। इसके लिए, यूएलबी पीडीएमसी से खण्ड 8 के आधार पर इन किम्वकलापों को करने के लिए सहायता लेगा। यूएलबी क्रमशः अनुलग्नक-2 (शालिका 5.1) तथा 7 में दिये गये अनुसार सुधार का कार्यान्वयन और क्षमता के निर्माण के लिए एक रोड मैप भी विकसित करेंगे। यूएलबी परियोजना लागत में वृद्धि के बिना परियोजना को समय पर पूरा करने के लिए शिथिलताओं के बीच समन्वय और सहयोग बनाने के लिए भी जिम्मेदार होगा।

11. परियोजनाओं के लिए डीपीआर का मूल्यांकन

11.1 एसएचपीएससी एक राज्य स्तरीय तकनीकी समिति (एसएलटीसी) का गठन करेगा जिसमें संबंधित विभागों/संगठनों के प्रतिनिधि होंगे जो डीपीआर का तकनीकी और वित्तीय मूल्यांकन करेगा। एसएलटीसी की संरचना नीचे दिये गये अनुसार है:

i	प्रधान सचिव (शहरी विकास)/सचिव (शहरी विकास)	अध्यक्ष
ii	जल-संसाधन/जल-विभाग	सदस्य
iii	राजस्व/भूमि विभाग	सदस्य
iv	नगर नियोजन विभाग	सदस्य
v	स्वयं विकास बोर्ड	सदस्य
vi	विद्युत विभाग	सदस्य
vii	सीपीएचआईडॉ, शहरी विकास मंत्रालय के प्रतिनिधि	सदस्य
viii	वित्त विभाग	सदस्य
ix	मिशन निदेशक (यदि अध्यक्ष /सदस्य-सचिव नहीं हैं)	सदस्य
x	तकनीकी प्रमुख (अर्थात् मुख्य अभियंता) शहरी-जल बोर्ड/ परिवहन परियोजनाओं –सड़क परिवहन निगम के लिए प्रबंध निदेशक/कार्यकारी निदेशक	सदस्य-सचिव

11.2 एसएचपीएससी यदि आवश्यक समझा जाये तो अन्य संबंधित राज्य सरकार के विभागों/सरकारी संगठनों से एसएलटीसी में और अधिक सदस्यों को नामित कर सकता है। एसएलटीसी के प्रमुख कार्य निम्नलिखित हैं:

- i. तकनीकी मानदंडों जैसे इस परियोजना के कार्यक्षेत्र, उद्देश्य और अंतिम कार्य, आंतरिक बेंचमार्क (आईबीएम) निर्णायक मूलभूत मानदंडों/बोली संबंधी दस्तावेजों/मूल्यांकन मानदंड, और भुगतान कार्यक्रम का अनुमोदन करना। इस उद्देश्य से एसएलटीसी संबंधित क्षेत्र में शहरी विकास मंत्रालय द्वारा जारी नियम पुस्तिकाओं, दिशा निर्देशों और सलाहों पर विचार करेगा और 'डीपीआर' में उसका अनुपालन सुनिश्चित करेगा (पैरा 9 भी देखें)।
- ii. लचीलेपन को शामिल करना और आपदाओं से परियोजनाओं को सुरक्षित रखना तथा यह सुनिश्चित करना की डिजाइन में आपदा सुरक्षा इंजिनियरिंग और संरचनात्मक मानदंड शामिल हों।
- iii. तकनीकी स्वीकृति देते समय, एसएलटीसी यह सुनिश्चित करेगा कि आकस्मिक निधि अथवा लागत में वृद्धि अनुमान में शामिल न हों और जेएनएमयूआरएम के सभी तकनीकी और वित्तीय मानदंडों का अनुमान तैयार करने, परियोजना की तकनीकी स्वीकृति, निविदा स्वीकार करने, विस्तार आदि का पालन किया जायें।
- iv. तकनीकी स्वीकृति देते समय एसएलटीसी रिटर्न की आन्तरिक दर (आईआरआर)—दोनों एफआईआरआर और ईआईआरआर एवं पूंजीगत व्यय की आवर्ती लागत (आरसीसीई) की भी जांच करेगा।
- v. निविदाओं की स्वीकृति देना।
- vi. आईआरएम की रिपोर्टों और अन्य गुणवत्ता नियंत्रण रिपोर्टों पर सुधारात्मक कार्रवाई करना।
- vii. अनुलग्नक 8.1 में दी गई परियोजना निधि अनुसूच रिपोर्ट का विश्लेषण करना और लागत में बिना किसी वृद्धि के परियोजनाओं को समय पर पूरा करना सुनिश्चित करने के लिए सुधारात्मक कार्रवाई करना।
- viii. पीडीएमसी नियुक्त करना।

1. डीपीआर को प्रस्तुत करने और स्वीकृति के लिए जांच-पूरी (रिजिस्ट्रार एवं सीआरए-ट्रिपल) कक्षा-विचार संवर्धन, भारत सरकार, मार्च 2012—<http://urbanindia.nic.in>

2. डीपीआर को प्रस्तुत करने और स्वीकृति के लिए जांच-पूरी (एन आरपी) शहरी विकास मंत्रालय, भारत सरकार, मार्च 2012—<http://urbanindia.nic.in>

3. डीपीआर को प्रस्तुत करने और स्वीकृति के लिए जांच-पूरी (सर्वोच्च विभागीय)

12. शहरी सुधार

- 12.1 राज्यों/संघ शासित प्रदेशों के आवास एवं शहरी विकास मंत्रियों के साथ दिनांक 2 और 3 जुलाई 2014 को नई दिल्ली में राष्ट्रीय सम्मेलन आयोजित किया गया था। इस राष्ट्रीय सम्मेलन के दौरान शहरी शासन और 'सभी के लिए आवास' पर राष्ट्रीय घोषणा को अपनाया गया। सेवा प्रदायगी में सुधार, संसाधन जुटाना और नगर पालिका के कामकाज को अधिक पारदर्शी बनाना और अधिकारियों को और जवाबदेह बनाने संबंधी सुधार राष्ट्रीय घोषणा की भावना पर आधारित हैं।
- 12.2 विशेष रूप से मिशन 11 सुधारों को अधिदेधित करता है जिन्हें सभी राज्यों और 500 मिशन शहरों को चार वर्ष की अवधि के अन्दर कार्यान्वित करना होगा जैसा कि अनुलग्नक 2 (तालिका 5.1 से 5.4) में दिया गया है। राज्य को एसएएपी के एक भाग के रूप में कार्यान्वयन का खाका प्रस्तुत करना होगा। जिसमें राज्य और यूएलबी दोनों स्तरों पर कार्यान्वित किये जाने वाले सुधार शामिल होंगे।
- 12.3 पहले मिशन के दौरान, सुधारों को पूरा न करने पर 10% एसीए रोक लिया जाता था। लेकिन, अमूल में राज्यों/यूएलबी के लिए प्रोत्साहन के रूप में 10% निधियां अलग से रखकर सुधार कार्यान्वयन को प्रोत्साहित किया गया है। प्रोत्साहन निधि वार्षिक आवंटित केन्द्रीय अंश के अतिरिक्त होगी। प्रोत्साहन यूएलबी द्वारा किये गए स्व-मूल्यांकन पर और आईआरएमए की रिपोर्ट पर एसएचपीटी द्वारा की गई पुष्टि पर आधारित होगा। स्व-मूल्यांकन एसएएपी का एक भाग होगा और इसकी विधि अनुलग्नक 2 (सारणी 5.5) में ही गई है।

13. क्षमता निर्माण

- 13.1 मिशन मोड में परियोजनाओं के कार्यान्वयन और शहरी सुधार को प्राप्त करने के लिए यूएलबी हेतु राज्यों द्वारा व्यापक क्षमता निर्माण कार्यक्रमलाप आयोजित किये जाएंगे। ये एसएएपी के भाग के रूप में वार्षिक क्षमता निर्माण योजना शहरी विकास मंत्रालय के अनुमोदनार्थ प्रस्तुत करेंगे जैसा अनुलग्नक 7.2 (प्रपत्र 7.2.1-7.2.4) में दिया गया है। मिशन निदेशक द्वारा शहरी विकास मंत्रालय के नये मिशनों की प्राथमिकताओं के लिए व्यापक क्षमता निर्माण कार्यक्रम (सीसीवीपी) पुनः शुरू किया जाएगा। इस योजना के दो संघटक होंगे – व्यक्तिगत एवं संस्थगत क्षमता निर्माण।
- 13.2 **व्यक्तिगत क्षमता निर्माण:** मुख्य विशेषताएं भाग अन्तर्गत आवधिक प्रशिक्षण, व्यवसायो और पदाधिकारियों की पहचान, प्रशिक्षण परिणामों का स्वतंत्र मूल्यांकन तथा निगरानी और पीयर नेटवर्किंग है। व्यक्तिगत क्षमता निर्माण में निम्नलिखित प्रकार के कार्यक्रमलाप शामिल होंगे:
- प्रशिक्षण आवश्यकता मूल्यांकन (टीएनए) पर आधारित कार्यनीतिक प्रशिक्षण।
 - प्रदर्शित दौरे।
 - कार्यशालाएं, सेमिनार, अनुसंधान अध्ययन और प्रलेखीकरण।
 - कोचिंग पर आधारित व्यक्तिगत क्षमता निर्माण और पीयरो तथा परामर्शदाताओं (मैटर) से कार्य-संबद्ध सहायता।
 - आईईसी सामग्री तैयार करने सहित स्पष्टता।

- 13.3 **संस्थागत क्षमता निर्माण** : परामर्शदाता फर्मों और अन्य संस्थाओं की सहायता लेते हुए यूएलबी के संस्थागत क्षमता निर्माण पर ध्यान देना होगा।

14. परियोजनाओं की निगरानी

- 14.1 राज्य और यूएलबी स्तर पर मिशन की वास्तविक निगरानी की जायेगी। इसके अतिरिक्त, सूचना और डाटा को पब्लिक डोमेन में नगरिकों के साथ साझा किया जायेगा तथा तृतीय पक्ष निगरानी तथा समीक्षा को बढ़ावा दिया जायेगा। आईआरएमए द्वारा तिमाही आधार पर बाह्य निगरानी की जायेगी। स्वतंत्र समीक्षा और निगरानी एजेंसी (आईआरएमए) तिमाही रिपोर्ट यूएलबी/पीएसटीएल तथा एसएलटीसी को प्रस्तुत करेगा। यूएलबी और एसएलटीसी की टिप्पणियों को एसएचपीएससी द्वारा जांच की जायेगी। राज्य मिशन निदेशक अमृत में निधियों का दावा करते समय आईआरएमए की रिपोर्ट पर की गई कार्रवाई प्रस्तुत करेगा। इसी प्रकार, आईआरएमए सुधार कार्यान्वयन का छात्राई मूल्यांकन करेगा। निरिक्त ही निगरानी में निम्नलिखित तत्व शामिल रहेंगे—

- i. शीर्ष समिति द्वारा सभी परियोजनाओं की आवधिक निगरानी और समीक्षा की जायेगी। यह विभिन्न बाह्य और पैनालबद्ध एजेंसियों, आंतरिक लेखापरीक्षकों के साथ-साथ सी एण्ड एजी और राज्य एजी द्वारा की जाने वाली लेखापरीक्षाओं के अधीन होगी।
- ii. शहरी विकास मंत्रालय, राज्य और यूएलबी द्वारा सूचना प्रौद्योगिकी आधारित समाधानों का प्रयोग करते हुए आवधिक लक्ष्यों और अन्य मुख्य संकेतकों का पता लगाया जाएगा तथा निधियां जारी करने को एसएएपी में दिये गए मुख्य निष्पादन लक्ष्यों की उपलब्धि के साथ जोड़ा जाएगा। नेट आधारित ऑन लाइन वास्तविक निगरानी, निर्माणस्थल के साइबर दौरे की सहायता से, अधिमानतः मोबाइल के कैमरों का प्रयोग करके की जायेगी तथा तृतीय पक्ष समीक्षा और वास्तविक मूल्यांकन भी किया जायेगा।
- iii. राज्य स्तर पर, राज्य एचपीएससी प्रस्ताव स्तर पर परियोजनाओं की विस्तृत समीक्षा और निष्पादन के दौरान निगरानी करेगा।
- iv. राज्य एचपीएससी अनुलग्नक 4 में दिया गया तिमाही स्कोर कार्ड प्रस्तुत करेगा।
- v. मिशन, शहरी बुनियादी सेवाओं में एसएलबी के कार्यान्वयन की निगरानी के लिए राष्ट्रीय निष्पादन निगरानी कक्ष की सहायता करेगा।
- vi. यूएलबी अपने निर्वाचित प्रतिनिधियों और यूएलबी निकयों तथा मोबाइल और ई-सुर्षों का प्रयोग करते हुए प्रत्यक्ष नागरिक फीडबैक के माध्यम से परियोजनाओं की निकट से निगरानी करेगा। बैचसाइट के माध्यम से लोक प्रकटीकरण का एक जोस संघटक भी निर्मित किया जायेगा।
- vii. परियोजनाओं के लिए और सुधारों के लिए आईआरएमए द्वारा तृतीय पक्ष समीक्षा की जायेगी। इस एजेंसी का वचन विशेषज्ञ/तकनीकी एजेंसियों में से किया जाएगा।

15. जिला स्तरीय समीक्षा और निगरानी समिति (डीएलआरएमसी)

- 15.1 जिला स्तरीय समीक्षा और निगरानी समिति (डीएलआरएमसी) का गठन किया जायेगा तथा संसद सदस्य जिला कलेक्टर के साथ सह-अध्यक्ष होंगे। डीएलआरएमसी अमृत परियोजनाओं की निगरानी व समीक्षा करेंगी।

16. लेखापरीक्षा और मुकदमे संबंधी मामले

- 16.1 राज्य मिशन निदेशालय सी एण्ड एजी लेखापरीक्षा और न्यायालयों/अधिकरणों और मध्यस्थों के समस्त मामलों सहित मुकदमेबाजी के सभी मामलों के लिए उत्तरदायी होगा। राष्ट्रीय मिशन निदेशालय/शहरी विकास मंत्रालय की ओर से केन्द्र सरकार के हितों की रक्षा करने के लिए राज्य मिशन निदेशालय उत्तरदायी होगा।

17. जेएनएनयूआरएम की अपूर्ण परियोजनाएं

- 17.1 अमृत के अन्तर्गत कवर की जाने वाली जेएनएनयूआरएम की अपूर्ण परियोजनाओं की कवरेज के बारे में विस्तृत अनुदेश शहरी विकास मंत्रालय द्वारा अलग से जारी किये जायेंगे।

अनुलग्नक
और
तालिकाएं

अनुलग्नक 1 : अमृत शहरों के लिए सुधार उपलब्धि और समय सीमा

क्र.सं.	प्रकार	उपलब्धियाँ	कार्यान्वयन की समय सीमा
1	ई-शासन	डिजिटल शहरी स्थानीय निकाय 1. शहरी स्थानीय निकाय वेबसाइट का निर्माण। 2. ई-समाचार पत्र का प्रकाशन। डिजिटल इंडिया पहल 3. डिजिटल इंडिया को सहायता प्रदान करना (डविटिंग पीपीपी मॉडल अथवा यूएलबी द्वारा स्वयं किया जा सकता है)	6 महीने 6 महीने 6 महीने
		ई-मातृ के साथ कवरेज (सॉफ्टवेयर की शुरूआत करने की तारीख से) • जन्म, मृत्यु और विवाह का पंजीकरण, • जल एवं सीवरेज प्रश्न, • शिकायत निवारण, • सम्पत्ति कर, • विज्ञापन कर, • लाइसेंस जारी करना, • भवन निर्माण के लिए अनुमति, • परिवर्तन, • वेंचर, • पेशन।	24 महीने
		• ई-प्रापण, • कार्मिक कर्मचारी प्रबंधन और • परियोजना प्रबंधन।	36 महीने
2	म्युनिसिपल संवर्ग की शक्ति और व्यावसायिकता	1. म्युनिसिपल संवर्ग की स्थापना। 2. संवर्ग से जुड़ा प्रशिक्षण। 3. यूएलबी में प्रशिक्षुओं को लगाने और कार्यान्वयन के लिए नीति। 4. राज्य यूएलबी की आबादी, वेंचर संबंधी आंतरिक संसाधनों और खर्च के आधार पर म्युनिसिपल पदाधिकारियों की संख्या को ठीक करने के लिए नीति तैयार करेगी।	24 महीने 24 महीने 12 महीने 36 महीने
3	दोहरी प्रविष्टि लेखा में वृद्धि	1. पूर्णतः दोहरी प्रविष्टि लेखा प्रणाली में परिवर्तन करना और वित्तीय वर्ष 2012-13 से लेखा परीक्षा प्रमाण-पत्र प्राप्त करना। 2. आंतरिक लेखा परीक्षक की नियुक्ति। 3. वेबसाइट पर वार्षिक वित्तीय विवरण को प्रकाशित करना।	12 महीने 24 महीने प्रति वर्ष

क्र.सं.	प्रकार	उपलब्धियां	कार्यान्वयन की समय सीमा
4	शहरी आयोजना और शहरी स्तरीय योजनाएं	<ol style="list-style-type: none"> 1. जीआईएस का उपयोग करके मास्टर प्लान तैयार करना। 2. सेवा स्तर सुधार योजनाएं (एसएलआईपी), राज्य वार्षिक कार्य योजनाएं (एसएएपी) तैयार करना। 3. शहरी विकास प्राधिकरणों की स्थापना। 4. 5 वर्षों में शहरों के हरित क्षेत्र को 15% तक उत्तरोत्तर वृद्धि करने के लिए कार्य योजना तैयार करना। 5. अमृत शहरी में प्रत्येक वर्ष में कम से कम एक शिशु पार्क का विकास करना। 6. जन सार्वजनिक निजी भागीदारी (पीपीपी) पद्धति आधार पर पार्क, खेल मैदानों और मनोरंजन क्षेत्रों के रखरखाव के लिए प्रणाली स्थापित करना। 7. सुस्थिर आवास के लिए राष्ट्रीय मिशन में दिए गए मानदंडों का कार्यान्वयन करने के लिए एक राज्य स्तरीय नीति तैयार करना। 	<p>48 महीने 6 महीने 36 महीने 6 महीने प्रति वर्ष 12 महीने 24 महीने</p>
5	निधियों और कार्यों का हस्तांतरण	<ol style="list-style-type: none"> 1. 14वें वित्त आयोग की निधियों और कार्यों का अंतरण सुनिश्चित करना। 2. राज्य वित्त आयोग (एसएफसी) की नियुक्ति करना और निर्णय लेना। 3. समय-सीमा के अंतर्गत एसएफसी के सिफारिशों का कार्यान्वयन करना। 4. सभी 18 कार्यों यूएलबी को अंतरित करना। 	<p>6 महीने 12 महीने 18 महीने 12 महीने</p>
6	भवन उप-नियमों की पुनरीक्षा	<ol style="list-style-type: none"> 1. समय-समय पर भवन उप-नियमों का संशोधन। 2. 500 वर्ग मी. से अधिक क्षेत्र वाले सभी भवनों और सभी सार्वजनिक भवनों में सौर छत बनाने के लिए एक नीति और कार्य योजना तैयार करें। 3. 300 वर्ग मी. और उससे अधिक क्षेत्र वाले प्लॉटों पर निर्मित सभी वाणिज्यिक, सार्वजनिक भवनों और नए भवनों में वर्षा जल संचयन संरचनाओं के निर्माण के लिए एक नीति और कार्य योजना तैयार करें। 4. निर्माण अनुमति के लिए एकल खिड़की मंजूरी सृजित करना। 	<p>12 महीने 12-24 महीने 12-24 महीने 12 महीने</p>
7	राज्य-स्तर पर मध्यस्थ संस्था की व्यवस्था करना।	<ol style="list-style-type: none"> 1. वित्तीय मध्यस्थ संस्था की स्थापना और उसका संचालन - पूल वित्त, बाह्य निधियां प्राप्त करना, म्युनिसिपल बांड जारी करना। 	12-18 महीने

क्र.सं.	प्रकार	उपलब्धियाँ	कार्यान्वयन की समय सीमा
8 (क)	म्युनिसिपल कर और शुल्क में सुधार	<ol style="list-style-type: none"> 1. कम से कम 90% कवरेज, 2. कम से कम 90% एकत्रीकरण, 3. समय-समय पर संपत्ति कर का संशोधन, प्रचार और अन्य शुल्क लगाने के लिए नीति बनाना, 4. वेबसाइट पर कर व्योमों की मांग की एकत्रीकरण पुस्तिका (डीसीबी) डालना, 5. गतिशील मूल्य निर्धारण मॉड्यूल के साथ विशेष क्षमता प्राप्त करने के लिए नीति बनाकर विज्ञापन राजस्व की पूर्ण क्षमता को प्राप्त करना। 	12 महीने
8 (ख)	उपभोक्ता प्रभार लगाने और एकत्रित करने में सुधार	<ol style="list-style-type: none"> 1. व्यक्तिगत और संस्थागत आकलनों के लिए उपभोक्ता प्रभार पर नीति को अपनाना जिसमें जल के उपयोग हेतु कमजोर वर्गों के हितों पर ध्यान देने के लिए शामिल किए गए सुरक्षा उपकरणों हेतु भिन्न दर लगाई जाती है। 2. जल की हानि को 20% तक कम करने के लिए कार्य योजना बनाना और वेबसाइट पर प्रकाशित करना। 3. उपभोक्ता प्रभारों के लिए पृथक खाते। 4. कम से कम 90% बिलिंग। 5. कम से कम 90% एकत्रीकरण। 	12 महीने
9	क्रेडिट रेटिंग	यूएलबी की क्रेडिट रेटिंग पूरा करना।	18 महीने
10	ऊर्जा और जल लेखा परीक्षा	<ol style="list-style-type: none"> 1. ऊर्जा (स्ट्रीट लाइट) और जल लेखा परीक्षा (गैर राज्य जल अथवा हानि लेखा परीक्षा सहित) 2. एसटीपी और डब्ल्यूटीपी को अधिक ऊर्जा सक्षम बनाना 3. ऊर्जा सक्षम लाइटों का उपयोग करके स्ट्रीट लाइटों को ऊर्जा खपत के अनुकूल बनाना और नदीकरणीय ऊर्जा पर निर्भरता बढ़ाना। 4. हरित भवनों के लिए प्रोत्साहन देना (उदाहरणार्थ, भवन अनुमति विकास प्रसारों के संकंध में संपत्ति कर अथवा प्रसारों में छूट) 	12 महीने 12 महीने 12 महीने 24 महीने
11	स्वच्छ भारत मिशन	<ol style="list-style-type: none"> 1. खुले में शौच का उन्मूलन। 2. अपशिष्ट एकत्रीकरण (100%)। 3. अपशिष्ट को एक स्थान से दूसरे स्थान पर ले जाना (100%)। 4. वैज्ञानिक निपटारा (100%)। 	36 महीने

अनुलग्नक-2 : राज्य वार्षिक कार्य योजना का प्रारूप

राज्य वार्षिक कार्य योजना (एसएएपी)

अटल नवीकरण और शहरी परिवर्तन मिशन (अमृत)

राज्य का नाम

समय अवधि (वित्त वर्ष)

इस रिपोर्ट में शामिल है :

1	सार : राज्य की समेकित अपेक्षित राशि और प्रत्येक हितधारक का अंश
2	सेवा स्तरीय सुधार योजना
3	एसएलआईपी से तैयार की गई राज्य वार्षिक कार्य योजना* (एसएएपी)
4	प्रशासनिक और कार्यालय व्यय (ए एंड ओई) के लिए कार्य योजना
5	सुधार कार्यान्वयन के लिए कार्य योजना
6	राज्यों के लिए मूल्यांकन बांधा

द्वारा रिपोर्ट प्रस्तुत की :

दिनांक :/...../...../

* राज्य वार्षिक कार्य योजनाएं उपरोक्त संकेतकों के आधार पर राज्य सार पर वीकली सेवा सार सुधार योजनाओं पर आधारित होंगी।

1. राज्य वार्षिक कार्य योजना (एसएएपी) का सार
राज्य की समेकित अपेक्षित राशि और प्रत्येक हितधारक का अंश

तालिका संख्या	विषय-वस्तु
1.1	अमृत में शहरी विकास मंत्रालय का कुल आवंटन का ब्यौता
1.2.1	क्षेत्रवार प्रस्तावित कुल परियोजना धनराशि और हिस्सेदारी पद्धति
1.2.2	कुल धनराशि हिस्सेदारी पद्धति का ब्यौता
1.3	परियोजनाओं पर धनराशियों का उपयोग: गालू और नई
1.4	सीमा स्तर बेंचमार्क प्राप्त करने के लिए योजना

राज्य का नाम :

वित्त वर्ष :

तालिका 1.1 : अमृत में शहरी विकास मंत्रालय के कुल आवंटन का ब्यौता

राज्य को आवंटित कुल केंद्रीय धनराशि	प्रशासनिक और कार्यालय खर्च (कॉलम 1 में दिए गए कुल के 8 प्रतिशत की दर से) के लिए केंद्रीय निधियों का आवंटन	अमृत के लिए निधियों का आवंटन (केंद्रीय अंश)	कालम 4 में अमृत के लिए कॉलम 3 को 3 से गुणा करना (वार्षिक आवंटन-केंद्रीय अंश का तीन गुना किए जाने का परियोजना प्रस्ताव)	समान (कॉलम 4) राज्य/गुएलबी का अंश जोड़ना	कुल अमृत वार्षिक आकार (कॉलम-2+3+4+5)
1	2	3	4	5	6

राज्य का नाम :

वित्त वर्ष :

तालिका 1.2.1 : क्षेत्रवार प्रस्तावित कुल परियोजना धनराशि और हिस्सेदारी पद्धति
(धनराशि ₹0 में)

क्र.सं.	क्षेत्र	परियोजनाओं की संख्या	केंद्र	राज्य	गुएलबी	अभिसरण	अन्य	कुल
1	जलापूर्ति							
2	सीवरेंज और सेप्टेज प्रबंधन							
3	जल विकास							
4	अन्य परिवहन							
5	अन्य							
6	सकल योग							

तालिका 1.2.2 : कुल धनराशि हिस्सेदारी पद्धति का ब्यौरा

(धनराशि ₹0 में)

वित्त वर्ष

क्र.सं.	क्षेत्र	केन्द्र	राज्य			यूएलबी			समाप्ति- रूपता	अन्य	कुल
		मिशन	14वां वित्त आयोग	अन्य	कुल	14वां वित्त आयोग	अन्य	कुल			
1	जलापूर्ति										
2	सीवरेज और सेप्टेज प्रबंधन										
3	जल निकास										
4	अन्य परिवहन										
5	अन्य										
6	सकल योग										

तालिका 1.3 : सार-परियोजनाओं पर धन का उपयोग : मातृ और नर्स

नर्स (समावधि 80 में)
 विवरण वर्ष

क्र.सं.	बीज	कुल परिवारगत विधि	वित्त वर्ष में परिवर्द्धन (एक करोड़ में)						मातृ वित्त वर्ष में दोहरा आवृत्ति 000						अन्य वित्त वर्ष में लिए अपेक्षित वित्त वर्ष					
			मातृ		पुणर्वर्द्ध		कुल		मातृ		पुणर्वर्द्ध		कुल		मातृ		पुणर्वर्द्ध		कुल	
			1400 रिज आवृत्ति	अन्य कुल	14.00 रिज आवृत्ति	अन्य कुल	1400 रिज आवृत्ति	अन्य कुल	1400 रिज आवृत्ति	अन्य कुल	1400 रिज आवृत्ति	अन्य कुल	1400 रिज आवृत्ति	अन्य कुल	1400 रिज आवृत्ति	अन्य कुल	1400 रिज आवृत्ति	अन्य कुल	1400 रिज आवृत्ति	अन्य कुल
1	जन्मपूर्व																			
2	सिस्टम और फिटिंग प्रदान																			
3	अन्य विकास																			
4	मातृ परिवर्द्धन																			
5	अन्य																			
6	समावधि योग																			

तालिका 1.4 : सार-सेवा स्तर बंधुमार्क प्राप्त करने के लिए योजना

वित्त वर्ष _____

प्रस्तावित प्राथमिकता वाली परियोजनाएं	कुल परियोजना लागत	संकेतक ⁴	आधार सेवा ⁵	मास्टर प्लान पर आधारित वार्षिक लक्ष्य (आधार सेवा कीमत से वृद्धि)					
				वित्त वर्ष 2018		वित्त वर्ष 2017	वित्त वर्ष 2018	वित्त वर्ष 2019	वित्त वर्ष 2020
				एच 1	एच 2				
जलापूर्ति									
		1. ग्राम जलापूर्ति कनेक्शनों की पारिवारिक स्तर कवरेज							
		2. जलापूर्ति की प्रति व्यक्ति मात्रा							
		3. आपूर्ति किए गए जल की शुद्धता							
सीवरेंज और सफ्टेज प्रबंधन									
		शीघ्रताओं की कवरेज (व्यक्तिगत एवं समुदाय)							
		6. सीवरेंज नेटवर्क सेवाओं की कवरेज							
		6. सीवरेंज संग्रहण की क्षमता							
		7. सौंधन की क्षमता							
जल विकास									
		8. जल विकास नेटवर्क की कवरेज							
शहरी परिवहन									
		9. शहर में शहरी परिवहन की सेवा कवरेज							
		10. प्रति हजार जनसंख्या शहरी परिवहन की उपलब्धता							
अन्य									

4. जलापूर्ति, सीवरेंज, शौच आदिगृह संकेत और जल विकासों के लिए एलएनजी ड्राइव और शहरी परिवहन हेतु प्रस्तावित एलएनजी संकेतक के अनुसार

5. आधार सेवा की तुलना में उच्च स्तरीय प्राप्त करने हेतु निम्नलिखित सूचकांक का आकलन शहरी स्तर सुनिश्चित करार एवं श्रेय से किया जाएगा ताकि राज्य के संकेतकों को प्राप्त किया जा सके।

शहर का नाम :

वित्त वर्ष

तालिका 2.2 : एसएलआईपी-बालू वित्त वर्ष के दौरान अमृत के अंतर्गत प्रस्तावित प्राथमिकता वाली परियोजनाओं का ब्यौरा क्षेत्र-वार

क्षेत्र	विवरण	परियोजना का नाम और कोड ¹	जवसंरचना में सुधार				
			भौतिक घटक	सेवास्तरों में परिवर्तन			अनुमानित लागत (राशि रु० में)
				संकेतक	मौजूदा (जैसा है)	बाद में (होना है)	
जलापूर्ति							
सीवरेज और सफ्टेज प्रबंधन							
जल विकास							
शहरी परिवहन							
अन्य							
सकल योग							

¹ परियोजना कोड का यह संकेतक कायम रहेगा : अमृत/उत्तर प्रदेश/मधुवा/उत्तरप्रदेश/01(जिला का नाम) जैसे दिल्ली/राज्य/शहर/क्षेत्र/संख्या (जैसे)

शहर का नाम :

वित्त वर्ष

तालिका 2.3.1 : एसएलआईपी : प्राथमिकता वाली परियोजनाओं के लिए प्रस्तावित वित्तपोषण और हिस्सेदारी पद्धति : क्षेत्रवार

(घनराशि ₹0 में)

क्षेत्र	कुल परियोजना लागत	अंश				कुल
		भारत सरकार	राज्य	यूएलबी	अन्य	
जलापूर्ति						
सीवरेंज और सेप्टेज प्रबंधन						
जल विकास						
शहरी परिवहन						
अन्य						
सकल योग						

शहर का नाम :

वित्त वर्ष

तालिका 2.3.2 : एसएलआईपी-भारत सरकार/राज्य/शहरी स्थानीय निकाय से धन का स्रोत (सभी क्षेत्रों और प्राथमिकता प्रदत्त परियोजनाओं के लिए)

(घनराशि ₹0 में)

स्रोत	घनराशियों का स्रोत						कुल
	अनुदान (केंद्र/राज्य)	स्वनिधि (राज्य/यूएलबी)	14वां वित्त आयोग (राज्य)	ऋण (केंद्र/राज्य/अन्य)	अन्य (सार्वजनिक निजी भागीदारी (पीपीपी))	समानिरूपता (केंद्र/राज्य/यूएलबी)	
भारत सरकार							
राज्य							
शहरी स्थानीय निकाय							
कुल							

शहर का नाम :

वित्त वर्ष

तालिका 2.4 : एसएलआईपी-निवेशों का वर्ष-वार ब्यौरा (सभी क्षेत्रों के लिए)

(धनराशि ₹0 में)

क्षेत्र	अध			
	भारत सरकार	राज्य	यूएलबी	कुल
पिछले वर्ष तक अनुमोदित परियोजनाओं की कुल लागत (क)				
वर्ष के दौरान प्रस्तावित परियोजनाओं की लागत (ख)				
पिछले वर्ष तक व्यय की गई धनराशि (ग)				
प्रतिबद्ध व्यय (घ) = (क+ख+ग)				
चालू वित्तीय वर्ष के दौरान प्रस्तावित व्यय (नई और पुरानी परियोजनाएं) (ङ)				
शेष राशि को अगले वित्तीय वर्ष में लिया जाएगा (च) = (घ)-(ङ)				

शहर का नाम :

वित्त वर्ष

तालिका 2.5 : एसएलआईपी – सेवा स्तरीय मानदंड प्राप्त करने के लिए योजना

प्रस्तावित परियोजना	कुल परियोजना लागत	सूचक*	आधार रेखा†	वार्षिक लक्ष्य (आधार रेखा मूल्य से प्रति)					
				वित्त वर्ष 2016		वित्त वर्ष 2017	वित्त वर्ष 2018	वित्त वर्ष 2019	वित्त वर्ष 2020
				एच 1	एच 2				
जलापूर्ति									
		1. प्रत्यक्ष जलापूर्ति कनेक्शन की पारिवारिक स्तर तक कवरेज							
		2. जलापूर्ति की प्रति व्यक्ति मात्रा							
		3. आपूर्ति किए गए जल की शुद्धता							
सीवरेज और सेप्टेज प्रबंधन									
		4. सीवलयों की कवरेज (व्यक्तिगत एवं समुदाय)							
		5. सीवरेज नेटवर्क सेवाओं की कवरेज							
		6. सीवरेज एकत्र करने की क्षमता							
		7. शोधन की क्षमता							
जल निकासी									
		8. जल निकासी नेटवर्क की कवरेज							
शहरी परिवहन									
		9. शहर में शहरी परिवहन की सेवा कवरेज							
		10. प्रति हजार जनसंख्या शहरी परिवहन की उपलब्धता							
अन्य									

* जलापूर्ति, सीवरेज, जल निकासी प्रबंधन, और जल निकास के लिए एसएलआईपी कवरेज के अनुमान तथा शहरी परिवहन के लिए प्रस्तावित एसएलआईपी संयोजक (कृपया अनुलग्नक-1 देखें)

† आधार रेखा की तुलना में प्रतिशत लक्ष्य प्राप्त करने के लिए राज्यों को प्रस्ताव में साथ-साथ विद्युत सुविधा संलग्न की जाएगी।

शहर का नाम :

वित्त वर्ष

तालिका 2.8 : एसएलआईपी — गत वित्तीय वर्ष के दौरान मिशन के अंतर्गत परियोजनाओं की भौतिक तथा वित्तीय प्रगति की सूचना देना

परियोजना का नाम	पिछले वर्ष का लक्ष्य		पिछले वर्ष की उपलब्धि		अंतर		अंतर का कारण
	भौतिक %	वित्तीय %	भौतिक %	वित्तीय %	भौतिक %	वित्तीय %	

* शहरी विकास मंत्रालय को इस तालिका की अनुमोदित प्रति एसएपी के साथ भेजी जानी चाहिए।

राज्य स्तरीय

3. एसएलआईपीएस से प्राप्त की गई राज्य वार्षिक कार्य योजना¹⁰ (एसएपी)

तालिका संख्या	विषय
3.1	तालिका 2.1 के आधार पर वर्तमान मिशन अवधि के दौरान सार्वभौमिक कवरेज प्राप्त करने के लिए सभी परियोजनाओं का मास्टर प्लान (वित्त वर्ष 2015-16 से 2019-20 तक)
3.2	राज्य में प्रत्येक शहरी स्थानीय निकाय के लिए संक्षिप्त निवेशों का क्षेत्र-वार ब्यौरा
3.3	सभी क्षेत्रों के लिए निधियों का शहरी स्थानीय निकाय-वार सौत
3.4	सभी क्षेत्रों के लिए निवेशों का वर्ष-वार अंश (वृणलकी-वार)
3.5	सेवा-स्तरीय मानदंडों को प्राप्त करने के लिए राज्य-स्तरीय योजना
3.6	भौतिक और वित्तीय प्रगति के लिए राज्य-स्तरीय कार्य योजना

¹⁰ राज्य स्तरीय कार्य योजनाएं उपलब्ध संसाधनों के अंतर पर राज्य स्तर का सेवा-स्तरीय सुधार योजनाओं को मिलाने से अंतर का पैदा होती।

राज्य का नाम :

वर्तमान मिशन अवधि : 2015-20

तालिका 3.1 : के आधार पर वर्तमान मिशन अवधि के दौरान सार्वभौमिक कवररेज को प्राप्त करने के लिए सभी परियोजनाओं के आवेदों का मास्टर प्लान (वित्त वर्ष 2015-16 से 2019-20 तक)

(खतराशि ०0 में)

क्र.सं.	शहरी स्थानीय निकाय का नाम (जलापूर्ति और सीवररेज)	सार्वभौमिक कवररेज प्राप्त करने के लिए परियोजनाओं की कुल संख्या	अनुमानित खर्च	सार्वभौमिक कवररेज प्राप्त किए जाने वाले वर्षों की संख्या
1	2	3	4	5

राज्य का नाम :

वित्त वर्ष

तालिका 3.2 : एसएएपी- राज्य में सभी शहरी स्थानीय निकायों के लिए समेकित निवेशों का बीच-वार व्योम

(खतराशि ०0 में)

शहर का नाम	जलापूर्ति	सीवररेज और सेप्टेज प्रबंधन	जल विकास	शहरी परिवहन	अन्य	सुधार	कुल
1	2	3	4	5	6	7	8
कुल परियोजना निवेश							
प्रशासनिक और अन्य व्यय							
सकल योग							

राज्य का नाम :

वित्त वर्ष

तालिका 3.3 : एसएपी – सभी क्षेत्रों के लिए नियमों का शहरी स्थानीय निकाय-वार स्रोत

(खण्डसि २० में)

शहर का नाम	केंद्र	राज्य			यूएलबी			अभिरक्षण	अन्य (अर्थात् प्रोत्साहन)	कुल
		14वां वित्त आयोग	अन्य	कुल	14वां वित्त आयोग	अन्य	कुल			
कुल										
सकल योग										

राज्य का नाम :

वित्त वर्ष :

तालिका 3.4 : एलएपी - सभी क्षेत्रों के लिए निवेशों का वर्ष-वार अंश (पुएलसी-वार)

(सन्तति २० में)

राज्य परिषद का नाम	शुद्ध वष से इतिवृद्ध व्यय (परि वष में)			वर्तमान वित्तीय वर्ष में योजना प्रस्तावित व्यय			अन्य वित्तीय वर्षों के लिए योजना प्रस्तावित व्यय		
	राज्य		पुएलसी	राज्य		पुएलसी	राज्य		पुएलसी
	1401 वित्त आयोग	अन्य कुल	1401 वित्त आयोग	1401 वित्त आयोग	अन्य कुल	1401 वित्त आयोग	अन्य कुल	1401 वित्त आयोग	अन्य कुल
	1401 वित्त आयोग	अन्य कुल	1401 वित्त आयोग	1401 वित्त आयोग	अन्य कुल	1401 वित्त आयोग	अन्य कुल	1401 वित्त आयोग	अन्य कुल

राज्य का नाम :

वित्त वर्ष

तालिका 3.5 : एनएपी – सेवा-स्तरीय मानदंडों को प्राप्त करने के लिए राज्य-स्तरीय योजना

प्राथ- मिकता वाली प्रस्तावित परि- योजनाएं	कुल परियोजना लागत	संयोजक ¹¹	अक्षर रेखा ¹²	वार्षिक लक्ष्य (अक्षर रेखा मूल्य से दृष्टि)					
				वित्त वर्ष 2016		वित्त वर्ष 2017	वित्त वर्ष 2018	वित्त वर्ष 2019	वित्त वर्ष 2020
				एच1	एच 2				
जलापूर्ति									
		1. प्रत्यक्ष जलापूर्ति कनेक्शन की पारिवारिक स्तर तक कवरेज							
		2. जलापूर्ति की प्रति व्यक्ति मात्रा							
		3. आपूर्ति किए गए जल की गुणवत्ता							
सीवरेज और शौच प्रबंधन									
		4. शौचालयों की कवरेज (व्यक्तिगत एवं समुदाय)							
		5. सीवरेज नेटवर्क सेवाओं की कवरेज							
		6. सीवरेज एकत्र करने की क्षमता							
		7. शोधन की क्षमता							
जल विकास									
		8. जल विकास नेटवर्क का कवरेज							
शहरी परिवहन									
		9. शहर में शहरी परिवहन की सेवा कवरेज							
		10. प्रति हजार जनसंख्या शहरी परिवहन की उपलब्धता							
अन्य									

11 जलापूर्ति, सीवरेज, जल अक्षिप्त प्रबंधन और जल विकास के लिए एनएपी कवरेज के अनुसार तथा शहरी परिवहन के लिए प्रस्तावित एनएपी संयोजक (सूचना अनुसूची-1 देखें)

12 अक्षर रेखा की तुलना में इतिहासिक लक्ष्य प्राप्त करने के लिए वित्त वर्ष 2016-17 के प्रस्ताव के साथ-साथ सही करने की जाएगी।

राज्य का नाम :

वित्त वर्ष

तालिका 3.6 : एसएएपी – भौतिक और वित्तीय प्रगति के लिए राज्य-स्तरीय कार्य योजना

क्षेत्र :

शहर का नाम	निष्पादन संसूचक	आधार रेखा (दिनांक..... के अनुसार)	वित्त वर्ष	वित्तीय वर्ष के लिए			
				अर्द्धवार्षिक 1 के लिए		अर्द्धवार्षिक 2 के लिए	
				प्राप्त की जाने वाली भौतिक प्रगति	उपयोग की जाने वाली धनराशि	प्राप्त की जाने वाली भौतिक प्रगति	उपयोग की जाने वाली धनराशि

(नोट : परियोजना की पूर्णता तक प्रत्येक शहर में हर क्षेत्र, हर अर्द्ध-वर्ष के लिए उपयुक्त सूचना प्रदान की जाए।)

4. प्रशासनिक और अन्य व्ययों के लिए कार्य योजना

राज्य का नाम :

वित्त वर्ष

तालिका 4: एसएएपी – प्रशासनिक और अन्य व्ययों के लिए व्यापक प्रस्तावित आबंटन
(राशि ₹0 में)

क्र.सं.	प्रशासनिक और कार्यालय व्यय के लिए प्रस्तावित मद	कुल आबंटन	पिछले वर्ष के लिए वचनबद्ध व्यय (यदि कोई हो)	वर्तमान वित्त वर्ष के लिए प्रस्तावित व्यय	आगे ले जाने हेतु शेष राशि			
					वित्त वर्ष 2017	वित्त वर्ष 2018	वित्त वर्ष 2019	वित्त वर्ष 2020
1	एसएलआईपी और एसएएपी की तैयारी							
2	पीडीएमसी							
3	एनडीय प्रभु स्वतंत्र समीक्षा और निगरानी एजेंसी सेना							
5	प्रकाशन (ई-पत्रिका, दिशा-निर्देश, नियतिका आदि)							
6	क्षमता निर्माण और प्रशिक्षण –सीसीपीपी, यदि लागू हो – अन्य							
7	सुधार कार्यान्वयन							
8	अन्य							
कुल								

5. सुधार कार्यान्वयन के लिए कार्य योजना

तालिका संख्या	विषय-वस्तु
5.1	वित्त वर्ष 2015-16 के लिए अमृत शहरों के लिए सुधारों की प्रकृति, उपाय और लक्ष्य
5.2	वित्त वर्ष 2016-17 के लिए अमृत शहरों के लिए सुधारों की प्रकृति, उपाय और लक्ष्य
5.3	वित्त वर्ष 2017-18 के लिए अमृत शहरों के लिए सुधारों की प्रकृति, उपाय और लक्ष्य
5.4	वित्त वर्ष 2018-19 के लिए अमृत शहरों के लिए सुधारों की प्रकृति, उपाय और लक्ष्य
5.5	सुधार कार्यान्वयन पर प्रगति की रिपोर्ट हेतु स्व-मूल्यांकन

तालिका 5.1: एसएएपी – अमृत शहरों के लिए सुधारों के प्रकार, कदम और लक्ष्य वित्तीय वर्ष–2015–2016

क्र.सं.	प्रकार	उपाय	कार्यान्वयन समय-सीमा	एसएएपी में राज्यों द्वारा निर्धारित किए जाने वाले लक्ष्य	
				अप्रैल से सितम्बर, 2015	अक्टूबर, 2015 से मार्च, 2016
1	ई-गवर्नेंस	डिजिटल शहरी स्थानीय निकाय 1. शहरी स्थानीय निकाय की वेबसाइट तैयार करना। 2. ई-न्यूजलेटर का प्रकाशन, डिजिटल इमिडज ब्रान्ड। 3. डिजिटल इमिडज को समर्थन देना (ऑफिशियल वेबसाइट पर अथवा स्वयं शहरी स्थानीय निकाय द्वारा की जाएगी)।	8 महीने 8 महीने 8 महीने		
2	नगर संवर्धन का मॉडल और व्यवसायीकरण	1. शहरी स्थानीय निकाय में इंटेंसिटी को लक्ष्य हेतु नीति और कार्यान्वयन	12 महीने		
3	शहरी प्रविष्टि लेखांकन को बढ़ाना	1. शहरी प्रविष्टि लेखांकन प्रणाली में सम्पूर्ण अंतरण और वित्त वर्ष 2012-13 से प्रभावी एक लेखा परीक्षा प्रमाण पत्र प्राप्त करना। 2. वेबसाइट पर वार्षिक वित्तीय विवरण का प्रकाशन	12 महीने प्रत्येक वर्ष		
4	शहरी नियोजन और सिटी विकास योजनाएं	1. सेवा सार्वजनिक सुधार योजना (एसएसआईपी), राज्य वार्षिक कार्यवाई योजना (एसएएपी) की तैयारी। 2. 5 वर्षों में, सिटीज में 15% तक उचित क्षेत्र बढ़ाने के लिए एक प्रगतिशील कार्यवाई योजना तैयार करना। 3. एएनआरएमयूटी सिटीज में प्रत्येक वर्ष कम से कम एक बाल उद्यान का विकास करना। 4. जन-सार्वजनिक निजी भागीदारी (जीपीपीपी) मॉडल पर आधारित पार्क, खेल मैदानों और मनोरंजन क्षेत्रों के रख-रखाव हेतु एक प्रणाली स्थापित करना।	8 महीने 8 महीने प्रत्येक वर्ष 12 महीने		
5	नियंत्रण और कृत्यों का हस्तांतरण	1. शहरी स्थानीय निकाय को 14वें वित्त आयोग की कार्यो के हस्तांतरण को सुनिश्चित करना। 2. राज्य वित्त आयोग (एसएफसी) की नियुक्ति करना और नियंत्रण लेना। 3. सभी 18 कृत्यों को शहरी स्थानीय निकायों को हस्तांतरित करना।	8 महीने 12 महीने 12 महीने		

6	मयन उप-नियमों की समीक्षा	<ol style="list-style-type: none"> 1. मयन उप-नियमों की आवधिक रूप से समीक्षा करना। 2. मयन अनुमतिपत्र देने के लिए सभी अनुमोदनों हेतु एकल डिप्टी की स्वीकृति तैयार करना। 	12 महीने		
7(क)	नगर कर और शुल्क सुधार	<ol style="list-style-type: none"> 1. कम से कम 80% कवरेज। 2. कम से कम 80% संग्रहण। 3. संपति कर, जगाही प्रभार और अन्य शुल्कों को आवधिक रूप से संबंधित करने के लिए नीति तैयार करना। 4. वेबसाइट पर कर विवरणों की मांग एकीकरण पुस्तिका (डीसीबी) पोस्ट करना। 5. इंस्ट्रुमेंटन स्पेशिफिक पोर्टफोलियो के लिए आधुनिक प्रॉसेसिंग मॉड्यूल वाली एक नीति बना कर विज्ञापन राजस्व की पूर्ण क्षमता को प्राप्त करना। 	12 महीने		
7(ख)	जगाही और उपयोगकर्ता प्रभारों के संग्रहण में सुधार	<ol style="list-style-type: none"> 1. व्यक्तिगत और सांख्यिक जानकारी के लिए उपयोगकर्ता प्रभारों संबंधी एक नीति अपनाए जिसमें जल उपयोग के लिए एक परिचालित दर ली जाती है और कानूनी बर्न के हितों का ध्यान रखने के लिए पर्याप्त सुरक्षा उपाय शामिल किए जाने हैं। 2. जल की हानि को 20% तक कम करने के लिए एक कार्रवाई योजना बनाना और वेबसाइट पर डालना। 3. उपयोगकर्ता प्रभारों के लिए अलग लेखा। 4. कम से कम 90% बिल तैयार करना। 5. कम से कम 90% संग्रहण। 	12 महीने		
8	ऊर्जा एवं जल लेखा परीक्षा	<ol style="list-style-type: none"> 1. ऊर्जा (स्ट्रीट लाइट) और जल परीक्षा (गैर-राजस्व जल अथवा हानि लेखा परीक्षा सहित)। 2. एसटीवी और ऊर्ध्वीवी को ऊर्जाखन बनाना। 3. ऊर्जाखन लाइटों का उपयोग करने और नवीकरणीय ऊर्जा पर निर्भरता को बढ़ाकर स्ट्रीट लाइटों की श्रृंखला ऊर्जा खपत। 	12 महीने		

तालिका 5.2 : एसएएपी – अमृत शहरों के सुधार का प्रकार
कदम और लक्ष्य वित्त-वर्ष कार्यान्वयन 2016-2017

क्र.सं.	प्रकार	कदम	कार्यान्वयन समय-सीमा	एसएएपी में राशियों द्वारा निर्धारित किए जाने वाले लक्ष्य			
				अप्रैल से सितम्बर, 2016	अक्टूबर, 2016 से मार्च, 2017	अप्रैल से सितम्बर, 2016	अक्टूबर, 2016 से मार्च, 2017
1	ई-गवर्नेंस	1. ई-एमएएस सहित मन्वेज (सोफ्टवेयर की इंस्टॉलिंग की दिशि में) • जन्म, मृत्यु और विवाह का मंजूकरण, • जल एवं सीवरों प्रसार, • शिवलया विद्यालय, • सम्पत्ति कर, • विज्ञापन कर, • लाइसेंस जारी करना, • महान अनुमतियां, • नगरनगर, • वोल-पत्रक, • योजना और ई-प्रसार	24 महीने				
2	नगर सवर्ग का गठन और जायसविम्वरण	1. नगर सवर्ग की स्थापना। 2. सवर्ग बद्ध प्रशिक्षण।	24 महीने				
3	पोहरी प्रविष्टि संस्थापन का संस्करण	1. आन्तरिक संस्था परीक्षणों की नियुक्ति।	24 महीने				
4	शहरी नियोजन और नगर विकास योजनाएं	1. सुस्थिर परामर्शों हेतु राष्ट्रीय मिशन में दिए गए प्रविष्टियों के कार्यान्वयन के लिए एक राज्य स्तरीय नीति बनाना।	24 महीने				
5	निधियों और कृत्यों का इस्तेमाल	1. समय-सीमा के अन्दर एसएएपी शिकडिईई का कार्यान्वयन करना।	24 महीने				
6	महान सव-निधियों की समीक्षा	1. राज्य 500 वर्ग मीटर से अधिक क्षेत्र वाले सभी भवनों और सभी सामंजसिक भवनों में छत पर सौर प्रणाली संबंधी नीति और करवाई योजना तैयार करें।	24 महीने				
		2. राज्य 300 वर्ग मीटर और इससे अधिक के प्लॉटों पर सभी व्यावसायिक, सामंजसिक भवनों और नए भवनों में सौर जल संकलन संरचना के लिए एक नीति और करवाई योजना तैयार करें।	24 महीने				
7	राज्य स्तर पर वित्तीय मन्वेज का गठन करना।	1. वित्तीय मन्वेज का गठन और वसुला प्रभावण - पूरा आइनेस, बाहम निधि उपकरण, नगर क्षेत्रों को प्रभावित करना।	24 महीने				
8	क्रेडिट रेटिंग	1. शहरी स्थानीय निकायों की क्रेडिट रेटिंग को पूरा करना।	24 महीने				
9	करों और जल लेखा परीक्षा	1. हरित भवनों के लिए प्रेरणादायक वेग (प्रवर्धित सम्पत्ति कर लक्ष्यक महान अनुमति से संबंधित प्रसार/विकास प्रणाली में छुट)।	24 महीने				

तालिका 5.3: एसएएपी – अमृत शहरों के सुधार का प्रकार, कदम और लक्ष्य वित्त-वर्ष 2017-2018

क्र.सं.	प्रकार	कदम	कार्यान्वयन समय-सीमा	एसएएपी में राज्यों द्वारा निर्धारित किए जाने वाले लक्ष्य						
				अप्रैल से सितम्बर, 2015	अक्टूबर, 2015 से मार्च, 2016	अप्रैल से सितम्बर, 2016	अक्टूबर, 2016 से मार्च, 2017	अप्रैल से सितम्बर, 2017	अक्टूबर, 2017 से मार्च, 2018	
1	ई-गवर्नेंस	1. वार्षिक स्टॉक प्रकल्प 2. परिवर्तन प्रबंधन	38 महीने							
2	शहरी नियोजन और नगर विकास योजनाएं	1. शहरी विकास प्रतिकरणों की स्थापना करना।	36 महीने							
3	राज्य स्तरांतरित नित्य	1. सुले में मालखाना का उपभूत 2. अपरिष्कृत संग्रहण (100%) 3. अपरिष्कृत की बुलडॉ (100%) 4. वैज्ञानिक निपटान (100%) 5. राज्य-शहरी स्थायी नित्य की जनसंख्या, अन्तर्गत संसदानी के सुजन और वेतन पर होने वाले व्यय के आधार पर नगर अधिकारियों की संख्या के उचित आकार के लिए, एक नीति तैयार करेंगे।	36 महीने							

तालिका 5.4 : राज्य वार्षिक कार्य योजना (एसएएपी)-सुधारों के प्रकार, कदम तथा वित्त वर्ष 2018-2019 में अमृत शहरों हेतु लक्ष्य

क्र.सं.	प्रकार	कदम	कार्यान्वयन की समय-सीमा	एसएएपी में राज्यों द्वारा नियत किए जाने वाले लक्ष्य						
				अप्रैल से सितम्बर, 2015	अक्टूबर, 2015 से मार्च, 2016	अप्रैल से सितम्बर, 2016	अक्टूबर, 2016 से मार्च, 2017	अप्रैल से सितम्बर, 2017	अक्टूबर, 2017 से मार्च, 2018	
1	शहरी आयोजना और नगर विकास योजनाएं	1. जीआईएस का उपयोग करके मास्टर प्लान तैयार करना	48 माह							

**तालिका 5.5 : एसएएपी-सुधार कार्यान्वयन पर प्रगति की रिपोर्ट करने के लिए
स्व-मूल्यांकन**

वित्तीय वर्ष के लिए.....

(पिछला वित्तीय वर्ष)

शहरी विकास मंत्रालय द्वारा निर्धारित किए गए लक्ष्यों के सामने पूरे किए गए प्रत्येक सुधार की उपलब्धि के लिए 10 अंक आवंटित करते हुए पूरे किए गए सुधारों को वित्तीय वर्ष के अंत के पश्चात प्रत्येक वर्ष मापा जाएगा।

क्र.सं.	वर्ष	उपलब्धियों की संख्या	अधिकतम स्कोर
1	प्रथम वर्ष	28	280
2	द्वितीय वर्ष	13	130
3	तृतीय वर्ष	8	80
4	चतुर्थ वर्ष	3	30

प्रोत्साहन आधारित जारी अनुदान की गणना :

राज्यों को निम्नलिखित स्व-मूल्यांकन फॉर्म भरने की आवश्यकता होगी।

चरण 1 : निम्न तालिका भरें

क्र.सं.	शहरी स्थानीय निकायों का नाम	वर्ष के दौरान अधिकतम प्राप्तांक संग्रह	शहरी स्थानीय निकाय-वार प्राप्त प्राप्तांक
(1)	(2)	(3)	(4)
1			
2			
3			
3 शहरी स्थानीय निकायों का उप-योग			
	राज्य		
1			
2			
3			
राज्य का उप-योग			
कुल योग			

चरण 2 : राज्य द्वारा प्राप्त प्रतिशत में समय प्राप्तांक की गणना (राज्य प्राप्तांक + शहरी स्थानीय निकाय प्राप्तांक)।

चरण 3 : फॉर्मल तब राज्यों पर प्रोत्साहन को लिए विचार किया जाएगा जिन्होंने समय सुधार प्राप्तांक 70 प्रतिशत और उससे अधिक प्राप्त किया होगा।

चरण 4 : यदि समय प्राप्तांक 70 प्रतिशत से अधिक है, तो प्रोत्साहन राशि को राज्य में 70 प्रतिशत से अधिक प्राप्तांक हासिल करने वाले शहरी स्थानीय निकायों की संख्या के आधार पर राज्यों के बीच वितरित किया जाएगा।

6. राज्यों के लिए मूल्यांकन रूपरेखा

क्र.सं.	विषय सूची
6.1	राज्य एचपीएससी के सामने रखे जाने वाले राज्य मिशन निदेशालय द्वारा एचएलआईपी का मूल्यांकन
6.2	शहरी विकास मंत्रालय द्वारा मूल्यांकन के लिए भेजी जाने वाली समेकित राज्य वार्षिक कार्य योजना
6.3	शहरी विकास मंत्रालय द्वारा राज्य स्तरीय कार्य योजनाओं का अन्तिम मूल्यांकन

तालिका 6.1 : जाँच सूची – राज्य एचपीएससी के सामने रखे जाने वाले राज्य मिशन निदेशालय द्वारा शहरी स्थानीय निकायों की एसएलआईपी का मूल्यांकन

शहरी स्थानीय निकाय-राज्य :

क्र.सं.	मूल्यांकन का स्रोत	हाँ/नहीं	सहायक प्रश्नसूची	टिप्पणियाँ
1	क्या शहर में सेवा उपलब्ध सुलभ से लिए आवश्यक (संग्रहालय) का अद्यतन किया गया है?			
2	क्या एसएलआईपी विकसित करने तथा शहर विकास योजना तैयार करने से लिए नगरिक परामर्श किए गए हैं?			
3	क्या परिवोजनाओं को दो गई प्राथमिकता नगरिक परामर्शों के आधार पर दी गई है?			
4	क्या शहर के कम लागत या बिना लागत सुधारों का अद्यतन किया गया है जो सेवा प्राप्त में सुधार कर सकते हैं?			
5	क्या सेवा शहर में सुधार करने से लिए पहचान की गई मुझे निवेश, प्रबंधन सुधारों के साथ है?			
6	क्या प्रस्तावित निवेश रसम/शहरी गरीब क्षेत्रों के लिए सेवा प्राप्त को सुनिश्चित करेगा?			
7	क्या प्रस्तावित परिवोजना राष्ट्रीय प्रकल्पिकाओं को शामिल करने के बराबर सुधार से लिए नगरीय प्रकल्पिका को जरूरत को संबोधित करती है?			
8	क्या प्रस्तावित निवेश, सूक्ष्म में परिकल्पित सुधार के स्तर के अनुकूल है?			
9	क्या शहर के लिए निवेश को लागत कम करने हेतु स्मार्ट तकनीक का इस्तेमाल किया गया है?			
10	शहर द्वारा प्रस्तावित स्मार्ट सभ्यता के इस्तेमाल			
11	क्या शहर के लिए यह सुनिश्चित किया गया है कि निवेश प्रस्ताव प्रकल्पित लागत अनुबंधों के आधार पर है?			
12	क्या शहर के लिए निम्नलिखित संसाधन आवश्यकताओं की पहचान करने हेतु विनीत पूर्वानुमान किया गया है क) पूंजीगत लागत ख) प्रचालन एवं अनुकूलन ग) ऋण की पुनर्प्राप्ति/पैसेपैपे द्वारा वित्तपोषण योग्यता			
13	क्या शहर के लिए स्टाफ और लागत सहित वृद्धिशील प्रचालन और अनुकूलन आवश्यकताओं की पहचान की गई है?			
14	क्या शहर के लिए निवेश की जरूरत को पूरा करने हेतु फंड के विभिन्न स्रोतों पर विचार किया गया है?			
15	क्या शहर के लिए अनिश्चित वित्तपोषण के विफल सारित जटिलता सजल्य जुटाने के लिए सभी सम्भावित सजल्य सुधारों पर विचार किया गया है?			
16	क्या शहर के लिए बाजार ऋण सहित वित्त के सभी स्रोतों का पता लगाया गया है?			
17	क्या शहर के लिए विभिन्न वित्तीय विकल्पों पर विचार किया गया है?			
18	क्या शहर के लिए सुधारों के कार्याचरण हेतु स्पष्ट रियल्टी और रोडमैप को तैयार किया गया है?			
19	क्या शहरों के लिए प्रस्तावित परिवोजनाओं और सुधारों की सुरक्षा हेतु प्राथमिकता योजना तैयार की गई है?			
20	क्या पैर 7.2 के अनुसार अनुभव में विलंबता के लिए शहरी स्थानीय निकायों को प्रकल्पिता दी गई है?			

तालिका 6.2 : जाँच सूची – शहरी विकास मंत्रालय द्वारा मूल्यांकन के लिए भेजी जाने वाली सभी शहरी स्थानीय निकायों की सम्बन्धित राज्य वार्षिक कार्य योजना

राज्य :

क्र.सं.	विचारार्थ बिंदु	हाँ/हाँ	विवृत जानकारी दें
1.	क्या सभी शहरों में प्रस्तावित दृष्टिकोण के अनुसार एलएलआईईई तैयार की गई है?		
2.	क्या एलएलआईईई में शहरों में प्रस्तावित निवेश को प्राथमिकता दी है?		
3.	क्या राज्य द्वारा प्रस्तावित सुधारों (निवेश और प्रबंधन सुधार दोनों) का बूना-बात साक्षात् स्थान पर है?		
4.	क्या मिशन के अंतर्गत सभी शहरों के लिए सेवा कवरेज संकेतकों को व्यापकपणे आकलन की पहचान कर ली गई / को कर लिया गया है?		
5.	क्या एलएलआईईई मन्थन केन्द्र के लिए मंत्रालय द्वारा सहमत सेवा स्तर मानकों को प्राप्त करने की ओर उदा दृष्टिकोण के अनुकूल है?		
6.	क्या प्रस्तावित निवेश, सूचक में परिष्कृत सुधार के स्तर के अनुरूप है?		
7.	क्या राज्य स्तर एवं शहरी स्थानीय निकाय स्तर प्रस्तावित मिशन दृष्टिकोण के साथ साह्य में है?		
8.	क्या अतिरिक्त संसाधनों की जरूरत है और राज्य ने अतिरिक्त संसाधन (राज्य कार्यक्रम, सहायता प्राप्त परियोजनाएँ, शहरों के लिए अतिरिक्त हस्तक्षेप, 14वाँ वित्त अधिनियम, बाहरी स्रोत) जुटाने पर विचार किया है?		
9.	क्या राज्य वार्षिक कार्य योजना यह साबित करती है कि शहरों के लिए प्रचालन एवं अनुसंधान तथा सुवर्णीय हेतु राजस्व आवश्यकताओं की पहचान करने के लिए वित्तीय अनुमानों को तयया गया है?		
10.	क्या राज्य की वार्षिक कार्ययोजना में प्रत्येक शहरी स्थानीय निकाय के संसाधन जुटाने की क्षमता पर यह सुनिश्चित करने के लिए कि शहरी स्थानीय निकाय स्तर जुटया जा सकता है, विचार किया गया है?		
11.	क्या पीडीएलसी की स्थापना की प्रक्रिया शुरू कर दी गई है?		
12.	क्या शहरी स्थानीय निकाय की संसाधन क्षमता को समझने के लिए एक रोडमैप तैयार किया गया है?		
13.	क्या परियोजनाओं और सुधारों के लिए कार्यान्वयन योजना स्थान पर है? (समय सीमा और वार्षिक बजटविवरण)		
14.	क्या विश्व निर्देशों के पैरा 7.2 के अनुसार शहरी स्थानीय निकायों में परियोजनाओं को प्राथमिकता दी गई है?		

एलएलआईईई का कार्यकाल संलग्न करें

(राज्य मिशन निर्देशक)

तालिका 8.3 : जाँच सूची – शहरी विकास मंत्रालय द्वारा राज्य स्तरीय कार्य योजनाओं का अंतरिम मूल्यांकन

क्र.सं.	मूल्यांकन का क्षेत्र	हाँ/नहीं	सम्बन्धित दस्तावेज	टिप्पणियाँ
1.	क्या राज्य ने आकार भूत डाटा के आधार पर शहरों और क्षेत्रों को प्राथमिकता दी है?		मूल्यांकन रिपोर्ट	
2.	क्या राज्य ने यह सुनिश्चित किया है कि प्रत्येक शहर द्वारा कम लागत या बिना लागत सुधारों की पहचान की गई है?		मूल्यांकन रिपोर्ट	
3.	क्या राज्य ने अच्छी तरह से पूंजीगत व्यय की योजना बनाई और वित्त पोषण किया है?			
4.	केंद्र सरकार से वित्तीय सहायता का अपेक्षित स्तर क्या है और कितनी अच्छी तरह से राज्य/शहरी स्थानीय निकाय एवं वित्त के अन्य स्रोतों की पहचान की गई है और उन तक पहुँच बनाई गई है?			
5.	क्या राज्य ने यह सुनिश्चित किया है कि राज्य अंश का बजट पर्याप्त रूप से दिया गया है?			
6.	क्या राज्य ने यह सुनिश्चित करने के लिए पर्याप्त उपाय किए हैं कि शहरों को परियोजना लागत के अपने हिस्से को जुटाने के लिए सहायता की जाए, यदि आवश्यक हो?			
7.	क्या राज्य ने परियोजनाओं और सुधारों का प्रबंधन करने के लिए परियोजना विकास एवं प्रबंधन सलाहकार नियुक्त किया है?			
8.	क्या एच.एफ.सी. अनुदान राज्य में शहरी स्थानीय निकायों को जाँचे किया गया है?			
9.	क्या एच.एफ.सी. की अन्य निष्पादन आवश्यकताओं का पालन किया गया है?			
10.	राज्य ने कितनी अच्छी तरह से जलापूर्ति, सीवरेंज/सेप्टिक टैंक से निकालने वाले अपशिष्ट, शहरी परिवहन और वर्षा जल में सार्वजनिक कवरेज और मानक की उपलब्धि की दिशा में कदम के लिए योजना बनाई है।			
11.	क्या सुधारों के लिए समय-सीमा और उपलब्धियाँ विकसित किए गए हैं?			
12.	क्या राज्य ने प्रस्तावित परियोजनाओं में पीपीपी के लिए क्षमता का पता लगाया है?			
13.	क्या एक वित्तीय न्याय की स्थाना की गई है?			
14.	राज्य स्तर पर अंतराल विश्लेषण के लिए मूल्यांकन कितनी अच्छी तरह से किया गया है?			
15.	परियोजनाओं का तकनीकी वित्तीय विवरण कितना अच्छा है?			
16.	क्या राज्य ने पैरा 7.2 में दी गई प्राथमिकता की नीति का पालन किया है?			

अनुलग्नक 3 : सी-डैक द्वारा विकसित स्मार्ट समाधान की सूची

घटक	स्मार्ट समाधान
सीवरेंज एवं ड्रेनेज प्रणाली	<ul style="list-style-type: none"> सीवर फाइप नेटवर्क में महत्वपूर्ण स्थानों पर मैनहोल में सीवरेंज के स्तर की निगरानी जब मैनहोल में स्तर वर्तमान निर्धारित मान से अधिक हो जाए तब केंद्रीय निगरानी स्टेशन में अलार्म बजना सभी उल्लिखित मापदंडों के लिए दैनिक, साप्ताहिक और मासिक रिपोर्ट एकीकृत जीएसएम मोडम के साथ एक अल्ट्रासोनिक स्तर सेंसर का विकास
जलापूर्ति प्रणाली	<ul style="list-style-type: none"> स्मार्ट पानी के मीटर और बिलिंग प्रणाली दूर से संचालित स्वचालित वितरण मान जल गुणवत्ता निगरानी के लिए प्रणाली
ऊर्जा प्रणाली	<ul style="list-style-type: none"> स्मार्ट होम ऊर्जा नेटवर्क प्रणाली: लोड को विभिन्न प्रकार की पहचान करना तथा तदनुसार लोड संतुलन की योजना बनाना आईईसी 61850 पर आधारित स्मार्ट साइ-स्टेशन स्व-बालन प्रणाली वितरण प्रणाली के लिए ऊर्जा संरक्षण हेतु नवीकरणीय ऊर्जा स्रोतों का एकीकरण
नागरिक सुरक्षा प्रणाली	<ul style="list-style-type: none"> शहर व्यापक बुद्धिमत्तापूर्ण वितरित वीडियो निगरानी नेटवर्क की स्थापना घेरे की पहचान भौड़-नाड़ वाले क्षेत्रों, हवाई अड्डों, रेलवे स्टेशनों और बस स्टेशनों पर आपराधिक सदिशों की पहचान करने और नजर रखने को स्वयं बनाता है गोंड से विरलेषण कोड तक विश्वसनीय और सुरक्षित डाटा / वीडियो प्रसारण बनाने को सुनिश्चित करना
आपातकालीन प्रतिक्रिया प्रणाली	<ul style="list-style-type: none"> जीपीएस सक्षम एंजुलेंस के साथ मापनीयता को दर्शाने को सीमित सीमा तक कार्यान्वयन गतिशील नियमित मानचित्र के लिए मोबाइल एप लिखित मानकों के संदर्भ में रूपरेखा आपातकालीन वाहनों के साथ मापनीयता को दर्शाने का सीमित सीमा तक सिमुलेशन और कार्यान्वयन
स्वच्छ वातावरण	<ul style="list-style-type: none"> प्रदूषण निगरानी प्रणाली निगरानी और नियंत्रण के लिए एप्लीकेशन सॉफ्टवेयर शहर के भीतर विभिन्न स्थानों में वायु प्रदूषण के स्तर का संकेत करते हुए प्रदूषण मानचित्र के रूप में वायु गुणवत्ता निगरानी उपकरण वायु प्रदूषण पूर्वानुमान के लिए कलन विधि उच्च संवेदनशील ध्वनि सेंसर के साथ वायरलेस नेटवर्क एंड नोड इंटरनेट क्लाउड को डाटा स्थानांतरित करने के लिए वायरलेस नेटवर्क ध्वनि संबंधी आकड़ों पर आंकड़ा विश्लेषिकी

अनुलग्नक 4 : शहरों/राज्यों के लिए अंक सूची

(प्रति तिमाही प्रस्तुत किया जाए)

मिशन उद्देश्यों की प्रगति (राज्य स्तरीय)

क्षेत्र	एसएलबी	वेसलाइन	मिशन लक्ष्य	अब तक लक्ष्य	उपलब्धि

संसाधन जुटाव (शहर-वार)

शहर का नाम	स्रोत	मिशन लक्ष्य	अब तक लक्ष्य	उपलब्धि
शहर का नाम	भारत सरकार			
	राज्य			
	दूरएलबी			
	अन्य			
शहर का नाम	भारत सरकार			
	राज्य			
	दूरएलबी			
	अन्य			

कार्यान्वयन की स्थिति (परियोजना-वार)

परियोजना का नाम (क्षमता निर्माण भी)	वार्षिक प्रगति	इकाई	मिशन लक्ष्य	अब तक लक्ष्य	उपलब्धि
परियोजना 1	वास्तविक प्रगति	%			
	वित्तीय प्रगति	%			
	अब तक संचितरित की गई धनराशि	करोड़ ₹0 में			
परियोजना 2	वास्तविक प्रगति	%			
	वित्तीय प्रगति	%			
	अब तक संचितरित की गई धनराशि	करोड़ ₹0 में			

निधि प्रवाह (शहर वार)

शहर का नाम	भारत सरकार वित्त-पोषण	बजट	स्वीकृत	संचितरित	उपार्जित

अनुलग्नक 5 : उपयोग प्रमाण-पत्र का प्रारूप (शहर-वार)

उपयोग प्रमाण-पत्र का प्रपत्र

क्र. सं.	पत्र सं. और तारीख	राशि(रु०)	प्रमाणित किया जाता है कि इसलिए में दिए गए पत्र संख्या के तहत इस मंत्रालय/विभाग के अंतर्गतके पक्ष में वर्ष के दौरान स्वीकृत रु० के सहायता अनुदान में से तथा पूर्व वर्ष की अव्ययित शेष राशि रु० के कारण रु० की राशि का उपयोग उसी प्रयोजन के लिए किया गया है जिसके लिए यह स्वीकृत की गई थी और यह कि वर्ष के अंत में उपयोग नहीं की गई रु० की शेष राशि सरकार को लौटा (दिनांक..... की संख्या.....के तहत) दी गई है, अगले वर्ष.....के दौरान देय सहायता अनुदान के लिए समायोजित की जाएगी।
	कुल		

प्रमाणित किया जाता है कि मैं इस बात से संतुष्ट हूँ कि जिन शर्तों पर सहायता अनुदान स्वीकृत किया गया था, उन्हें विधिवत रूप से पूरा कर लिया गया है/पूरा किया जा रहा है और यह कि मैंने यह देखने के लिए निम्नलिखित जांच की है कि कर ली है कि धनराशि का उपयोग वास्तव में उसी प्रयोजन हेतु किया गया है जिस प्रयोजन के लिए इसे स्वीकृत किया गया था।

की गई जांच के प्रकार

1.

2.

(म्यूनिसिपल आयुक्त/सूचनाओं की प्रमुख)

दिनांक :

1. भारत सरकार द्वारा एसीए जारी करने की तारीख—
2. शहरी स्थानीय निकायों को एसीए जारी करने की तारीख —
3. शहरी स्थानीय निकायों को राज्य अंत जारी करने की तारीख —
4. शहरी स्थानीय निकायों को एसीए जारी करने में कितने हेतु
कटौती किए जाने वाली जी-सेक दर पर गणना किया गया ब्याज—

प्रति हस्ताक्षर

शहरी विकास के प्रधान सचिव/सचिव

अनुलग्नक 6 : परियोजना निधि हेतु अनुरोध

6.1 परियोजना-वार किशत जारी करने हेतु अनुरोध यूएलबी द्वारा राज्य को प्रस्तुत किया जाए।

1	परियोजना का नाम								
2	एचएचपीएससी द्वारा अनुमोदन की तिथि								
3	पूर्णता की तिथि		प्रारंभ तिथि						
			संशोधित तिथि, यदि कोई हो						
4a.	अनुमोदित लागत								
4b.	निविदा लागत								
5	अनुमोदित लागत पर आधारित स्वीकार्य एसीए								
6	केंद्र/राज्य/यूएलबी का अंश जारी करना (लाख ₹ में)		कुल अंश	देय	जारी				
			एसीए + राज्य + यूएलबी						
	किशत	केंद्रीय अंश		राज्य अंश		यूएलबी अंश		अन्य अंश	
		देय	जारी	देय	जारी	देय	जारी	देय	जारी
	प्रथम								
	द्वितीय								
	तृतीय								
	कुल	लाख ₹	लाख ₹	लाख ₹	लाख ₹	लाख ₹	लाख ₹	लाख ₹	लाख ₹
7	कार्यान्वयन एजेंसी द्वारा प्रस्तुत उपयोग प्रमाण पत्र	 लाख ₹						
8	कार्यान्वयन एजेंसी द्वारा उपयोग की धनराशि का प्रतिशत								
9	वास्तविक प्रगति								

10	एसएचपीएससी द्वारा परियोजना की स्वीकृति और अगली किस्त जारी करते समय लगाई गई शर्तें				
11	क्या एसएचपीएससी द्वारा लगाई गई शर्तें पूरी की गई हैं				
12	सुधारों का कार्यान्वयन				
	वित्त वर्ष	वित्त वर्ष में सुधारों की संख्या	लक्ष्य गतिविधियों की संख्या	अब तक लक्ष्य	अब तक उपलब्धि
	1				
	2				
	3				
	4				
13	(क) अंतिम तिमाही के लिए प्राप्तांक पत्र की स्थिति		प्रस्तुत/प्रस्तुत नहीं		
	(ख) आईआरएमए रिपोर्ट की स्थिति एवं उसकी सिफारिशें		क्या तिमाही आईआरएमए निरीक्षण किया गया हां/नहीं	आईआरएमए द्वारा की गई टिप्पणी	राज्य/यूएलबी द्वारा की गई कार्रवाई
14	एनएसपीएससी द्वारा किस्त जारी करने हेतु प्रस्ताव				

(म्यूनिसिपल आयुक्त/यूएलबी, पैरास्टेटल प्रमुख)

दिनांक :

6.2 : राज्यों द्वारा राष्ट्रीय विकास मंत्रालय को भेजे जाने वाले किरात जारी करने के अनुरोध का सारंश

क्र. सं.	राज्य	विद्यमान कृषि क्षेत्रों की संख्या (है.)	अनुसूचित जातों की संख्या (है.)	अनुसूचित जातों की संख्या (है.)	अनुसूचित जातों की संख्या (है.)			अनुसूचित जातों की संख्या (है.)	अनुसूचित जातों की संख्या (है.)	अनुसूचित जातों की संख्या (है.)	अनुसूचित जातों की संख्या (है.)	अनुसूचित जातों की संख्या (है.)	अनुसूचित जातों की संख्या (है.)
					अनुसूचित जातों की संख्या (है.)	अनुसूचित जातों की संख्या (है.)	अनुसूचित जातों की संख्या (है.)						

अनुलग्नक 7 : वार्षिक क्षमता निर्माण योजना

वर्तमान में, शहरी विकास मंत्रालय दो स्वीमो-व्यापक क्षमता निर्माण कार्यक्रम (सी सी बी पी) तथा शहरी विकास के लिए क्षमता निर्माण (सीबीयूडी) के माध्यम से राज्यों तथा शहरी स्थानीय (यूएलबी) को क्षमता निर्माण गतिविधियों में सहयोग कर रहा है। स्मार्ट सिटीज मिशन तथा अमृत का पुनः संरक्षण करने को प्रशस्त, कार्यनीति तथा कार्य योजना निम्नलिखित हैं : -

कार्यनीति

विभिन्न रिपोर्टें तथा अध्ययनों¹ में नगर पालिका पदाधिकारियों तथा नगरपालिका संस्थाओं दोनों के क्षमता निर्माण की सिफारिश की गई है। तदनुसार, पुनः संरक्षित क्षमता निर्माण योजना में दो कार्यनीतिक व्यवस्थाएं शामिल हैं- वैयक्तिक क्षमता निर्माण तथा सांस्थानिक क्षमता निर्माण। व्यक्तिगत प्रशिक्षण का उद्देश्य प्रकर्यात्मक ज्ञान को बढ़ाना, कार्य से संबंधित योग्यताओं को सुधारना तथा नगरपालिका पदाधिकारियों के दृष्टिकोण को बदलना है। नगरपालिका की पदाधिकारियों को एक वर्ष का प्रशिक्षित संस्थाओं (कक्षा) में दिया जाएगा जिसके उनके कार्यस्थल में भी लागू किया जाएगा। इसके अतिरिक्त, एक वर्ष की प्रशिक्षण अवधि के दौरान उनके कार्य स्थल पर उनका मार्ग दर्शन किया जाएगा तथा कोर्सेज सेवाएं प्रदान की जाएंगी। अमृत (ए एम आर यू टी) सुधार एजेंडा के अनुसार, सांस्थानिक क्षमता का उद्देश्य परिणाम परिणामों को सुधारना है।

कार्य योजना (पी ओ ए)

वैयक्तिक क्षमता निर्माण : प्रशिक्षित मांग विरलेषण (टीएनए)² के आधार पर शहरी स्थानीय निकाय (यूएलबी) में निम्नलिखित चार विभागों पर ध्यान होगा।

- वित्त और राजस्व : वित्त आयोजना और प्रबंधन, राजस्व जुटाना।
- अभियानिकी तथा लोक स्वास्थ्य: जल और स्वच्छता वर्षा जल विकास दोस अपशिष्ट प्रबंधन
- नगर योजना: गरीब अनुकूल योजना दृष्टिकोण सहित शहरी योजना
- प्रशासन: ई-शासन, कम्प्यूटर तथा व्यावहारिक कौशल।

शहरी स्थानीय निकाय (यूएलबी) प्रत्येक वर्ष चार विभागों तथा सभी पुने गए प्रतिनिधियों में से कम से कम 30 कार्यकारिणी को प्रशिक्षित करने की योजना बनाएंगे। चयनित प्रतिनिधियों को प्रशिक्षित संस्थाओं में एक बार प्रशिक्षित प्रदान किया जाएगा, जिसमें भारत में सर्वोत्तम कार्य पद्धति से सीखने के लिए कार्य स्थल का दौरा करना शामिल होगा। जहां तक नगर पालिका पदाधिकारियों का संबंध है, 500 शहरी स्थानीय निकायों में से 45000 अधिकारियों को जून 2018 तक प्रशिक्षित किया जाएगा। एक वर्ष के इस प्रशिक्षण में तीन खंड शामिल होंगे। प्रत्येक खंड में प्रशिक्षण संस्थान में तीन दिन का प्रशिक्षण शामिल होगा जिस में चार माह का प्रशिक्षण शामिल होगा जिसके दौरान नगर पालिका पदाधिकारी उनके कार्य में प्रशिक्षण को लागू करेंगे।

¹ 12वीं पंचवर्षीय योजना (2012-17) के निष्पत्ति के लिए शहरी विकास प्रकल्प 2011।

² क्षमता निर्माण पर सर्वेक्षण की रिपोर्ट। नई दिल्ली, योजना आयोग।

³ भारतीय शहरी उपकरणक और सेवा (एनबीईसी) पर रिपोर्ट। 2014, नई दिल्ली, शहरी विकास मंत्रालय।

⁴ से एन एम यू आर एम-2 पर समिति की रिपोर्ट स्वच्छ बलिया, सुरक्षित सद्दुदाय तथा लोगों का शहर। नई दिल्ली, योजना आयोग।

⁵ से एन यू आर एम का मूल्यांकन, अंतर्-वर्षीय, 2011, नई दिल्ली।

⁶ स्थानीय प्रशासन बलिया की ओर एक प्रकल्प का, 8वीं रिपोर्ट, द्वितीय प्रशासनिक आयोग, 2007, नई दिल्ली, भारत सरकार।

⁷ सीबीयूडी, 2014। प्रशिक्षित मांग विरलेषण (टीएनए) तथा कार्यनीतिक संरक्षित योजना की सेवाएं का आयाजन। नई दिल्ली, उच्चिष्ठ तथा विकास विभाग।

अंतः एक वर्ष की अवधि के दौरान एक नगरपालिका पदाधिकारियों को प्रशिक्षण संस्थान में नौ (9) दिनों का प्रशिक्षण दिया जाएगा।

केन्द्र, राज्य तथा नगरपालिका सेवाओं से कई सेवानिवृत्त अधिकारी हैं जो यूएलबी में कार्यरत हैं। चार माह के दौरान, जब प्रशिक्षार्थी अपने कार्य स्थल पर लौटते हैं पर लौटेंगे तो ऐसे अधिकारी उनके मार्गदर्शक के रूप में कार्य कर सकते हैं। इसके लिए प्रशिक्षण एजेंसियां नगर पालिका पदाधिकारियों के साथ मार्गदर्शकों की नियुक्ति करेंगे। अंतः वर्ष भर के प्रशिक्षण में सर्वोत्तम कार्यप्रदर्शक के रूप में अभिज्ञात भारत में एक पहल का एक दौरा और एक अंतर्राष्ट्रीय/राष्ट्रीय कार्यशाला में एक बार भाग लेना भी निहित होगा। इन सभी गतिविधियों के लिए सीसीबीपी टूलकिट (पृष्ठ 18 तथा 19) में दिये गए मानदण्डों के अनुसार मुग्तान किया जाएगा। तीन वर्ष के लिए संभावित खर्च लगभग 100 करोड़ रु. होगी।

यह प्रशिक्षण सूची में सम्मिलित प्रशिक्षण एजेंसियों, शैक्षणिक संस्थाओं तथा लाभ प्राप्त नहीं करने वाले अन्य संगठनों (भविष्य में इकाईयां कही जाएंगी) द्वारा आयोजित किया जाएगा। उन्हें राज्यों/प्रदेशों/क्षेत्रों में स्थित यूएलबी आवंटित किए जाएंगे। यूएलबी द्वारा प्रत्येक खंड की समाप्ति के बाद इकाईयों को मुग्तान किया जाएगा, यह मुग्तान प्रशिक्षण के इसके उद्देश्यों को पूरा करने के अधीन होगा जिसका मूल्यांकन एनआईयूए (अथवा इस के नामित) ने स्वतंत्र रूप से किया हो। यदि एनआईयूए प्रशिक्षण में अंतराल पाता है तो प्रशिक्षण इकाईयों को अपनी लागत पर पुनः प्रशिक्षण आयोजित करना होगा।

एनआईयूए क्षमता निर्माण में शहरी विकास मंत्रालय का नीति भागीदार होगा तथा शहरी विकास मंत्रालय/राज्यों/यूएलबी को एकल छिद्रकी सेवा प्रदान करेगा। एनआईयूए प्रशिक्षण मोड्यूल की सूचना के प्रसारण, सर्वोत्तम व्यवहारों का दस्तावेजीकरण, प्रशिक्षण की प्रगति की निगरानी तथा अतिआवश्यक, चार माह के प्रत्येक प्रशिक्षित खंड की समाप्ति के पश्चात प्रशिक्षण के लाभों के मूल्यांकन में शामिल होगा। यह मूल्यांकन एक वर्ष लंबी प्रशिक्षण अवधि के बाद सभी व्यक्तिगत नगर पालिका पदाधिकारियों के लिए किया जाएगा तथा प्रशिक्षण इकाईयों के साथ इन परिणामों को उनकी प्रशिक्षण पद्धतियों तथा माध्यमों की समीक्षा हेतु साझा की जाएगी, यदि आवश्यक हो, जिससे प्रशिक्षण को नगर पालिका पदाधिकारियों के लिए अधिक उपयुक्त तथा प्रासंगिक बनाया जा सके।

उदाहरण के लिए, प्रशिक्षण इकाईयों द्वारा कक्षा में तीन दिवसीय प्रशिक्षण कार्यक्रम की समाप्ति के बाद निर्धारित मानक प्रारूपों में प्रशिक्षण का पदाधिकारी स्व-मूल्यांकन करेंगे। चार माह के बाद उनके कार्यस्थल से लौटने के पश्चात कार्यकारिणी पुनः स्व-मूल्यांकन करेंगे। अब, इसके अतिरिक्त, उनके पर्यवेक्षक प्रशिक्षणार्थियों के कौशल, अभिवृत्ति तथा ज्ञान में सुधार का भी मूल्यांकन करेंगे। स्व-मूल्यांकन तथा पर्यवेक्षक के मूल्यांकन से एनआईयूए तथा प्रशिक्षित प्रतिष्ठान को (i) व्यक्तिगत पदाधिकारियों कार्यकारिणी के उनके मौजूदा स्तरों (आधार-रेखा) पर ज्ञान, कौशल तथा अभिवृत्ति में प्रशिक्षण के प्रभाव तथा (ii) कार्य से संबंधित कार्य निष्पादन में सुधार की सूचना प्राप्त होगी। महत्वपूर्ण रूप से, ऐसे वास्तविक मूल्यांकन से प्राप्त शिक्षा को यूएलबी/राज्यों के लिए शिक्षा के प्रसार तथा भविष्य की गतिविधियों को डिजाइन करने में एनआईयूए द्वारा प्रयोग में लाया जाएगा।

राष्ट्रीय मिशन निदेशक से परामर्श करके एनआईयूए सीसीबीपी के सभी अन्य घटकों (उदाहरण-कार्यशालाएं, सेमिनार, आगमन इत्यादि) को शुरू करने की जांच करेगा तथा अनुमोदन देगा। एनआईयूए क्षमता निर्माण योजना के पाठ्यक्रम में सुधार करने के उद्देश्य से एक वार्षिक क्षमता निर्माण रिपोर्ट भी तैयार करेगा। इस प्रयोजन के लिए मिशन निधि में से एनआईयूए को पर्याप्त तकनीकी तथा मानव संसाधन उपलब्ध कराए

जाएंगे। वैयक्तिक क्षमता निर्माण के लिए निधियां राज्य के प्रशासनिक तथा अन्य व्यय/सीबीडूडी की निधियों में से उपलब्ध कराई जाएंगी।

संस्थागत क्षमता निर्माण: इसका लक्ष्य बाहरी विशेषज्ञों तथा प्रोफेशनल की सहायता से संस्थागत परिणामों में (उदाहरणार्थ उत्तरदायित्व तथा पारदर्शिता, सेवाप्रदायगी, नागरिकों का सक्रियकरण, संसाधन जुटाना) सुधार लाना है। बाहरी संसाधन दो तरह से जुटाए जा सकते हैं: (i) कार्यों की आउटसोर्सिंग तथा (ii) पदाधिकारियों की आउटसोर्सिंग के द्वारा। पदाधिकारियों की आउटसोर्सिंग में मानव संसाधन एजेंसियां मानव संसाधन की आपूर्ति करती हैं, जबकि कार्यों की आउटसोर्सिंग में कोई कार्यकलाप/कार्य बाहरी कंपनी, संगठन अथवा संस्था को दे दिया जाता है। दोनों मामलों में, लक्ष्यों और परिणामों की उपलब्धियों के आधार पर भुगतान किया जाता है। राष्ट्रीय मिशन निदेशक के द्वारा लिए गए निर्णय के अनुसार एवं जोई निधि/सीसीबीपी/सीबीडूडी के माध्यम से निम्नलिखित कार्यों की आउटसोर्सिंग तथा उनका वित्तपोषण किया जाएगा :

1. स्मार्ट सिटी बचन स्पर्धा के लिए स्मार्ट सिटी के प्रस्ताव की तैयारी के लिए टैडहोलिडिंग एजेंसियों और/अथवा परामर्शदात्री फर्मों को सूचीबद्ध करना।
2. एसएलआईपी की तैयारी, परियोजना विकास (उदाहरणार्थ डिजाइन, अनुमान) तथा प्रबंधन के लिए अमृत में प्रारंभ से अंत तक सहायता पूरा करने के लिए टैडहोलिडिंग एजेंसियों तथा/अथवा परामर्श दात्री फर्मों को सूचीबद्ध करना।
3. अमृत सुधारों तथा सीसीबीपी टूलकिट¹⁰ में अभिज्ञान संकेतकों के अनुसार परिवाम पर ध्यान केंद्रित करते हुए सुधार कार्यसूची के कार्यान्वयन में सहायता करना।
4. व्यवसायियों तथा प्रबंधकों को उपलब्ध कराकर स्मार्ट सिटी मिशन के अंतर्गत स्थापित किए जाने वाले विशिष्ट उद्देश्यीय बाहनों के लिए मानव संसाधन तथा सभी अन्य प्रकार की सहायता प्रदान करना।
5. यूएलबी को बाहरी संसाधनों को जुटाना तथा आंतरिक संसाधन सृजन में सुधार लाना। उदाहरण के लिए भूमि को मुद्रा के रूप में चलाने तथा कर वृद्धि वित्त-पोषक प्रस्ताव तैयार करने के लिए यूएलबी को सहायता उपलब्ध कराकर यूएलबी क्रेडिट रेटिंग के द्वारा म्युनिसिपल बांडों को सुगमता पूर्वक उपलब्ध कराना, निजी वित्त-पोषण प्राप्त करना इत्यादि।
6. निर्णय लेने में जीआईएस के उपयोग करने में यूएलबी को सक्षम बनाने के लिए आंकड़ों (प्रतीकाल्मक तालिका) से संबंधित बहुस्तरीय जीआईएस मानचित्र तैयार करना।
7. अमृत सुधार एजेंडा को कार्यान्वित करने के लिए कानून और नियमों (जैसे-लैंडपूलिंग) के संशोधन में राज्यों/यूएलबी की सहायता प्रदान करना।

यह संपूर्ण सूची नहीं है तथा इसमें मिशन के कार्यान्वयन के समय अन्य नई मदें भी शामिल की जाएंगी।

पीएमयू, पीआईयू, आरपीएमसी इत्यादि जैसी राज्य तथा यूएलबी स्तरों पर अनेक संस्थाएं उपलब्ध हैं। इस समय, मिशन द्वारा केवल राज्य स्तरीय सुधार तथा कार्यनिष्ठादन प्रबंधन प्रकोष्ठ (आरएमपीसी) को सहायता उपलब्ध कराई जाएगी। वे सीसीबीपी टूलकिट में दिए गए कार्यों को निष्पादित करेंगे, लेकिन उनका ध्यान

¹⁰ १०० ४१.अनुक्रम १, सर्वे निष्ठादन सनस्टैंड/वेबसाईट

(क) एसएएपी, सुधार कार्यान्वयन को तैयार करने में मिशन निदेशक की सहायता करना ताकि सुधार प्रोत्साहन के लिए अर्हता-प्राप्त करने के लिए कम से कम 70 प्रतिशत सुधार लायक जा सकें तथा (ख) एएमआरयूटी में निर्धारित सुधारों के कार्यान्वयन में उन्हें सहायता देने के लिए मिशन के सभी शहरों का दौरा करना। शहरी प्रबंधन प्रकल्प (यूएमसी) की भी मिशन द्वारा सहायता की जाएगी तथा राज्य मिशन निदेशक को रिपोर्ट करेंगे। सीसीबीपी टूटकिट में दिए गए उनके कार्यों के अलावा वे (i) अलग-अलग प्रशिक्षण कार्यक्रमों के लिए एटीआई, सूचीबद्ध प्रशिक्षण एजेंसियों तथा यूएलबी के मध्य समन्वय और सहयोग स्थापित करने, (ii) प्रशिक्षकों का प्रशिक्षण चलाने, (iii) सूचीबद्ध एजेंसियों के सहयोग से म्युनिसिपल पदाधिकारियों के लिए पूरे वर्ष हेतु कार्यान्वयी कोचिंग प्रदान करने, तथा (iv) सूचीबद्ध प्रशिक्षण संस्थाओं तथा एटीआई के मध्य भागीदारी और नेटवर्किंग को प्रोत्साहित करने पर ध्यान केन्द्रित करेंगे।

राज्य/यूएलबी शहरी विकास मंत्रालय के अनुमोदन के लिए एसएएपी के साथ निम्नलिखित कार्यों में एक क्षमता विकास योजना प्रस्तुत करेंगे।

**तालिका 7.1 यूएलबी स्तरीय व्यक्तिगत क्षमता विकास योजना
(यूएलबी द्वारा राज्य सरकार को भेजे जाने हेतु)**

प्रपत्र 7.1.1 शैक्षिक

यूएलबी का नाम :

वित्त वर्ष :

क्र.सं.	विभाग का नाम/ स्थिति	मिशन (2015) के प्रारंभ से विहित कर्मचारियों (सरकारी/ निर्वाचित प्रतिनिधियों) की कुल संख्या	विहित वित्त वर्ष के दौरान प्रशिक्षितों की संख्या	वर्तमान वित्त वर्ष के दौरान प्रशिक्षित किये जाने वालों की संख्या	वर्तमान वित्त वर्ष के दौरान प्रशिक्षण हेतु प्रशिक्षण संस्थानों की संख्या	वर्तमान वित्त वर्ष के समापन के बाद प्रशिक्षितों की संख्या संख्या।
1	निर्वाचित प्रतिनिधि					
2	वित्त विभाग					
3	अभियांत्रिकी विभाग					
4	नगर नियोजन विभाग					
5	प्रशासन विभाग					
	कुल					

प्रपत्र 7.1.2 वित्तीय

यूएलबी का नाम :

वित्त वर्ष :

क्र.सं.	विभाग का नाम	वर्तमान वित्त वर्ष तक जारी संख्या घनराशि	वर्तमान वित्त वर्ष तक कुल खर्च	पूर्व में जारी घनराशि से उपलब्ध अव्ययित घनराशि	प्रपत्र 7.1.1 में दिए गए लोकों की संख्या के प्रशिक्षण हेतु वर्तमान वित्त वर्ष के लिए अपेक्षित घनराशि
1	निर्वाचित प्रतिनिधि				
2	वित्त विभाग				
3	अभियांत्रिकी विभाग				
4	नगर नियोजन विभाग				
5	प्रशासन विभाग				
	कुल				

**तालिका 7.2 क्षमता निर्माण हेतु वार्षिक कार्य योजना
(राज्यों द्वारा शहरी विकास मंत्रालय को भेजे जाने हेतु)**

राज्य का नाम :

अमृत में निम्न शहरों की संख्या

वित्त वर्ष :

प्रपत्र 7.2.1 यूएलबी स्तर पर व्यक्तिगत क्षमता निर्माण हेतु अपेक्षित धनराशि

क्र. सं.	यूएलबी का नाम	वर्तमान वित्त वर्ष में विभाग-वार प्रशिक्षित किए जाने वालों की कुल संख्या						निर्धारित प्रशिक्षण संस्थानों की संख्या	संचालित किए जाने वाले प्रशिक्षण कार्यक्रमों की संख्या	सौजूदा वित्त वर्ष में अपेक्षित धनराशि
		निर्वाचित प्रतिनिधि	वित्त विभाग	अभियांत्रिकी विभाग	नगर नियोजन विभाग	प्रशासन विभाग	कुल			
1	यूएलबी 1									
2	यूएलबी 2									
3	यूएलबी 3									
4	यूएलबी 4									
कुल										

प्रपत्र 7.2.2 राज्य स्तरीय गतिविधियों के लिए अपेक्षित धनराशि

क्र. सं.	राज्य स्तरीय गतिविधि	वर्तमान वित्त वर्ष तक जारी संघीय धनराशि	वर्तमान वित्त वर्ष तक कुल व्यय	पूर्व में जारी धनराशि से सफलता अर्जित धनराशि	वर्तमान वित्त वर्ष के लिए अपेक्षित धनराशि
1	आरपीएनसी				
2	यूएलसी				
3	अन्य (जैसे कार्यशाला, सेमिनार इत्यादि) जो एनआईयू के द्वारा अनुमोदित हों।				
4	सांस्थानिक				
कुल					

प्रपत्र 7.2.3 क्षमता निर्माण हेतु अपेक्षित कुल धनराशि

क्र.सं.	अपेक्षित धनराशि का	व्यक्तिगत	सांस्थानिक	आरपीएमसी एवं यूएससी	अन्य	कुल
1	मिशन में प्रारंभ से कुल जारी धन राशि (2015)					
2	कुल प्रयुक्त- केन्द्रीय अंश					
3	उपलब्ध बाकाया- केन्द्रीय अंश					
4	अपेक्षित धनराशि- केन्द्रीय अंश					
5	वर्तमान वित्त वर्ष में क्षमता निर्माण के लिए अपेक्षित कुल धनराशि					

प्रपत्र 7.2.4 सांस्थानिक क्षमता निर्माण का ब्यौरा

क. क्या भूमि एकीकरण को शामिल करने के लिए राज्य अपने शहरी योजना कानूनों एवं विनियमों में संशोधन के इच्छुक हैं?

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ख. शहरी स्थानीय निकायों की सूची, जो बाण्ड को जारी करने के लिए प्रथम कदम के रूप में क्रेडिट रेटिंग कराने के इच्छुक हैं?

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ग. क्या राज्य शहरी स्थानीय निकायों में निर्माण के लिए जीआईएस को उपयोगी बनाने हेतु जीआईएस में किए गए सभी कार्यों को एकीकृत करने के इच्छुक हैं?

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घ. क्या राज्य शहरी स्थानीय निकायों में वित्तीय उपकरण के रूप में भूमि के उपयोग के लिए सहायता लेने के इच्छुक है?

ङ. क्या राज्य को म्युनिसिपल कैंडर के व्यावसायीकरण हेतु सहायता की आवश्यकता है?

च. क्या राज्य को शहरी स्थानीय निकायों में गैर-राजस्व जल को कम करने हेतु सहायता की आवश्यकता है?

छ. क्या राज्य को शहरी स्थानीय निकायों में संपत्ति कर मूल्यांकन एवं संघनन में सुधार हेतु सहायता की आवश्यकता है?

ज. क्या राज्य को एक वित्तीय मध्यस्थ की स्थापना हेतु सहायता की आवश्यकता है?

झ. अमृत सुधार एजेंडा के कार्यान्वयन की अन्व कोई क्षमता सहायता जो इन दिशानिर्देशों में निर्धारित हों?

**तालिका 7.3 राज्यों के लिए तिमाही अंक सूची
समता निर्माण पर वित्तीय और भौतिक प्रगति (यूएलबी स्तर)
(शहरी स्थानीय निकायों द्वारा राज्य को भेजे जाने हेतु)**

शहरी स्थानीय निकाय का नाम	विभाग का नाम/स्थिति	भौतिक		वित्तीय		वर्तमान वित्त वर्ष में उपलब्ध शेष धनराशि	मान्यता प्राप्त लक्ष्य से शेष(-)अथवा शेष (+)
		मान्यता प्राप्त लक्ष्य	मान्यता प्राप्त लक्ष्य के संबंध में यूएलबी की उपलब्धि	वैकल्पिक वित्त वर्ष में आवंटित मान्यता प्राप्त धनराशि	मान्यता प्राप्त लक्ष्य की तुलना में उपयोग की गई धनराशि		
यूएलबी- 1	निर्वाचित प्रतिनिधि						
	वित्त विभाग						
	अभियांत्रिकी विभाग						
	नगर नियोजन विभाग						
	प्रशासन विभाग						
यूएलबी- 2	निर्वाचित प्रतिनिधि						
	वित्त विभाग						
	अभियांत्रिकी विभाग						
	नगर नियोजन विभाग						
	प्रशासन विभाग						

**तालिका 7.4 : राज्यों के लिए तिमाही अंक सूची
समता निर्माण संबंधी वित्तीय एवं वास्तविक प्रगति (राज्य स्तरीय)
(राज्यों द्वारा शहरी विकास मंत्रालय को भेजे जाने हेतु)**

यूएलबी की कुल संख्या :

समाप्ता तिमाही :

अनुपातिक लक्ष्य से ऊपर/नीचे यूएलबी की संख्या (तालिका 7.3 से)	विभाग का नाम/स्थिति	भौतिक		वित्तीय		तिमाही तक प्रशिक्षितों की कुल संख्या, यदि संगत हो	तिमाही तक उपयोग की गई कुल धनराशि
		वित्त वर्ष में कुल लक्ष्य	तिमाही तक अनुपात लक्ष्य	वर्तमान वित्त वर्ष में आवंटित धनराशि	तिमाही तक अनुपात लक्ष्य		
ऊपर	व्यक्तिगत प्रशिक्षण						
	सांस्थानिक समता निर्माण						
नीचे	ऊपरपीएनसी और यूएमसी						
	अन्य-स्पष्ट करें						
	अन्य-स्पष्ट करें						

अनुलग्नक 8 : आद्योपान्त सहायता का क्षेत्र

1. प्रत्येक पीडीएमसी को राज्य के संबंधित राजधानी शहर में एक राज्य कार्यालय (जिसमें परियोजना प्रबंधन और डिजाइन व्यवसायियों शामिल होंगे) और बहुक्षेत्रीय कार्यालय (जिसमें परियोजना कार्यान्वयन व्यवसायी शामिल होंगे) होंगे। पीडीएमसी के प्रबंधन और डिजाइन व्यवसायी राज्य कार्यालय में होंगे और वे कार्य की आवश्यकतानुसार परियोजना शहरों में यात्रा करेंगे।
2. 5 लाख से अधिक आबादी वाले शहरों में परियोजना कार्यान्वयन व्यवसायी होंगे और पांच लाख से कम आबादी वाले सभी आस-पास अग्रगत शहरों की सेवा करेंगे। असाधारण मामलों में राज्य तीन लाख आबादी वाले शहरों के आस-पास कई शहरों के लिए पीडीएमसी नियुक्त कर सकते हैं। संघ राज्य क्षेत्रों, पूर्वोत्तर और पर्वतीय राज्यों में प्रचलित विशेष परिस्थितियों के आधार पर वे कार्यान्वयन व्यवसायियों का पता लगाने के लिए एक निम्न संरचना पर निर्णय ले सकते हैं।
3. प्रस्तावित मिशन के अंतर्गत पीडीएमसी के क्षेत्र को चार बड़ाका घटकों अर्थात् आयोजना, डिजाइन, पर्यवेक्षण और परियोजना प्रबंधन में विभाजित किया जाएगा। पीडीएमसी के क्षेत्र में नगर-व्यापी संकल्पना योजना, सेवा-स्तरीय सुधार योजना (एसएलआईपी) राज्य वार्षिक कार्य योजना (एसएएपी) शामिल हैं। पीडीएमसी एसएलआईपी ढांचे के अन्तर्गत परियोजनाओं का पता लगाएंगे और अपेक्षित जांच, डिजाइन, क्रय, अधिप्रापण और कार्यान्वयन करेंगे। पीडीएमसी पीएमआईएस/अद्यतन आइटी साधनों तथा साइबर साधनों/उपकरणों की सहायता से कार्य स्थलों की ऑन-लाइन निगरानी जैसी तकनीकों का उपयोग करते हुए परियोजना के कार्यकलापों की निगरानी और अनुपालनों को भी सुनिश्चित करेंगे।
4. पीडीएमसी "शहर-व्यापी संकल्पना योजना" को विकसित करेंगे जो पूर्णतया नगर विकास योजना (सीडीपी) नहीं है। यह पुरानी अथवा संशोधित नगर विकास योजना पर आधारित हो सकती है। शहर-व्यापी संकल्पना योजना में नगर विज्ञान, विवरण, स्थिति विश्लेषण/जल आपूर्ति का यही विवरण, वर्षा जल निकासी, सीवरेज और सेप्टेज प्रबंधन और खुले स्थान (उदाहरणार्थ-पार्क और खेल के मैदान) होंगे। सभी विभागों और एजेंसियों की सभी पिछली योजनाओं और दस्तावेजों (उदाहरणार्थ नगर सफाई योजना, नगर गतिशीलता योजना, मास्टर प्लान और अन्य योजनाएं) की सेवा स्तरीय मानदंडों (एसएलडी) की उपलब्धि पर ध्यान केंद्रित करने वाली एक समग्र कार्यनीति तैयार करने के लिए भी समीक्षा की जाएगी। नगर के लोगों को बेहतर और उन्नत बुनियादी सेवाएं प्रदान करने के लिए स्मार्ट प्रौद्योगिकियों को लागू करने की संभावनाओं को इस कार्यनीति में शामिल किया जाएगा।
5. पीडीएमसी जल आपूर्ति और सीवरेज की कवरेंज मौजूदा स्तरों का मूल्यांकन करने के लिए उपलब्ध आंकड़ों के आधार पर जानकारी और योजनाएं बनाएंगे। लगभग सभी मिशन शहरों में कुछ आंकड़े, सूचना और योजनाएं होंगी। उदाहरणार्थ-जल आपूर्ति और सीवरेज में जमीनी रूपरेखा के आधार पर आधारभूत यूनिट जोन (अथवा समकक्ष) है। जोन में जल कनेक्शनों वाले परिवारों की संख्या और जिनके पास वे कनेक्शन नहीं हैं, उनकी संख्या जनगणना (2011) अथवा शहरी विकास मंत्रालय द्वारा किए गए आधारभूत सर्वेक्षण से ली जाएगी। योजना अवस्था पर किसी नए आधारभूत सर्वेक्षण की परिकल्पना नहीं की गई है।
6. एक बार जल और सीवरेज/सेप्टेज कनेक्शनों वाले परिवारों की मौजूदा संख्या और परिवारों की कुल संख्या के बीच के अंतर का हिसाब लगा लिया जाता है तो मिशन विशानिर्देशों में निर्धारित एक अथवा इससे अधिक घटकों का उपयोग करके इस अंतर को पूरा करने के लिए योजनाएं तैयार की जाएगी।
7. इससे आगे किसी जोन में जल आपूर्ति और सीवरेज/सेप्टेज कनेक्शनों से सभी परिवारों को कवर करने के लिए विभिन्न तरीकों, तकनीकों और वित्तीय दोनों तरीकों को दर्शाते हुए विकल्प तैयार करने के लिए तकनीकी जांच की जाएगी।

8. पीडीएमसी अन्य स्कीमों से अन्तर-सम्पर्कों, मुख्यतः कवरेज, प्रभाव, परिणामों इत्यादि; परिणामों में सम्मिलितता के संदर्भ में जांच और उनका उपयोग करेंगे तथा निधियों के प्रवाह के लिए भी कार्य किया जाएगा। यहाँ कम साधनों से अधिक कार्य करने के नवीन तरीकों, स्मार्ट हलों के प्रयोग और नागरिक जनित नवीन तरीकों का पता लगाया जाएगा। इस परियोजना की प्रत्येक वैकल्पिक लागत (पूँजीगत और प्रचालन एवं अनुसंधान दोनों) के लिए ऑनलाइन (अथवा सार) अनुमानों के आधार पर तैयार किये जाएंगे। इस जांच के पश्चात्, सेवा स्तरीय सुधार योजना (एसएलआईपी) तैयार की जाएगी जिसमें उनकी पूँजीगत और प्रचालन एवं अनुसंधान लागतों के साथ बाले विकल्प समाहित होंगे।
9. अगले पांच वर्षों के लिए एसएलआईपी में परियोजनाओं का कार्यक्रम जोनों/शहरी स्थानीय निकायों में सभी परियोजनाओं की संभावित लागतों के बारे में उनको सूचित करने के पश्चात् नागरिकों से परामर्श लेते हुए बनाया जाएगा। शहर आयोजना और एसएलआईपी विकास लोक-पालित होगा और उसको आवासीय कल्याण संघों, कर दाता संघों, वरिष्ठ नागरिकों, वाणिज्य एवं उद्योग मंडलों, स्लम वासी संघ समूहों जैसे विविध लोगों और लोगों के समूहों को शामिल करते हुए नागरिक परामर्शी बैठकों के माध्यम से किया जाएगा। इन परामर्शी के दौरान वृत्त पद्धतियों और समुचित स्मार्ट हलों के विवरणों को नागरिकों के साथ उनके सोचे-समझे निर्णय करने तथा नवीन हल सृजित करने के लिए सहज बनाने के लिए भी साक्षा किया जाएगा। नागरिक सहभागिता उत्तरोत्तर आईसीटी, विशेषतौर से नोबाइल-आधारित सार्वजनिक पर निर्भर करेगी।
10. एक विधीय योजना भी तैयार की जाएगी। परामर्शों के दौरान नागरिकों को लागत और निधियों के ब्राह्म्य स्रोतों की आवश्यकता के बारे में जानकारी दी जाएगी। नवीन वित्त-पोषण मॉडलों और तंत्रों का पूरी तरह से वर्णित किया जाएगा। बैचमार्क स्तरों, कम लागतों और कम संसाधनों का उपयोग करके मूलभूत सेवाएं प्रदान करने में चुनीली को नागरिकों के साथ साक्षा किया जाएगा।
11. एसएपी को विकसित करने की प्रक्रिया के दौरान, पीडीएमसी को सार्वजनिक-निजी भागीदारियों (पीपीपी) का उपयोग करने की संभावना का पता लगाना चाहिए जो वरीय निष्पादन मॉडल होना चाहिए।
12. एसएपी के अंतर्गत पता लगाई गई और अनुमोदित की गई परियोजना के लिए, पीडीएमसी विस्तृत परियोजना रिपोर्ट और बोली दस्तावेज तैयार करेंगे। सेवा स्तरीय सूचकों के संदर्भ में अवस्थापना स्थिति, अन्तर और मांग अनुमान की समीक्षा चिन्हित परियोजनाओं के लिए की जाएगी। परियोजना घटक की सम्मिलितता को अन्य क्षेत्रीय और शहर में क्षेत्रीय कार्यक्रमों के अनुसार सुनिश्चित किया जाएगा।
13. क्षेत्रीय/प्रयोगशाला जांचों, सर्वेक्षणों, तकनीकी विकल्पों का निर्माण, डिजाइन, लागत अनुमान और पुनर्वास एवं पर्यावरणिक मुद्दों के हलों को विस्तृत परियोजना रिपोर्ट का एक भाग बनाया जाएगा। इस परियोजना के जीवन चक्र को पूरा करने के लिए प्रचालन एवं अनुसंधान कार्यनीति समेत वित्त योजना विस्तृत परियोजना रिपोर्ट का एक अभिन्न अंग होगी।
14. विस्तृत परियोजना रिपोर्ट तैयार करते समय नागरिकों को बेहतर और उन्नत आधारभूत सेवाएं प्रदान करने के लिए स्मार्ट प्रीयोगिकिया लागू करने की संभावनाओं का पता लगाया जाएगा। प्रारूप डीपीआर के स्तर पर, पीडीएमसी द्वारा नागरिकों को लगाने और फीडबैक प्राप्त करने तथा यदि आवश्यक हो, तो मध्यवर्ती सुधार की प्रक्रिया अपनाने के लिए पहले स्तर के परामर्शों को सुकर बनाया जाएगा।
15. डीपीआर, पीपीपी/सेवा स्तरीय करारों अथवा प्रत्यक्ष सविदा के विकल्पों का पता लगाने समेत सविदा अवसरों का पता लगाएगी और तदनुसार सदृश बोली दस्तावेज प्रदान करेगी। बोली दस्तावेज के आधार पर, पीडीएमसी राज्य/शहरी स्थानीय निकायों की उनके कानूनों और नियमों के अनुसार सविदा फर्मों के अधिप्राप्त में सहायता करेंगे।

16. पीडीएमसी शहरी स्थानीय निकायों/राज्य पैरास्टेटल को परियोजना निष्पादन में व्यापक सहायता प्रदान करेंगे। ये लागत, समय और गुणवत्ता अनुपालनों को सुनिश्चित करने में सहायता करेंगे जैसी कि संविदा करार में परिकल्पना की गई है। राज्य और शहर की सरकारों द्वारा तेजी से निर्णय करने के लिए पीडीएमसी की फर्मों की सुविधता का उपयोग किया जाएगा ताकि लागत अनुमानों के भीतर परियोजनाओं को समय पर पूरा किया जाना सुनिश्चित किया जा सके।
17. पीडीएमसी, प्रस्तावित अवस्थापना परियोजना और सेवाओं की प्रदानगी में संपर्क को भी सुनिश्चित करेंगे। ये सेवा स्तरीय सूचकों में सुधार की निगरानी करेंगे जैसा कि राज्य वार्षिक कार्य योजना (एसएएपी) में निहित है। कार्यान्वयन के चरण के दौरान पीडीएमसी द्वारा लाभदायक फीडबैक लेने के लिए समय-समय पर द्वितीय स्तर परामर्शों को भी सुकर बनाया जाएगा।
18. सभी कार्यों को मिशन विवरण और शहरी विकास मंत्रालय द्वारा जारी किए गए अमृत (एएमआरयूटी) के दिशानिर्देशों के अनुसार किया जाना होगा।
19. कार्य के विशिष्ट क्षेत्र, व्यावसायिक स्टॉफ की आवश्यकता, भुगतान कार्यक्रम और कार्यान्वयन व्यवस्था सहित विस्तृत विचारार्थ विषय संबंधित राज्य/संघ राज्य क्षेत्र द्वारा पैनालबद्ध परामर्शों/ फर्मों को जारी किए जाने वाले प्रस्ताव हेतु अनुसंध (आरएफपी) में प्रदान किए जाएंगे।



स्वच्छता शपथ

महात्मा गांधी ने जिस भारत का सपना देखा था उसमें सिर्फ राजनैतिक आजादी ही नहीं थी, बल्कि एक स्वच्छ एवं विकसित देश की कल्पना भी थी।

महात्मा गांधी ने गुलामी की जंजीरों को तोड़कर मैं भारती को आजाद कराया।

अब हमारा कर्तव्य है कि गंदगी को दूर करके भारत माता की सेवा करें। मैं शपथ लेता हूँ कि मैं स्वयं स्वच्छता के प्रति सजग रहूँगा और उसके लिए समय दूँगा।

हर वर्ष 100 घंटे यानी हर सप्ताह 2 घंटे श्रमदान करके स्वच्छता के इस संकल्प को चरितार्थ करूँगा।

मैं न गंदगी करूँगा न किसी और को करने दूँगा।

सबसे पहले मैं स्वयं से, मेरे परिवार से, मेरे मुहल्ले से, मेरे गांव से एवं मेरे कार्यस्थल से शुरुआत करूँगा।

मैं यह मानता हूँ कि दुनिया के जो भी देश स्वच्छ दिखते हैं उसका कारण यह है कि वहाँ के नागरिक गंदगी नहीं करते और न ही होने देते हैं।

इस विचार के साथ मैं गांव-गांव और गली-गली स्वच्छ भारत मिशन का प्रचार करूँगा।

मैं आज जो शपथ ले रहा हूँ, वह अन्य 100 व्यक्तियों से भी करवाऊँगा।

वे भी मेरी तरह स्वच्छता के लिए 100 घंटे दें, इसके लिए प्रयास करूँगा।

मुझे मालूम है कि स्वच्छता की तरफ बढ़ाया गया मेरा एक कदम पूरे भारत देश को स्वच्छ बनाने में मदद करेगा।

Atal Mission for Rejuvenation and Urban Transformation 2.0



Operational Guidelines

October 2021



...In the next stage of AMRUT, country targets to



have access to clean water for all urban

citizens, increase coverage of sewerage & septage management, make our cities water secure and ensure that no dirty water falls into the rivers from drains. The journey of AMRUT and Swachh Bharat

Mission so far is a pride for citizens. It is not only Mission, but also denotes honour, modesty &



aspiration of the nation and love for the

Motherland ...

- Hon'ble Prime Minister in his address during launch of AMRUT 2.0, on 1 October, 2021

हरदीप एस पुरी
HARDEEP S PURI



सत्यमेव जयते



आज़ादी का
अमृत महोत्सव

आवासन और शहरी कार्य मंत्री
पेट्रोलियम एवं प्राकृतिक गैस मंत्री
भारत सरकार
Minister of
Housing and Urban Affairs; and
Petroleum and Natural Gas
Government of India

Message

Atal Mission for Rejuvenation and Urban Transformation (AMRUT) launched in 500 selected cities across the country in June 2015 by the Hon'ble Prime Minister has been successful in enhancing liveability in AMRUT cities. AMRUT made states equal partners in planning and implementation of projects, thus actualizing the spirit of cooperative federalism.

AMRUT 2.0 launched by Hon'ble Prime Minister on 1 October 2021, with a total outlay of ₹2,99,000 crores – nearly 3 times of the AMRUT - is the outcome of confidence gained during implementation of AMRUT scheme and our resolve to extend the basic services to every household. The Mission envisages providing water tap connections to households in all statutory towns through 2.68 crore new household tap connections and providing universal household coverage of sewerage/septage services in 500 AMRUT cities through 2.64 crore new sewer connections/coverage with septage management. Rejuvenation of water bodies and green spaces and parks are other components of the Mission. Outcome based funding is a major feature of AMRUT 2.0.

In this context, I am happy to see the operational guidelines for AMRUT 2.0 issued by the AMRUT Mission Directorate. I am hopeful that AMRUT 2.0 will go a long way in improving the quality of life for all urban dwellers, especially the poor and the disadvantaged and make our cities water secure.


(Hardeep S Puri)

New Delhi
26 October, 2021

कौशल किशोर
KAUSHAL KISHORE



सत्यमेव जयते



आवासन और शहरी कार्य राज्य मंत्री
भारत सरकार
Minister of State, Housing & Urban Affairs
Government of India



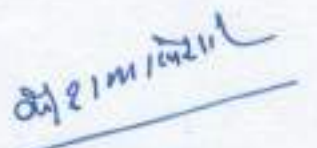
संदेश

घरों के लिए बुनियादी सेवाएं (जैसे जल आपूर्ति, सीवरेज) प्रदान करना और शहरों में सुविधाएं उपलब्ध कराना, जो सभी के जीवन की गुणवत्ता में सुधार करें, राष्ट्रीय प्राथमिकता रही है। इसी उद्देश्य से अमृत योजना को 500 शहरों में 25 जून 2015 को प्रारम्भ किया गया था। मिशन के सफलता को देखते हुए तथा इसे सभी वैधानिक शहरों में क्रियान्वित करने के उद्देश्य से माननीय प्रधानमंत्री जी ने अमृत 2.0 मिशन का शुभारम्भ 1 अक्टूबर 2021 को किया है।

अमृत 2.0 सभी वैधानिक शहरों में सभी को नल कनेक्शन प्रदान करने का लक्ष्य रखता है। साथ ही, इसमें सभी 500 अमृत शहरों में सीवरेज/सेप्टेज सेवाओं का सार्वभौमिक घरेलू कनेक्शन प्रदान करने का प्रस्ताव है। जल निकायों का नवीकरण, हरित स्थान और पार्क इस मिशन के अन्य घटक हैं। परिणाम आधारित वित्तपोषण इसकी प्रमुख विशेषता है।

इन सब को ध्यान में रखते हुए आज मैं गर्व से कहना चाहता हूँ कि अमृत 2.0 मिशन की परिचालन दिशानिर्देश, जोकि अमृत मिशन निदेशालय द्वारा जारी किया गया है, सभी वैधानिक शहरों को जल सुरक्षित बनाएगा और आत्मनिर्भर भारत के स्वप्न को साकार करने में मदद करेगा।

जय हिन्द।


(कौशल किशोर)

दुर्गा शंकर मिश्र

सचिव

Durga Shanker Mishra

Secretary



सत्यमेव जयते

Foreword



भारत सरकार
आवासन और शहरी कार्य मंत्रालय
निर्माण भवन, नई दिल्ली-110011
Government of India
Ministry of Housing and Urban Affairs
Nirman Bhawan, New Delhi-110011

Hon'ble Prime Minister launched AMRUT 2.0 on 1 October, 2021. It aims to develop water secure cities in the spirit of **AatmaNirbhar Bharat**. It targets to provide reliable **2.68 crore** new water tap connections to all in about **4,800 statutory towns**. Also, it proposes to get universal household coverage of sewerage/ septage services in **500 AMRUT cities through 2.64 crore** new sewer connections. Rejuvenation of water bodies, green spaces and parks are other components of this Mission. Outcome based funding is its major feature. Total indicative outlay for AMRUT 2.0 is **₹ 2,99,000 crore** which includes allocation for projects of ongoing AMRUT Mission to the tune of **₹ 22,000 crore** for **two years** from FY 2021-22 to FY 2022-23 and the rest is for five years. Total indicative central share is **₹86,760 crore** including **₹10,000 crore** for AMRUT projects.

I am pleased to share AMRUT 2.0 guidelines with the stakeholders. Guidelines gives way forward for implementing the Mission. To begin with, cities are expected to prepare and submit City Water Balance Plans (CWBP) online on a robust Mission Portal of MoHUA. CWBPs will give the status of water sources, quantum of water available, water demand and supply in the city culminating in gaps in services. These gaps will lead to formulating projects with target of filling these gaps. Mission mandates implementation of 10% worth of funds allocated to million plus cities under PPP mode. Projects on 24x7 water supply in 500 AMRUT cities are encouraged. Mission management will be paperless on an online platform.

All projects proposed by State will aggregate to State Water Action Plan (SWAP) which will be submitted in three tranches for approval of Apex Committee. Mission will provide central assistance for implementing projects in three instalments. Third instalment will be released only on the basis of achieved outcomes. Notification of Property Tax and User charges by States are mandatory reforms to be implemented in first two years for continuity of central funding. Aquifer Management Plans of cities are to be submitted by States. Mission will provide funds separately for outcomes achieved through sources not funded through AMRUT and AMRUT 2.0. Central funding will be admissible for Administrative and Other Expenses (A&OE) to the States.

Pey Jal Survekshan, Information Education & Communication (IEC) and Technology sub-Mission are key components of Mission. Start-ups in water sector will also be encouraged through sub-Mission. Reform agenda of Mission has reforms on municipal governance and water security of cities. Major reforms are reducing non-revenue water to below 20%; recycle of treated used water to meet at least 20% of total city water demand and 40% for industrial water demand at State level; 24x7 water supply with 'Drink from tap' facility; GIS based master plans of the cities & efficient town planning; raising funds through issuance of municipal bonds and rejuvenation of water bodies. Successful implementation of reforms will be incentivized.

I hope these guidelines will be used extensively by the States/UTs and ULBs to implement the Mission in the field. I look forward to whole heartedly participation to achieve the Mission outcomes in a time bound manner.


Durga Shanker Mishra

New Delhi
25th October, 2021

डी० थारा, आई.ए.एस.

संयुक्त सचिव

D. Thara, I.A.S.

Joint Secretary



भारत सरकार
आवासन और शहरी कार्य मंत्रालय

GOVERNMENT OF INDIA
MINISTRY OF HOUSING AND URBAN AFFAIRS



Preface

The AMRUT 2.0 guidelines have been formulated with the aim of assisting States/ UTs for making our cities **Aatma Nirbhar** and **'water secure'**. Several stakeholder consultations across 36 States/ UTs have been conducted as well as inputs from the key players such as development banks, private sector players, water sector consultants as well as NGOs have been taken into consideration.

MoHUA in partnership with States aims to achieve functional tap connections to all households, undertaking water source conservation/ augmentation, rejuvenation of water bodies and wells, recycle/re-use of treated used water and rainwater harvesting. Mission will extend the ease of living by upscaling universal coverage in water supply from 500 cities to about 4,800 statutory towns and universal coverage of sewerage and septage management to 500 AMRUT cities.

City Water Balance Plan will help cities to identify scope for projects focusing on the objectives of Mission stated above. Based on the projects identified in City Water Balance Plans, City Water Action Plan (CWAP) will be devised. These CWAPs will be aggregated in the form of State Water Action Plans (SWAP).

Another significant shift in the running the national Mission will be to attain data equity - AMRUT 2.0 will be a paperless mission with complete digital monitoring of projects progress and its funding. Funding to States will be predominately outcome based.

Mission has a reform agenda with focus on strengthening of urban local bodies and water security of the cities. Major reforms are reducing non-revenue water to below 20%; create a 'new tap of water' through recycle of treated used water to meet at least 20% of total city water demand and 40% for industrial water demand at State level; electric vehicle charging points; 24x7 water supply; reforms on property tax and user charges; GIS based master plans of the cities; raising funds through issuance of municipal bonds and rejuvenation of water bodies.

Further, to encourage start-ups involved in water sector, Technology Sub-Mission will be launched. Under the gig economy model, Mission will co-opt women and youth for concurrent feedbacks about its progress. Women SHGs will be involved in water demand management, water quality testing and water infrastructure operations. Pey Jal Survekshan will instill healthy competition among cities and act as a monitoring tool and Mission accelerator. Capacity building programs will be extended to various stakeholders.

We welcome this grand Mission launched by the Hon. PM and we wish to contribute to his vision of making this Mission a Jan Aandolan (people's movement).

Jai Hind.

Sd/-
(D. Thara)

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Abbreviations:

A&OE	Administrative and Other Expenses
AC	Apex Committee
ACA	Admissible Central Assistance
ADB	Asian Development Bank
AFD	Agence Française de Développement
AMRUT	Atal Mission for Rejuvenation and Urban Transformation
AMRUT 2.0	Atal Mission for Rejuvenation and Urban Transformation 2.0
BCC	Behavioural Change Communication
C&AG	Comptroller and Auditor General of India
CA	Central Assistance
CGWB	Central Ground Water Board
CMMUs	City Mission Management Units
CPHEEO	Central Public Health and Environmental Engineering Organisation
Cr	Crore
CWAP	City Water Action Plan
CWBP	City Water Balance Plans
DLAMC	District Level Advisory and Monitoring Committee
DM	District Magistrate

DMA	District Metered Area
DPIIT	Department for Promotion of Industry and Internal Trade
DPR	Detailed Project Report
FA	Financial Advisor
FC	Finance Commission
FSSM	Faecal Sludge and Septage Management
FSSTP	Faecal sludge and Sewage treatment plant
FY	Financial Year
GIS	Geographical Information System
GoI	Government of India

HAM	Hybrid Annuity Model
HH	Household
I&D	Interception and Diversion
IEC	Information, Education and Communication
IRMA	Independent Review and Monitoring Agency
LAP	Local Area Planning
MD	Managing Director
MLD	Million Liter per Day
MoHUA	Ministry of Housing and Urban Affairs
MoU	Memorandum of Understanding
NEHU	North Eastern Hill University
NGO	Non-Governmental Organization
NIUA	National Institute of Urban Affairs
NRSC	National Remote Sensing Centre
NRW	Non revenue water
NUDM	National Urban Digital Mission

NULM	National Urban Livelihood Mission
O&M	Operation and Maintenance
PDMC	Project Development and Management Consultant
PFMS	Public Financial Management System
PHE	Public Health Engineering
PIU	Project Implementation Units
PMIS	Programme Management Information System
PMU	Project Management Unit
PPP	Public Private Partnership
RWH	Rain Water Harvesting
SBM	Swachh Bharat Mission
SCADA	Supervisory Control and Data Acquisition System
SCM	Smart City Mission
SDG	Sustainable Development Goal
SHG	Self- Help Groups
SHPSC	State High Powered Steering Committee
SLB	Service Level Benchmarks
SLTC	State Level Technical Committee
SMMU	State Mission Management Unit
SNA	Single Nodal Agency
SOI	Survey of India
SOP	Standard Operating Procedure
STP	Sewage Treatment Plant
SWAP	State Water Action Plan
TCPO	Town and Country Planning Organisation
TPS	Town Planning Scheme

UAV	Unmanned Aerial Vehicle
UC	Utilization Certificate
UD	Urban Development
ULB	Urban Local Body
UT	Union Territory
VG	Viability Gap

1 Introduction

1.1 Hon'ble Prime Minister, during his address to the nation on 15 August 2019 stated, "... nearly half of the households do not have water...women have to travel two to three km to fetch water...we need to work in the field of water conservation, irrigation, rainwater conservation, rejuvenation of water bodies, desalination of sea water and treatment of wastewater...". To holistically address these issues, he announced the launch of Jal Jeevan Mission.

1.2 Earlier, to facilitate ease of living to citizens, Atal Mission for Rejuvenation and Urban Transformation (AMRUT), was launched in 500 cities on 25 June 2015, as a first focused national water Mission.

1.3 AMRUT aimed to provide universal coverage of water supply by providing 1.39 crore household tap connections. Likewise, coverage of sewer/ septage connections were proposed to increase from 31% to 62% by providing 1.45 crore connections. So far, 1.12 crore tap connections and 87 lakh sewer connections have been provided. Sewage treatment plants of capacity 1,800 MLD have been created; out of this 907 MLD is being reused. This Mission has decreased disease load and improved quality of life of all, especially women in terms of time and energy saved to be put to constructive use.



1.4 Sustainable Development Goal 6.4 aims to substantially increase water-use efficiency across all sectors and ensure sustainable withdrawals and supply of freshwater to address water scarcity and substantially reduce the number of people suffering from water scarcity, by 2030. In order to meet (SDG 6), and to extend ease of living in water sector from 500 to all statutory towns, Atal Mission for Rejuvenation and Urban Transformation 2.0 (AMRUT 2.0) has been launched. This will also ensure 100% coverage of sewerage/ septage management in 500 AMRUT cities.

2 Atal Mission for Rejuvenation and Urban Transformation 2.0 (AMRUT 2.0)

2.1 AMRUT 2.0 is a step towards **AatmaNirbhar Bharat** with aim of **making the cities**

'water secure' and providing functional water tap connections to all households. This will be achieved through circular economy of water by effecting water source conservation, rejuvenation of water bodies and wells, recycle/ reuse of treated used water, and rainwater harvesting by involving **community at large**. This Mission will be run as people's program i.e. **Jan Aandolan**. Mission also targets to provide 100% sewage/ septage management in 500 AMRUT cities.

2.1.1 Mission will focus on empowering States/ UTs and cities for efficient implementation of projects in the spirit of cooperative and competitive federalism by providing flexibility to the States/ UTs to formulate, plan and implement the projects. CA released can be utilized for projects in any of the ULBs as per physical/ financial progress of the projects.

2.2 Ensuring community participation:

Mission will co-opt women and youth for concurrent feedbacks about its progress. Women SHGs will be involved in water demand management, water quality testing and water infrastructure operations. A concerted effort will be made to train women to test water quality in all the cities. This training program will be spearheaded by PHEDs or water and sewerage boards under the overall guidance of urban development department at the State level.

2.3 Mission has a reform agenda focused towards financial sustainability and water security of ULBs. Meeting 20% of water demand through recycled water, reducing nonrevenue water to less than 20% and rejuvenation of water bodies are major water related reforms. Reforms on property tax, user charges, and enhancing credit worthiness of ULBs and urban planning are other important reforms.

2.4 Mission will encourage smart elements to be incorporated in every project. Mission will have a sub-Scheme on well rejuvenation.

2.5 Capacity building programs will be conducted for all stakeholders including contractors, plumbers, plant operators, students, women and citizens. Technical institutions will be roped in for assessment of Mission outcomes. Students will be engaged for survey of projects and outputs through **gig economy model**.

2.6 Technology Sub-Mission will help in identifying the proven and potential global technologies in water sector. Entrepreneurships / start -ups involved in low-cost indigenous equipment and processes will be encouraged.

2.7 Mission will be paperless and monitored on a robust technology-based monitoring & evaluation platform.

3 Components of AMRUT 2.0

3.1 Projects

ULBs will submit detailed City Water Balance Plans (CWBPs) and City Water Action Plans (CWAPs) through online portal covering proposed projects in the thrust areas. The projects will be prioritized based on following outcomes with the focus on improving sustainability and efficiency in water sector:

- i. Universal coverage of water supply;
- ii. Sewerage, septage management and recycle/ reuse of treated used water; and
- iii. Rejuvenation of water bodies (including urban wetland) and creation of green spaces.

Detailed information on project formulation and funding is in **Article 4, 6 and 7**.

3.2 **Administrative & Other Expenses (A&OE)**

A&OE will be fully funded by the Centre and shall be utilized to cover the cost of preparing CWBPs, Program Management Units (PMUs), Detailed Project Reports (DPRs), Project Implementation Units (PIUs), Project Development and Management Consultants (PDMCs), development of Aquifer Management Plans and Independent Review and Monitoring Agencies (IRMAs). It will also be used for capacity building. Detailed information on A&OE funds is in **Article 7.4**

3.3 **Reforms**

Mission has a reform agenda on ease of living of citizens through reduction of nonrevenue water, recycle of treated used water, rejuvenation of water bodies, augmenting double entry accounting system, urban planning, strengthening urban finance etc. Successful implementation of reforms will be incentivised. Reforms are described in **Article 7.5 and Article 8**.

3.4 **Technology Sub-Mission**

Technology Sub-Mission will encourage start-up ideas and private entrepreneurship, and commissioning them into the pilot projects after screening of expert committee. Sub-Mission will also encourage innovative light house projects which will be partly funded. This component is detailed further in **Article 10**.

3.5 **Information, Education and Communication**

Information Education and Communication (IEC) including **Behavior Change Communication** under AMRUT 2.0 is envisaged as a key strategy for spreading awareness on conservation of water and enhancing water use efficiency among the masses. This component is detailed further in **Article 14**.

3.6 **Pey Jal Survekshan**

Pey Jal Survekshan is proposed in cities as a challenge process to assess the compliance of service level benchmarks with respect to quality, quantity, and coverage of water supply, sewerage & septage management, extent of reuse & recycle of used water, and conservation of water bodies in the city. Pey Jal Survekshan will instill healthy competition among cities and act as a monitoring tool and Mission accelerator. This component is detailed further in **Article 9**.

3.7 **Community Participation with focus on woman self help groups** to be co-opted in management of water infrastructure and quality assessment. This will be facilitated through National Urban Livelihood Mission (NULM) management unit.

3.8 **Outcome based funding is the most important defining feature of this Mission.** The cities will submit roadmap for outcomes to be achieved by them during the mission period.

3.9 **Evidence based evaluation of outcomes using online monitoring platform** combined with citizen feedback through gig economy will enable **community partnership**.

3.10 **Public Private Partnership (PPP) projects are mandatory in million plus cities** and at least a minimum of **10% of total fund allocation** at the city level shall be committed to PPP projects.

4 Projects

4.1 Mission will focus on achieving functional outcomes through project implementation under Amrut 2.0 as one of the means. While formulating the projects, it should be ensured that households of **informal settlements and low-income groups** are duly considered. These admissible projects/ need to be prioritized as per functional outcomes envisaged in the table below:

Sl. No.	Functional outcomes	Admissible elements of Projects
1	Providing universal piped water supply with household water tap connection	<ul style="list-style-type: none"> Water source improvement and augmentation in the city Fresh Water treatment Water distribution system in uncovered areas Augmentation of existing water distribution system Sustainability of quality and quantity of water supply Reuse of treated used water Provision for 24x7 water supply# Smart solutions like SCADA Last mile connectivity to households (Not exceeding ₹ 3,000 per HH)
2	Providing universal coverage of sewerage and septage management in 500 AMRUT cities and promoting circular economy of water	<ul style="list-style-type: none"> Sewerage network Interception and Diversion (I&D) infrastructure Sewage Treatment Plants (STPs) Tertiary Treatment with end-to-end reuse plan (preferably in PPP mode) Faecal sludge and Septage management (FSTP cum STP Plant & collection mechanism) Provision/ augmentation and rehabilitation of sewerage systems with end-to-end treatment and reuse Tapping of used water for recycling Identifying the bulk users of recycled used water and facilitating sale of used water to potential users (e.g. industrial clusters such as textile/ leather/ paper/ power plants/ railways, etc.) Smart solutions like SCADA Last mile connectivity to households (Not exceeding ₹ 3000 per HH)
3	Rejuvenation of water bodies to	<ul style="list-style-type: none"> Rejuvenation of wetlands, water bodies by desilting, strengthening the embankments, and stone packing.

	augment water and enhance amenity value and development of green spaces	<ul style="list-style-type: none"> • Diverting the polluting drains to treatment plants • Harvesting the rain water through storm water drains into water body (which is not receiving sewage/ effluent) • Strengthening/ rejuvenation of the aquifers/ community wells • Creation/ strengthening of storm water drains around water body • Provision of STP to treat inflow into water body. • Development of the community green spaces linked to a clean water body • Funds for the projects of this sector shall not exceed 5% of total project allocation (4% for rejuvenation of water bodies and 1% for development of green spaces & parks).
	Outcome based funding	<ul style="list-style-type: none"> • Functional outcomes in terms of functional water tap and sewer connections to households beyond baseline and not covered by AMRUT, implemented on or after 1 Nov 2021, shall be considered for funding. (Note 3)

In AMRUT cities, projects on 24x7 water supply with drink from tap facility may be taken up. These projects should cover at least one ward or DMA with at least 2,000 households in the contiguous manner. Projects costing up to 20% of the project fund allocation for water supply projects in AMRUT cities may be taken up for 24x7 water supply. **Additional funding for such projects will be admissible in form of reform incentive.**

Note 1: All admissible projects should have at least five-year O&M for infrastructure, which may be duly incorporated through the tender process.

Note 2: All water supply and sewerage projects will have smart elements.

Note 3: Outcome based funding is to be considered for the outcomes achieved with respect to sewer and water connections after the launch of AMRUT 2.0 by projects taken up by States/ UTs and achievement beyond baseline established for the city as on 1 November 2021.

4.2 Tentative distribution of central fund allocation among project components of Mission is as under:

#	Description	Central Share (₹ Cr)
1	Water supply projects	35,250

2	Rejuvenation of water bodies and developing green spaces & parks projects	3,900
3	Sewerage and septage management projects	27,600
	Total	66,750

*The above table provides a broad picture of fund allocation. At city level, if universal water supply is achieved, then other components which are admissible can be taken up to achieve Mission objectives. The State Mission directorate shall ensure that universal water supply and sewage/ septage treatment is achieved in all cities as the first priority in that order.

5 Fund allocation

5.1 The total indicative outlay for AMRUT 2.0 is ₹ 2,77,000 crore including central share of ₹ 76,760 crore for five years from FY 2021-22 to FY 2025-26.

5.2 The central budgetary allocation for various Mission components will be as under:

S.no	Mission component	Central Allocation (₹ Cr)
1	Projects	66,750
2	Incentive for Reforms (8% of project CA allocation)	5,340
3	Administrative & Other Expenses (A&OE) for States/ UTs (3.25% of project CA allocation)	2,169
4	Administrative & Other Expenses (A&OE) for MoHUA (1.75% of project CA allocation)	1,168
5	Technology Sub-Mission (1% of project CA allocation)	667
6	IEC Activities (1% of project CA allocation)	667

5.3 Ongoing AMRUT projects will be funded with central assistance up to 31 March 2023. **No funds will be released for any AMRUT project incomplete by that date and it will become the responsibility of the State/ UT to complete them from their own resources.**

5.4 Funding for projects

Funding for the projects will be shared by Centre, States/ UTs and ULBs. Central share for various classes of ULBs will be as under:

ULBs	Central share
Union Territories	100% project funds by Centre
North eastern States and Himalayan States	90% of the project funds by Centre
With less than one lakh population	50% of the project funds by Centre

With population one lakh to ten lakh (both included)	1/3 rd of the project funds by Centre
With population more than ten lakh	25% of the project funds by Centre (except for projects taken up under PPP mode)

5.5 Public Private Partnerships (PPP): Projects amounting to at least 10% of total project allocation for all cities with population above ten lakh in a State will be mandatorily taken up in PPP mode.

Projects with focus on selling treated water to industries and other users may be the potential projects for implementing under PPP mode. Such projects can be taken up in Hybrid Annuity Model (HAM) or any other suitable model. **Viability gap funding for such projects will be provided through CA.** CA will be 50% of the **viability gap subject to maximum of 30% of the project cost.** Balance viability gap will be borne by State/ ULB. Total viability gap will not exceed 60% of project cost.

5.5.1 States/ UTs and ULBs may augment their share of funding through alternative sources like raising municipal bonds, accessing capital markets, loans/ credits, State grants and central finance commission grants etc.

5.5.2 States/ UTs may avail loan from the funds earmarked by multi-lateral/ bilateral agencies like ADB, KFW, AFD and World Bank etc.

6 Mission Implementation

6.1 Memorandum of Understanding (MoU):

States/ UTs and ULBs have accepted a tripartite Memorandum of Understanding (MoU) with MoHUA. This MoU represents collective intent of MoHUA, State/ UT, and ULBs towards making urban India 'Water-secure' by effecting water source conservation, rejuvenation of water bodies and wells, recycle/ reuse of treated used water, and rainwater harvesting by engaging the community at large. MoHUA, States/ UTs and ULBs shall align themselves to the roles and responsibilities as per the MoU.

6.2 The implementation of Mission will be **paperless**. Preparatory steps (CWBP, CWAP, SWAP, reform roadmap), project planning, reform outcome achievement reporting, functional outcome reporting, evidences reporting, progress reporting and claims will be made on a robust online technology platform. Industry, community and implementing agencies will be onboarded on a collaborative platform.

6.3 City Water Balance Plans (CWBP):

6.3.1 CWBPs will comprise details of water sources including water bodies, water treatment and distribution infrastructure, area-wise water coverage, status of NRW and sewerage network including STPs etc. **(Annex- 1 illustrative)**. ULBs will compile baseline data on household water tap and sewer/ seepage connections, and gaps in service delivery will be worked out. Based on assessed gaps, potential projects will be identified targeting functional outcomes.

6.3.2 State and ULBs will target to achieve universal coverage of water supply to all households in all ULBs and sewer/ seepage connections in 500 AMRUT cities through projects proposed under AMRUT 2.0, ongoing AMRUT projects and projects/ initiatives funded by State/ ULB funds,

XV FC grants, funding from external sources and PPP etc. The extent of gaps proposed to be filled through each of aforementioned sources will be clearly identified. CWBPs will be filled on the online formats provided for this purpose on the portal. CWBP should also be published on respective ULB and State websites.

6.4 City Water Action Plans (CWAPs):

6.4.1 CWAP will comprise the list of projects proposed by the ULB in the priority sectors of water supply; sewerage/ septage management; rejuvenation of water bodies including green spaces & parks. It will be ensured that projects are taken up with a view to meet 20% of city water demand through recycle/ reuse of treated used water. The projects proposed under AMRUT 2.0 and ongoing/ proposed projects through sources other than AMRUT 2.0 in three sectors will be provided (**Annex-2a, Annex 2b & Annex 2c are illustrative**). CWAPs will be submitted to SHPSC by State Mission Director online on Mission portal.

6.4.2 Projects amounting to **at least 10%** of total project allocation for all cities with population above ten lakh (**million plus cities**) in a State will be mandatorily taken up in **PPP mode**. Such projects maybe identified in the CWAPs.

6.4.3 ULBs will furnish year-wise roadmap of providing household water tap connections with a view to achieve universal coverage of water supply (**Annex- 2d illustrative**). Likewise, roadmap of achieving universal coverage of household sewer/ septage connections in 500 AMRUT cities will also be furnished (**Annex-2e illustrative**).

6.5 State Water Action Plans (SWAPs):

6.5.1 SWAPs will be prepared by State Mission director by aggregating CWAPs submitted by the ULBs. SWAPs will comprise entire list of projects, city-wise and sector-wise, proposed to be undertaken by States/ UTs. Cost of projects taken up will exclude cost of land acquisition. SWAP will include project wise number of proposed new household water tap connections, sewer connections and coverage of existing water tap and sewer connections to be augmented, which shall be outcomes of such projects. The projects to be implemented in PPP mode will be clearly identified. It will be ensured that projects are taken up only when land is available with clear title without any disputes. SWAPs will be submitted on portal to Apex committee in three tranches as per **Annex-3 (illustrative)**.

The first tranche will be submitted within five to nine months, second tranche within twelve to sixteen months and third tranche preferably within twenty-four months of launch of Mission. It can be submitted in advance also.

6.5.2 SWAPs will be approved by SHPSC before progressing to Apex Committee. State High Powered Steering Committee (SHPSC), while approving the SWAP will consider the following:

- i. SWAP is oriented towards achieving desired functional outcomes such as universal coverage of water supply and sewerage/ septage management,
- ii. Water body rejuvenation and parks & green spaces parks have been taken in specified proportion,
- iii. Water supply projects oriented towards 24x7 water supply in AMRUT cities have been taken,

- iv. There is no duplication of projects with AMRUT or any other government schemes,
- v. Low economic and informal settlements are duly included in SWAP,
- vi. At least meeting 10% of fund allocation in PPP projects as mandated have been included for million plus cities,
- vii. Projects facilitating Rural-Urban Synergy have been taken up wherever feasible,
- viii. Every city should achieve universal coverage and become water secure through either AMRUT 2.0 or any other funding. State assures that all the cities are moving in this direction,
- ix. It will also be ensure that used water (waste water) is treated and put to reuse to meet 20% of cities water demand and 40% of Industry water demand in aggregate at the state level.
- x. Projects being proposed in SWAP will have O&M for atleast five years to be funded by way of levy of user charges or other revenue streams. Project cost will exclude O&M. ULBs shall fund O&M through an appropriate cost recovery mechanism in order to make them self-reliant and cost effective.

6.6 Urban Aquifer Management Plan

- 6.6.1 The Aquifer Management Plan will focus on maintaining positive groundwater balance in urban aquifer systems. The cities will strategize groundwater recharge augmentation by developing a roadmap for improving rainwater harvesting within city limits. Cities will conduct aquifer mapping with technical support from Central Groundwater Board (CGWB)/ State Groundwater Board/ other agencies to identify recharge and discharge zones and integrate aquifer management into urban planning. Cities will develop an annual groundwater balance report to ascertain the current and future availability of groundwater.
- 6.6.2 The template for aquifer mapping shall be made available to the ULBs along with a technical guidance manual on urban aquifer management following the Mission launch. Urban Aquifer Management Plan shall be submitted within 24 months from the launch of Mission by 500 AMRUT cities.

6.7 Implementation of projects

Projects as per approved SWAP will be planned, tendered, awarded and implemented by ULBs. Where ULBs do not have adequate capacity, specialized parastatal agencies will implement the projects. In order to ensure efficient implementation of projects, the States/ UTs, ULBs should follow an approach wherein end-to-end support for project design, development, implementation and management is provided to ULBs/ States/ UTs by external entities (PDMCs). Maintenance and upkeep of the assets created will be responsibility of the State/ UT/ ULB. Smart elements will be part of the projects.

6.8 Monitoring of projects

The achievement of mission objectives will be monitored through an online module. This module will directly be the precursor for availing funds. Therefore, the portal needs to be regularly updated by State/ UT/ ULB functionaries for flow of information and sanctioning of funds. The fields to be updated will include physical progress, financial progress, documents required for seeking central assistance, photographs, videos, third party reports, etc. The progress reported on portal will be randomly verified through citizen/ third party feedback. Implementing agencies and community stakeholders will also be facilitated to access the portal and upload the progress and feedback.

6.9 Replacement of projects

- 6.9.1 The projects approved by the Apex committee will not be replaced in normal course. However, in case some projects are required to be replaced due to unavoidable circumstances, State Mission Director will submit such proposal to SHPSC along with justification. The SHPSC will be competent to approve replacement of projects costing up to 10% of respective tranche of SWAP in admissible project components of AMRUT 2.0. Replacement of projects beyond 10% of respective tranche of SWAP, if approved by SHPSC shall be sent to the Apex committee with proper justification for consideration and approval. No expenditure shall be booked against any project proposed to be replaced.
- 6.9.2 The SHPSC, while considering replacement of projects, shall ensure that there is no duplication of projects through replacement, overall State allocation is not exceeded, new proposed projects are in line with Mission objectives.

7 Release of funds

7.1 General conditions for release of project funds

- 7.1.1 Central assistance will be processed through online claims and settlement system, which will emerge from the actual progress updated on portal through physical/ financial data, photos and videos obtained through citizen feedback and third-party assessment.
- 7.1.2 Fund flow under Mission will be as per instructions issued vide Ministry of Finance OM No. F. No. 1(13) PFMS |FCD/2020, dated 23 March 2021, which is explained in **Article 7.6**.
- 7.1.3 **Central fund allocation** to States/ UTs for projects will be worked out by distributing entire central project funds (₹ 66,750 crore) among States/ UTs giving weightage to urban population (Census 2011) and area of States/ UTs in ratio 90:10.
- 7.1.4 States shall ensure that the further allocation to cities is oriented towards achieving universal coverage of water supply in all ULBs and universal coverage of sewerage/ septage management in 500 AMRUT cities through AMRUT 2.0. If a city has already achieved universal coverage of water and sewerage, it will be clearly brought out in CWBP and further actions can be taken to make the city water secure through AMRUT 2.0. In case of a city where all indicated outcomes are planned to be achieved from other sources of funding (not

through AMRUT 2.0), these may be clearly indicated in the format provided for the same purpose in CWAP.

7.1.5 Project funds will be released for implementation of AMRUT 2.0 projects. Functional outcomes achieved beyond baselines (as on 1 Nov 2021) through funding from sources other than AMRUT/ AMRUT 2.0 will also be funded. These other sources of funds can be XV Finance Commission grants, State Funds, ULB funds or funds from external agencies.

7.1.6 **Admissible Central Assistance (ACA)** will be worked out based on total amount of SWAPs submitted and applying proportion for the category of the State/ City as per Table in **Article 5.4**.

7.1.7 Total project fund release to a State/ UT through all instalments will not exceed the central fund allocation.

7.1.8 CA released for a particular tranche of SWAP can be utilized for implementation of approved projects of another tranche. Similarly, States/ UTs can utilize CA for projects in any of the ULBs as per physical/ financial progress of the projects.

7.2 **Release of project funds (other than PPP)**

Central assistance (CA) to the States/ UTs has been divided in two components as under:

7.2.1 **Component-1:** This component will comprise of CA for projects approved under SWAPs. This will be provided in three instalments of 20:40:40 as under.

7.2.1.1 **First instalment under component-1**

- i. This will be 20% of CA admissible against SWAP submitted by the State/ UT and approved by Apex Committee.
- ii. First instalment for component-1 shall be claimed in three (almost equal) tranches against submission and approval of each of three tranches of SWAP.

7.2.1.2 **Second Instalment under component-1**

- i. Second instalment will be 40% of the total CA for the State/UT.
- ii. AMRUT 2.0 projects for which contracts have been awarded will be eligible for consideration for release of second instalment.
- iii. Approved cost of projects will be the basis for working out instalment. Approved cost will be lower of appraised cost and contract award cost.
- iv. Following should be achieved before claiming second instalment:
 - a) Second instalment will be applicable to projects which have achieved 15% physical and financial progress. The work should have been started on site.
 - b) Submission of City Aquifer Management Plan (At least 20% AMRUT cities of the State with first tranche of SWAP, 30% AMRUT cities of the State with second tranche and

remaining 50% AMRUT cities of the State with third tranche of SWAP). States having less than ten AMRUT cities may submit City Aquifer Management Plan with third tranche.

- c) Submission of UC of A&OE grants and reform incentive.
- d) Submission of assessment report of AMRUT 2.0 by IRMA (to be appointed by MoHUA) and ATR by the State/ UT thereon and compliance report by IRMA.
- e) Citizen feedback.

7.2.1.3 Third instalment under component-1

- i. Third instalment will be 40% of admissible CA to the State/UT. It will be released entirely on achieving functional outcomes through AMRUT 2.0 projects. Third instalment will be worked out as per following Table:

#	Outcome	Formula for working out 3 rd instalment
1	Tap connections (both new and serviced through augmentation)	$(0.4) \times (\text{ACA for water supply projects}) \times (\text{WA/ WT})$
2	Sewer/ septage connection (both new and serviced through augmentation)	$(0.4) \times (\text{ACA for sewerage/ septage projects}) \times (\text{SA/ ST})$
3	Water body rejuvenation projects	$(0.4) \times (\text{ACA for Water body rejuvenation projects}) \times (\text{WBA/ WBT})$
4	Parks & green spaces	$(0.4) \times (\text{ACA for Parks & green spaces projects}) \times (\text{PA/ PT})$
<p>Sum of all above will be the admissible amount of third instalment. This is an illustration. Actual apportionment of third instalment for projects will be based on achievement of actual outcomes pertaining to those projects.</p>		

Description of terms in the Table

Outcomes	Achievement through AMRUT 2.0	Cumulative target under AMRUT 2.0
Number of new household water tap connections provided + number of tap connections serviced through augmentation + tap connections provided with 24x7 water supply as per real outcomes.	WA	WT

Number of new household sewer connections provided + sewer connections serviced through new sewerage network + households covered with septage management + households covered with tertiary treatment	SA	ST
Number of water body rejuvenation projects completed under AMRUT 2.0	WBA	WBT
Number of parks projects completed under AMRUT 2.0	PA	PT

- ii. Targets in the last column will be submitted through Tables 3(b), 3(c) and 3(d)
- iii. Third instalment can be claimed in three tranches against approved tranches of SWAPs.

7.2.2 Component-2: Funding at the rate of ₹ 3,000 (Rupees three thousand) per new household water tap connection provided in ULBs beyond the baseline as on 1 November 2021 will be awarded. Similarly, **funding at the rate of ₹ 3,000 (Rupees three thousand) for each new household sewer connection** provided in all 500 AMRUT ULBs beyond the baseline as on 1 November 2021 will be provided. Only those new connections, which are not funded under AMRUT and AMRUT 2.0 will be considered for the above funding. Funds against these outcomes can be claimed once every quarter in tranches from launch of Mission after baseline is firmed up. Funds will be released after due verification through citizen feedback and third-party. Funds provided under component-2 will be used by the State/ UT/ ULB on components of AMRUT 2.0 only.

7.3 Funds for projects implemented in PPP mode:

For the projects planned for implementation under PPP mode in cities with population above ten lakh, State/ ULB will prepare appropriate financial model and work out viability gap of such projects. Total viability gap for a project shall not exceed 60% of the project cost. 50% of the viability gap not exceeding 30% of project cost will be admissible to be funded as CA.

For such projects, CA worked out as above will be released in three instalments like non- PPP projects. First instalment worth 20% of the admissible CA will be released on approval of DPR and finalization of financial model of PPP project. While claiming first instalment, details of the PPP projects will be submitted online as under:

Sl. No.	Name of PPP project	Total cost of project (₹ crore)	Total Viability Gap (VG)		Viability gap to be funded		Brief detail of financial model adopted
			Amount (₹ crore)	VG as % of project cost	By Centre(₹ crore)	By State(₹ crore)	

Second instalment worth 40% of admissible CA for PPP project will be released on achieving 15% of physical as well as financial progress of the project. Third instalment will be released on achievement of functional outcomes as described in **Article 7.2**. Payment of annuity over the agreed period of time as per financial model will be done by the State/ ULB. To bring in confidence for PPP projects, States may facilitate ULBs to operate Escrow accounts for ensuring seamless fund flow.

7.4 **Administrative and Other Expenses (A&OE) for States & MoHUA:**

- 7.4.1 3.25% of annual budget allocation will be earmarked for States/ UTs. State A&OE funds will be allocated among all States/ UTs/ ULBs depending on their urban population and area in the ratio 90:10.
- 7.4.2 A&OE funds will be released to the State in the beginning to kickstart the Mission. Some funds will be provided to the State for establishing State Mission Management Units like PDMC. To enable ULBs to prepare City Water Balance Plans (CWBP), ₹ 20 lakh will be provided per AMRUT City to the State, to be passed on to each AMRUT ULB based on their claim in SNA account and ₹ 10 lakh each for rest of the ULBs. This can also be used to establish dedicated unit for Mission management in ULBs. The States may initiate immediate action to onboard resources for assisting the cities/ parastatals for operationalizing Mission.
- 7.4.3 A&OE action plan will be submitted by States/ UTs along with SWAPs as per **Annex-4**. Annual A&OE allocation to a State/ ULB will be released in two instalments. First instalment for the first year will be released on receipt of A&OE action plan. Second instalment will be released on receipt of online claims and UC worth at least 75% of central assistance already released. In subsequent years, first instalment will be released on receipt of action plan and UC worth 75% of all the A&OE fund released in previous years. Eligible A&OE funds will be restricted as per proportion of actual expenditure.
- 7.4.4 State A&OE funds can be spent on following:
- i. Capacity building, preparation of CWBPs, Programme Management/ Implementation Unit (PMU/ PIU),
 - ii. Project Development and Management Consultant (PDMC), State Mission Management Unit (SMMU),
 - iii. City or City cluster Mission Management Unit (CMMU),
 - iv. Preparation of Detailed Project Reports (DPRs),
 - v. Publications like e-Newsletter, guidelines, brochures etc., promotional activities for Mission,
 - vi. Display of the logo and tagline of AMRUT 2.0 prominently on all projects,

vii. Reform implementation.

7.4.5 Due to smaller size and fewer ULBs, North-Eastern and Himalayan States may need specialized handholding for efficient project implementation. On their written request MoHUA may deploy additional support/ experts/ institutions to augment capacities. Representatives from local technical institutions, colleges and universities may be employed in these PDMCs/ PMUs.

7.4.6 In addition to water sector experts, hydrogeologists and data analysts may be part of Mission management units at State, regional and city level. Model guidance document for procurement of these team members will be provided by MoHUA, if required.

7.4.7 The A&OE funds for MoHUA will be utilized at the National Mission Directorate level on following:

- i. Capacity building,
- ii. Convening national & regional workshops,
- iii. Conferring awards and recognition, up-scaling and replication of best practices & smart solutions,
- iv. Commissioning of research and applied studies through Center of Excellence and other institutions,
- v. Independent Review and Monitoring Agency (IRMA) to be positioned at State/ sub-State/ regional level, vi. Feedback using gig economy model,
- vii. International cooperation for capacity building and technology development, etc., viii. Pey Jal Survekshan components

7.4.8 Following is the indicative (not exhaustive) list of **inadmissible** components under A&OE:

- i. Purchase of land for projects or project related works,
- ii. Regular staff salaries of State Governments/ULBs,
- iii. Any other purpose not oriented towards achieving Mission objectives.

7.5 **Reform Incentive:**

7.5.1 Funds totaling ₹ 5,340 Crore has been earmarked as reform incentive. Eight percent of the annual budget allocation will be given as reform incentive to States/ UTs every year for achievement of Reforms from second year of Mission onwards. Incentive for reforms implemented in a year will be awarded in the succeeding financial year. States/ UTs will submit reform roadmap along with SWAPs. Reforms covered under AMRUT 2.0 under various categories have been brought out in **Article 8**.

- 7.5.2 A toolkit for marking system will be issued before commencement of financial year. Procedure of assessing reforms and working out of incentive to the States/ UTs will be described in toolkit.
- 7.5.3 The incentive can be used in Mission cities on admissible components of the AMRUT 2.0 as additionality for achieving the objectives of Mission as an untied fund. The State High Power Steering Committee (SHPSC) will decide the use of the incentive amount.
- 7.5.4 UCs against incentive released shall be submitted in time as per guidelines of Ministry of Finance (MoF). Unutilized funds for reform incentives will be transferred to project fund every year.
- 7.6 **Fund flow**
- Adoption of Public Financial Management System stipulated by Ministry of Finance will be the pre-condition to submit CWBPs. To receive funds under AMRUT 2.0, all transactions will have to be made through Single Nodal Agency (SNA) by using EAT as applicable, as per revised procedure for fund release stipulated in Department of Expenditure (GoI)'s OM No. F. No. 1(13)PFMS | FCD/2020, dated 23 March 2021, as updated from time to time.

8 Reforms

8.1 Mission has a reform agenda to enhance city water security, financial health of ULBs and ease of living of citizens. Reforms will be implemented in first four years of Mission. Reform milestones to be achieved, criteria for evaluation along with timelines will be released in reform toolkit. The evaluation will be done through third party, citizen feedback and interview with officials. There will be two type of reforms:

- 1) Mandatory reforms
- 2) Incentive based reforms

8.2 **Mandatory reforms**

Mandatory reforms will be on property tax and user charges. The States will have to implement these reforms in first two years from launch of Mission to be eligible for central assistance from third year onwards.

- 8.2.1 **Property tax reform** will be focused on notifying property tax calculation containing guidance value/ circle rate along with provision for its periodic increase. The increase in property tax will be ensured through this notification and increase in coverage, & collection efficiency.
- 8.2.2 **Reforms on User Charges** will be focused on notification by State on user charges for water supply and sewerage, resolution of its adoption by all ULBs. User charges will offset O&M expenses substantially and a periodic increase mechanism has to be put in place.

500 AMRUT cities where water supply coverage has improved substantially shall submit road map for achieving 90% billing and collection. The status of billing and collection efficiency will be verified by IRMA or in any other manner decided by MoHUA.

8.2.3 Effective system for grievance redressal will be put in place in ULBs.

8.3 Incentive based reforms

Incentive based reforms will be on water conservation, urban governance and energy efficiency.

(A) Reforms on water conservation:

8.3.1 Reduction in non-revenue water to below 20%:

The ideal target for non revenue water of any ULB will be 20%. Cities will submit roadmap including regularization of illegal connections and minimizing leakage in distribution system due to damages of pipes. The system in place for leakage detection and grievance redressal will be evaluated based on its effectiveness. Measuring stations at source, storage and distribution as well as number of metered connections will be the criteria for evaluation. Proactive approach to train the plumbers and infrastructure managers to ensure minimal leakages will also be assessed. Development of mobile application for reporting of pipe leakages will be the criteria for evaluation for incentive to States. MoHUA may also facilitate the mobile application development. When ULBs adopt this mobile application and implement the successful leakage detection and repair system, they will be incentivized through this reform.

8.3.2 Recycle of treated used water to meet at least 20% of total city water demand and 40% of industrial water demand at State level

Issue of Policy Guidelines by State for Recycling and Reuse of treated used water and its resolution by ULBs will be a **State level reform**.

Mechanism of institutionalisation to check the quality, treatment capacity of STP, treated used water recycled, percentage of recycled water used by city, industrial, agriculture and other demand, whether the treated used water is released in water bodies will also be assessed.

8.3.3 Rejuvenation of water bodies with area preferably one acre

ULBs which take up projects for rejuvenation of water bodies will be incentivised based on the number of water bodies taken up for rejuvenation as per the city population, DPR preparation, award of contract and execution of work.

City population	Number of water bodies to be rejuvenated
above 40 lakh	5
10 lakh to 40 lakh	3
1 lakh to 10 lakh	2
less than 1 lakh	1

ULBs will be evaluated based on improvement of quality of water in water body, diversion of drain/ sewer from water body and quality public spaces around water body.

8.3.4 24x7 water supply with 'Drink from tap' facility in the selected wards

24x7 water supply can be taken up in the form of projects. Successful implementation of such projects will be incentivized. 24x7 water supply with 'Drink from tap' facility will be evaluated on parameters of quality, accessibility and availability of water.

8.3.5 Development of green spaces and parks

ULBs will implement projects on divyang friendly green spaces and parks. Reform evaluation will be based on progress of implementation of these projects. Each park preferably will not be below 0.5 acre area. Park projects will be taken up as under:

City population	Number of green spaces and parks to be developed/ augmented
50,000 to 1 lakh	2
less than 50,000	1

(B) Reforms on governance:

8.3.6 Ease of getting water and sewer connections

ULBs will endeavour to simplify the procedure for getting sewer/ water connections for the households. The ease in getting these connections with respect to SLB achieved in getting connections, documents required and cost incurred will be evaluated under this reform.

8.3.7 Credit rating and issuance of municipal bonds

This reform will involve Credit rating of Tier-2 cities (population 50,000 to 99,999), enhancing credit worthiness of AMRUT ULBs and issuance of municipal bonds. Credit rating will be a **State level reform**.

8.3.8 Online municipal services system

Online delivery of municipal services by ULBs will be evaluated for the services such as Property tax, Death and Birth certificate, Shop license, Health license and Grievance redressal. The SLB targeted and achieved for municipal services will also be evaluated. Similarly, the online extent of ULB's grievance redressal system will be also be evaluated for water, sanitation, solid waste, street lights and drainage services. The guidelines issued under National Urban Digital Mission (NUDM) will be adopted for the same.

8.3.9 Electrical Vehicle Charging Points in cities with population above 50,000

Preparing and issuing notification and guidelines by State for providing electric vehicle charging points in specified class of buildings/ areas and resolution by ULBs for adoption of guidelines will be the evaluation criteria.

8.3.10 Augmenting double entry accounting system

Double entry account system shall be adopted for all the ULBs. Complete migration to double entry accounting system and obtaining audit certificate will be evaluated.

8.3.11 PPP project in non-million plus cities

Planning and implementation of projects in PPP mode in water sector in cities with population below ten lakh will be evaluated.

8.3.12 **Involvement of community** including women SHGs in water demand and water infrastructure management will be incentivised.

(C) Reform on energy efficiency:

8.3.13 Reform on energy efficiency

Effective O&M SOPs for water supply and sanitation infrastructure will be evaluated. Energy efficiency of pumps and cleaning procedures for filters will also be evaluated.

(D) Reforms on urban planning and unlocking land value through urban planning

Land monetization, unlocking land value and improving land use efficiency will be undertaken through sub-schemes as under:

8.3.14 GIS based master plans of Class-II Towns with population of 50,000 - 99,999 - sub Scheme

A sub Scheme is proposed to be launched for GIS based master plans of Class-II Towns with population of 50,000 - 99,999. The Sub Scheme will be in line with AMRUT GIS sub Scheme, which will comprise three major components i.e. Geo-database creation, formulation of GIS based master plans and capacity building. The Geo-database will be created as per the design & standards approved by MOHUA namely "Design & Standards for Formulation of GIS based Master Plans for AMRUT Cities" and "Design & Standards for Application of Drone/UAV technology for Formulation of GIS based Master Plans for Small and Medium Towns". The creation of Geo-database will be taken up in-house or through out-sourcing. The MoUs for Geo-database will be signed with National Remote Sensing Centre (NRSC) for Satellite based geo-data creation or Survey of India (SOI) for drone/ UAV based geo-data creation, based on requirement of State/UTs Governments.

The GIS based Master Plans will be formulated by State Governments in-house or through out-sourcing as per the State Town Planning Acts using the Geo-database created through above mentioned State of Art technologies.

8.3.15 Sub-Scheme on Local Area Plan (LAP) and Town Planning Scheme (TPS)

The sub-Scheme will encourage implementation of LAP and TPS in select cities targeting optimum land utilisation. It will help States and cities in preparing LAP/ TPS plans through stakeholder consultation. Handholding will be provided for the same.

9 Pey Jal Survekshan

9.1 Pey Jal Survekshan will foster healthy competition among ULBs, wherein following parameters will be assessed:

- i. Water supply management & innovative practices,

- ii. Compliance of water supply service level benchmarks w.r.t. coverage, quality, quantity, and user charges reforms,
 - iii. Reduction in Non-Revenue Water (NRW) through District Metered Areas (DMAs) and training to check leakages,
 - iv. Operational efficiency of sewage and water treatment plants,
 - v. Rejuvenation of water bodies and wells, vi. Evaluation of collection, treatment, and reuse of treated used water.
- 9.2 Feedback will be taken from citizens and municipal officials to assess above parameters. Water samples will be collected and their laboratory testing will be carried out.
- 9.3 The results of the survey will be the basis of ranking the ULBs in terms of water sector services and water security at city and household level.

10 Technology Sub-Mission

10.1 Technology Sub-Mission will facilitate identification of innovative, proven and potential environment friendly technologies in the fields of water & used water treatment, distribution and water body rejuvenation. Following are the major initiatives to be taken under Technology Sub-Mission:

10.1.1 Start- ups entrepreneurs:

- i. Start- ups will be encouraged in water/ sewerage sector. The Start-ups fulfilling the definition given by "Start-up India" initiative of DPIIT¹ shall be eligible to participate. Start-ups can apply to the State Mission Director by submitting a brief proposal online comprising details of the project, technology proposed, cost and intended benefits. Projects costing up to ₹ 20 lakh will be approved by a **State Water Start-Up Screening Committee** consisting of State Mission Director, representative of technical institute and/ or practitioners in water sector. Approved projects can be taken up for which necessary assistance will be provided by the concerned ULB.
- ii. Start-up projects with path breaking technologies, costing more than ₹ 20 lakh will be approved by **National Water Start-Up Screening Committee** consisting of representatives of MoHUA, CPHEEO and experts in water sector.
- iii. Funds will be released in three instalments of 50:40:10. First instalment (50%) will be released after approval of project by **State/ National Water Start-Up Screening Committee** as per cost of the project.

¹ <https://www.startupindia.gov.in/content/sih/en/startupgov/startup-recognition-page.html>

- iv. Second instalment (40%) will be released on receiving the claim for the same after having achieved progress of the project and reported online.
- v. Third instalment (10%) will be released after the project is completed and intended outcomes are achieved.
- vi. The first shortlisting of start-ups projects for funding should be completed within six month of launch of mission and first instalment should be released within seven months from start of mission.

10.1.2 Technology Melas:

Mission will support innovative, low-cost indigenous technologies including equipment, through technology challenge and melas at National/ State level.

10.1.3 Light house projects:

National and international agencies/entrepreneurs will be encouraged to take up lighthouse projects and demonstrate the results in water sector. Interested agency can apply to the State Mission Director for such projects with clearly defined objectives and outcomes. MoHUA will approve such projects on recommendation of SMD. Initially, such projects will be funded by the concerned agency, however, on achieving the intended outcomes within Mission period, 20% of project cost, restricted to ₹ 50 Lakhs will be reimbursed to the agency by MoHUA.

11 Synergies for effective outcomes

11.1 Rural-Urban Synergy:

Water markets for reuse of treated used water shall be ascertained in rural urban continuum. Co-treatment of sewage/ septage from nearby villages in spare capacities of STPs will be explored by ULBs.

To facilitate this, National, State and ULB level committees on water/ sewerage/ river/ water body coordination shall be represented by members of rural areas also, especially for peri-urban areas.

There will be a capacity building convergence between urban and rural, wherever feasible.

11.2 Urban-Urban synergy:

Mission covers all ULBs across the country. Many of the ULBs are very small with population below 10,000. For such ULBs, water supply projects may be technoeconomically sustainable, if planned for a cluster of ULBs which are adjacent to each other. For example, a common intake line may be laid from a far-away water source for a group of ULBs. State/ULBs will endeavor to plan such projects for cluster of cities where ever feasible. Viability of such projects will be analyzed specifically by the SHPSC before including in the SWAP.

11.3 Synergy among Missions:

Swachh Bharat Mission (SBM), Smart City Mission (SCM) and National Urban Livelihood Mission (NULM) have components common with AMRUT 2.0. Sanitation and FSSM are components of SBM and water supply with smart elements is a component of SCM. Employment generation through various components of AMRUT 2.0 like project implementation and capacity building contribute to the cause of urban livelihood, which is also the motto of NULM.

Convergence/ synergy among these Missions is essential to achieve the outcomes targeted towards enhancing ease of living. The ULBs which cannot plan projects to achieve intended outcomes due to resource crunch can plan the projects in convergence.

12 Capacity building

12.1 Capacity building will be taken up for elected representatives, ULB functionaries, contractors & their staff and citizens. Purpose of capacity building is to enhance the functional knowledge and improve the job-related skills of targeted groups.

12.2 Suggested targeted groups and fields of capacity building are as under:

	Targeted group for capacity building	Suggested fields of capacity building
1	Elected representatives and Municipal functionaries	<ul style="list-style-type: none"> a. AMRUT 2.0 and its Reform agenda b. Recycle/ Reuse of treated used water, Rejuvenation of Water bodies, Rain water harvesting. c. Project and financial management d. E-governance and soft skills
2	Contractors, managers and consultants	<ul style="list-style-type: none"> a. Project and financial management b. Aspects of water & sewerage infrastructure and recycle of treated used water
3	Plant operators, Plumbers and Workmen	<ul style="list-style-type: none"> a. O&M of water supply & sewerage networks and treatment plants b. Aspects of plumbing and plugging the leakages. c. RWH structures, NRW reduction,
4	Citizens including Women and members of SHGs	<ul style="list-style-type: none"> a. Water quality testing b. Management of water demand c. Feedbacks on functional outcomes
5	Town planners	<ul style="list-style-type: none"> a. Land monetization b. Form based planning, local area plans and town planning scheme c. GIS based master plans

12.3 States/ UTs may impart capacity building in fields other than those described in the Table above as per specific requirements of the State/ ULB. Training can be of any duration as decided by State and can be imparted through class room courses as well as online classes.

12.4 International and Intra-national visits to best water managing cities will also be taken up.

12.5 Capacity building plans will be submitted along with action plan for State A&OE funds as per **Annex-5**. States/ UTs will bear the expenses on capacity building through A&OE funds allocated to them. The capacity building plan will include the list of agencies that are proposed to impart training. States/ UTs may explore the institutions in their proximity to impart capacity building. North-Eastern States may also explore North-Eastern Hill University (NEHU) to impart training. Small States/ UTs can adopt cluster approach whereby persons from different States can participate in common capacity building program.

12.6 1,00,000 persons are targeted to be trained under capacity building program.

13 Urban Aquifer Management Plan

13.1 AMRUT 2.0 acknowledges the importance of wells and aquifers, and the dependence of urban population on these systems. Mission intends to prioritize management of urban aquifer systems towards its pursuit of water secure cities.

13.1.1 ULBs under Mission are expected to develop sound strategies for management of groundwater resources with specific focus on the following parameters: i. ULB's dependence on groundwater

ii. Key characteristics of city's aquifer systems

iii. Available recharge potential within city limits

13.1.2 Mission will promote and encourage citizen's engagement for groundwater management in cities. Dug wells are identified as a common entry point towards citizen engagement and awareness generation on well recharge and rejuvenation for shallow aquifer systems in the city.

13.1.3 ULBs will facilitate a scientific approach towards management of groundwater aquifer systems by enhancing their technical capacities. ULBs shall monitor groundwater usage, identify aquifer potential and recharge opportunities.

13.1.4 Mission shall support the development of protocols for operating a scientific routine around data collection on groundwater resources that will assist in the development of aquifer management plan and its refinement.

13.1.5 A technical guidance manual specific to different aquifer systems in urban India shall be developed under Mission to assist the cities in developing an aquifer management plan.

13.1.6 The City Aquifer Management Plan will be a dynamic document that shall be revised every year until 2026 to assess the change in the dynamic groundwater balance over the mission period.

13.1.7 For the purpose of development of aquifer management plan, cities/ ULBs may provide baseline information in the first year of Mission to understand the relationship between the urban area and its underlying aquifer systems and work towards generating further information pertaining to the aquifer systems that shall be incorporated in the subsequent plans.

14 IEC Campaign

14.1 In order to ensure extensive outreach of Mission and its objectives; Information, Education and Communication (IEC) will be undertaken. IEC campaign shall target to build the capacities of local communities through information, education, and persuasion of people effecting Behavioral Change Communication (BCC). IEC will envisage to convert the campaign into a movement- *Jan Aandolan* by engaging ward committees, resident welfare associations, senior citizens, home makers, NGOs and civil society groups, students and youth, celebrities, brand ambassadors, and SHG groups.

Ensuring community participation: NULM Mission management will be involved in training and mobilizing SHGs in water quality testing and infrastructure management. At least one project's operation and maintenance of AMRUT/ AMRUT 2.0 in each city may be considered for deployment of well-trained SHG.

14.2 Objectives of IEC campaign areas under:

- To create awareness about practices for water conservation like rainwater harvesting, clean water bodies, ground water recharge and intensive plantation, etc.
- To make people aware about municipal services, especially new water connection.
- To effect behavioral changes about optimum usage and minimizing wastage of water.
- To inculcate sense of ownership of water supply infrastructure among citizens.
- To enhance awareness about creation of markets for treated used water in rural/ periurban areas.
- To encourage potential investors to invest in PPP projects in water sector through project profiles.

14.3 **Strategy for IEC:**

MoHUA will devise strategy for IEC activities at National, State, and ULB level. It will include the tools of awareness campaigns on the objectives brought out above. MoHUA may appoint external consultants/ agencies/ organizations etc. to devise the strategy.

This strategy will be designed into two folds – 1) primary creative strategy & master templates and its adaption into multiple tools of IEC campaign. 2) Optimum utilization of such tools for information dissemination.

Similarly, States shall leverage the MoHUA's creative strategy and localize the content at the State, district and ULB level and facilitate its information dissemination.

14.4 **IEC tools and action plan**

Below is a snapshot of the tools of IEC plan to be used in AMRUT 2.0:

Mass Media - TV, Radio, Newspapers, Movies, AMRUT 2.0 anthem, etc.	Social media campaign through influencers, celebrities and Recognition of Water Warriors	Targeted marketing through- Collaterals – Pamphlets, brochures, leaflets, snippets, Outdoor publicity – hoardings, banners, standees, wall paintings etc.
Activations – competition among children, local community	Community engagement through train the trainer	Exhibition/ Melas of success stories

14.4.1 Mass Media - TV, Radio, Newspapers, Movies

Broadcast of “Audio-Visual spots” through internet, television, local cable TV and social media networks. Advertisements and success stories in newspapers/ magazines and short films on objectives of Mission. An audio-visual anthem on AMRUT 2.0 may be created to effect behavioral change in people regarding water and sanitation.

Radio may also be used to achieve above objectives. Audio spots, anthem and jingles through local FM channels roping in influential radio jockeys may be broadcasted.

14.4.2 Social media campaign and recognition of Water Warriors

Social media campaign can involve celebrities to spread awareness among masses about Mission; optimum usage of water; importance and avenues for recycle/ reuse of treated used water; significance of rejuvenation of water bodies, plantation and rain water harvesting etc. For this purpose, platforms such as WhatsApp, Facebook, Instagram, YouTube, LinkedIn, Twitter, etc. may be used. Mission will recognize citizens who have done outstanding work in the related fields, as ‘**Water Warriors**’. **Documentary films/ movies** on Mission objectives and success stories of water warriors may be made and shown during campaign.

14.4.3 Targeted marketing through collaterals and outdoor campaign

Pamphlets, brochures, leaflets, snippets may be distributed to schools, RWAs, Slum Welfare Associations, Mohalla Samitis, academic institutions, health workers, key opinion leaders and beneficiaries, etc. **Outdoor campaign may be done via hoardings, banners, standees, wall paintings etc.** at ULB offices, schools, institutions, railway stations, bus stops, malls, markets, subways, inside and outside public transport buses, etc.

14.4.4 Local level activations

Organizing competitions on painting and essay writing, etc. on water related topics in schools, colleges, slums, and RWAs, etc.

14.4.5 Community engagement using ‘Train the Trainer’ workshops

Community young leaders at local level may be identified and trained in ‘Train the Trainer’ workshops. These leaders may further train the community and create sensitisation among community in water related aspects.

14.4.6 Exhibition and Melas of success stories

Start-ups, entrepreneurs, research centers, institutions etc. may be engaged in local level exhibitions/ Melas to showcase their technologies and processes. This will help in increasing awareness of ULB functionaries, contractors, plant operators, and citizens.

14.5 Funding:

MoHUA will receive 1/3rd of annual IEC funds, and remaining funds will be disbursed to States/ UTs. State share will be worked out giving weightage to urban population and area of States in ratio of 90:10.

Annual IEC action plan will be submitted by States/ UTs along with SWAPs as per **Annex-6**. Annual IEC allocation to a State/ ULB will be released in two instalments. First instalment for the first year will be released on receipt of IEC action plan. Second instalment will be released on receipt of online claims and UC worth at least 75% of central assistance already released. In subsequent years first instalment will be released on receipt of action plan and UC worth 75% of all the IEC fund released in previous years.

15 Institutional Mechanism

15.1 A three-tier institutional mechanism has been devised for implementing Mission as under:



15.2 National Level

15.2.1 Apex Committee (AC)

An Apex Committee (AC) chaired by the Secretary, MoHUA and comprising representatives of related ministries and organizations will monitor Mission. For the successful implementation of Mission, the Apex Committee (AC) will have following responsibilities:

- i. Policy guidance formulation, central assistance, and technical support to States/ UTs.

- ii. Approval of State Water Action Plans (SWAPs).
- iii. Allocate and release funds to the States/ UTs/ Mission Directorate.
- iv. Monitoring of Mission progress & fund utilization at State/UT level.
- v. Advise States/ UTs on roadmap for reform implementation and monitoring progress.
- vi. Advise the State/UT/ implementing agencies on innovative ways for resource mobilization, private financing, and land leveraging.
- vii. The Apex Committee may delegate, as it considers appropriate, some of the functions within prescribed limits to the Mission Director for ensuring speedy implementation of Mission.

Apex committee will be empowered to take any decision required for uninterrupted progress of Mission within broad framework of approved Cabinet note. Apex committee shall meet at intervals not exceeding once every quarter.

The composition of the Apex Committee will be:

1	Secretary (MoHUA)	Chairman
2	Secretary (Department of Expenditure)	Member
3	Secretary (Department of Economic Affairs)	Member
4	Secretary (Drinking Water & Sanitation)	Member
5	Secretary (Environment & Forest)	Member
6	Joint Secretary/ Advisor, NITI Ayog	Member
7	Joint Secretary & FA, MoHUA	Member
8	Adviser (CPHEEO)	Member
9	TCPO	Member
10	Director, NIUA	Member
11	Mission Director, AMRUT 2.0	Member Secretary

15.2.2 National Project Management Unit (PMU)

National Project Management Unit may be employed to support National Mission

Directorate. It will monitor the physical and financial progress of the overall Mission, visit States/ cities as required, liaise with PDMC/ CMMU to keep the portal updated and undertake any other duties as directed by Mission director.

15.2.3 Independent Review and Monitoring Agency (IRMA)

IRMAs shall be selected for a State/ UT or cluster of States/ UTs by MoHUA through bidding process. Payments to IRMAs will be made by MoHUA. States/ UTs will facilitate IRMAs in undertaking reviews

and feedbacks etc. Periodic reports and other documents will be submitted by IRMA to MoHUA with copy to States/ UTs. Brief description of activities to be performed by IRMAs is as under:

- I. Review of projects and reforms undertaken by the States/ UTs. Ascertaining if the projects are taken up in accordance with the approved SWAPs.
- II. Verification of Action Taken Report furnished by States/ UTs against IRMA observations and confirmation to MoHUA.
- III. Verification of outcomes submitted/ uploaded on portal by the States/ UTs.
- IV. Collecting user feedback in form of recorded video interviews and testimonials etc. V. Assisting States/ UTs in updating the portal on regular basis.

15.3 State level

15.3.1 State High Powered Steering Committee (SHPS)

State High Powered Steering Committee (SHPS) chaired by Chief Secretary of State will steer the Mission program at State level. The responsibilities of SHPS will be as under:

- I. Approve State Water Action Plan (SWAP) and accord administrative approval of Detailed Project Reports (DPRs).
- II. Monitor Mission including progress of projects, capacity building, IEC campaign and reform implementation, etc.
- III. Recommend proposals for release of instalment of funds for projects to the Centre.
- IV. Finalize State and ULB share of funds for project implementation.
- V. Allocate and release of Central and State share of funds to ULBs in time.
- VI. Encourage and facilitate start-ups and private entrepreneurs to participate in Mission through technology sub-Mission.
- VII. Approve plans for capacity building, issue notifications, etc. for speedy implementation of reforms.
- VIII. Advise State Mission Director on Operations & Maintenance of plants erected under Mission.

The indicative composition of the SHPS will be:

1	Chief Secretary	Chairman
2	Pr. Secretary (Finance)	Member
3	Pr. Secretary (Housing)	Member
4	Pr. Secretary (Environment & Forest)	Member

5	Representative of MoHUA	Member
6	State Mission Director	Member
7	Representative of PHE Department	Member
8	Pr. Secretary (UD)	Member Secretary
9	Pr. Secretary/ Secretary Rural Development	Member

SHPSC may co-opt members from other State government departments / organizations and may invite experts in the field to participate in its deliberations.

Mission at State level will be led by State Mission Director, who will be an officer not below the rank of Secretary, nominated by the State Government. The State Mission Directorate will be responsible for developing DPRs and bid documents with the help of ULBs & PDMCs and forwarding them to the SLTC for technical approval. State Mission director may seek guidance from SHPSC to ensure speedy implementation of AMRUT 2.0.

15.3.2 State Level Technical Committee (SLTC)

States/ UTs shall appoint SLTC which will be primarily responsible for technical appraisal of DPRs and tender documents. Before giving approval, SLTC will ensure availability of undisputed land for projects, inclusion of O&M for at least five years and last stretch of tap/ sewerage connectivity to households.

The indicative composition of the SLTC is given below.

1	Pr. Secretary (UD)/ Secretary (UD)	Chairman
2	Water Resources/Ground Water Department	Member
3	Public health department	Member
4	Electricity Department	Member
5	Finance Department	Member
6	State Mission Director	Member
7	Technical Head (e.g. Engineer-in-Chief) Urban Water Supply & Sewerage Board	Member Secretary
8	M.D. of Parastatal	Member

15.3.3 Project Development and Management Consultant (PDMC)

The PDMCs may be procured by the States/ UTs through a contract, model Request for Proposal (RfP) which is available in Mission toolkit. Each PDMC will have one State office at State capital comprising management and design professionals and multiple field offices comprising project implementation professionals. PDMC in place for AMRUT Mission can continue to work for AMRUT 2.0 at the discretion of State Mission Director.

The scope of PDMCs will broadly cover planning, design, supervision and management of projects. They will prepare CWBPs, CWAPs and SWAPs and carry out investigation, design, procurement, and implementation using PMIS / latest IT tools and techniques. They will help in monitoring physical & financial progress of projects and updating Mission portal. They will also help States/ UTs in conducting capacity building activities.

The PDMCs will examine convergence with other similar schemes in terms of coverage, fund flow, impact and outcomes. The scheduling of projects for next five years will be done in consultation with citizens. During the process of developing the SWAP, the PDMCs shall explore the possibility of Public Private Partnerships (PPP) in project implementation. PDMCs will prepare Detailed Project Reports (DPRs), which shall include financial plan and O&M strategy for complete life cycle of projects. Based on approved DPRs, PDMCs will provide bid documents and support States/ULBs in procurement of contracting firms. They will subsequently provide extensive support to ULBs/State parastatal for project implementation.

15.4 **ULB level**

At the city level, the ULB represented by Municipal Commissioner/ administrative head of ULB, etc. will be responsible for implementation for Mission. The responsibilities of ULB will be as under:

- i. Submit City Water Balance Plans in time.
- ii. Help State Mission Director/ PDMC in preparation of DPRs.
- iii. Act for tendering and award of contracts as per financial rules & regulations and ensure timely completion of work under contract.
- iv. Participate actively and provide necessary support for Pey Jal Survekshan.
- v. Ensure that the reforms are achieved within timeline.

15.5 **City Mission Management Units (CMMUs)**

The States/ UTs may decide to appoint CMMUs comprising sector experts to support a city or a cluster of cities within the State.

15.6 **District level**

The Ministry of Housing & Urban Affairs has issued Guideline regarding District Level Advisory and Monitoring Committee (DLAMC) to be formed under District Magistrate (DM) to review and monitor several programs in urban sector including AMRUT 2.0. Elected representatives and representatives from ULBs and Gram Panchayats in the district will be the part of this committee. The Committee will monitor and review the implementation of AMRUT 2.0 projects in accordance with the applicable guidelines.

15.7 **Audit and litigation matters**

State Mission Directorate shall be responsible for all matters connected with C&AG Audit and litigation including cases before Courts/Tribunals and Arbitrators. State Mission Directorate shall be responsible for defending the Central Government interests on behalf of the National Mission Directorate, MoHUA.

15.8 **Ongoing projects of AMRUT**

Ongoing AMRUT projects will continue to be funded as per AMRUT guidelines.

16 Indicative Annexures

The annexures give indicative formats. The final formats will be made available through online portal developed by MoHUA.

Annexure 1

City Water Balance Plan



Water sources in use

Name/Location	Number of Water Supply points	Quantity of water supply (MLD)	Is it located inside the City?
Surface water source 1 (Bharat) State/Labor Street/Barshi			Yes
Surface water source 2 (Bharat) State/Labor Road/Barshi			Yes
Surface water source 3 (Bharat) State/Labor Road/Barshi			Yes
Groundwater source 1 (Bharat) State/Labor Road/Barshi			Yes
Transmitted water			

Water Treatment Plant (WTP)

Name/Location of WTP	Original capacity (MLD)	Operational capacity (MLD)	Technology used for automatic controlling

Water connection

Number of tap connections provided	No. of households/ establishments having water tap connections (AMRUT or not covered by both connections)	Water supplied (MLD)
Residential/Institutions including schools		
Commercial establishments		
Industrial		
Institutional establishments		
Others		
Total		

Present water supply to consumers (after losses)

Water supply through distribution network (MLD): _____

Water supply directly from through fountains, etc. other than distribution network (MLD): _____

Water supply through hand connections other than distribution network (MLD) (Not): _____

Water supply through kiosk (see) water (MLD): _____

Total water supply (MLD): _____

Average per capita water supply (L/PCD): _____

Future demand

Residential/Institutions including schools: _____

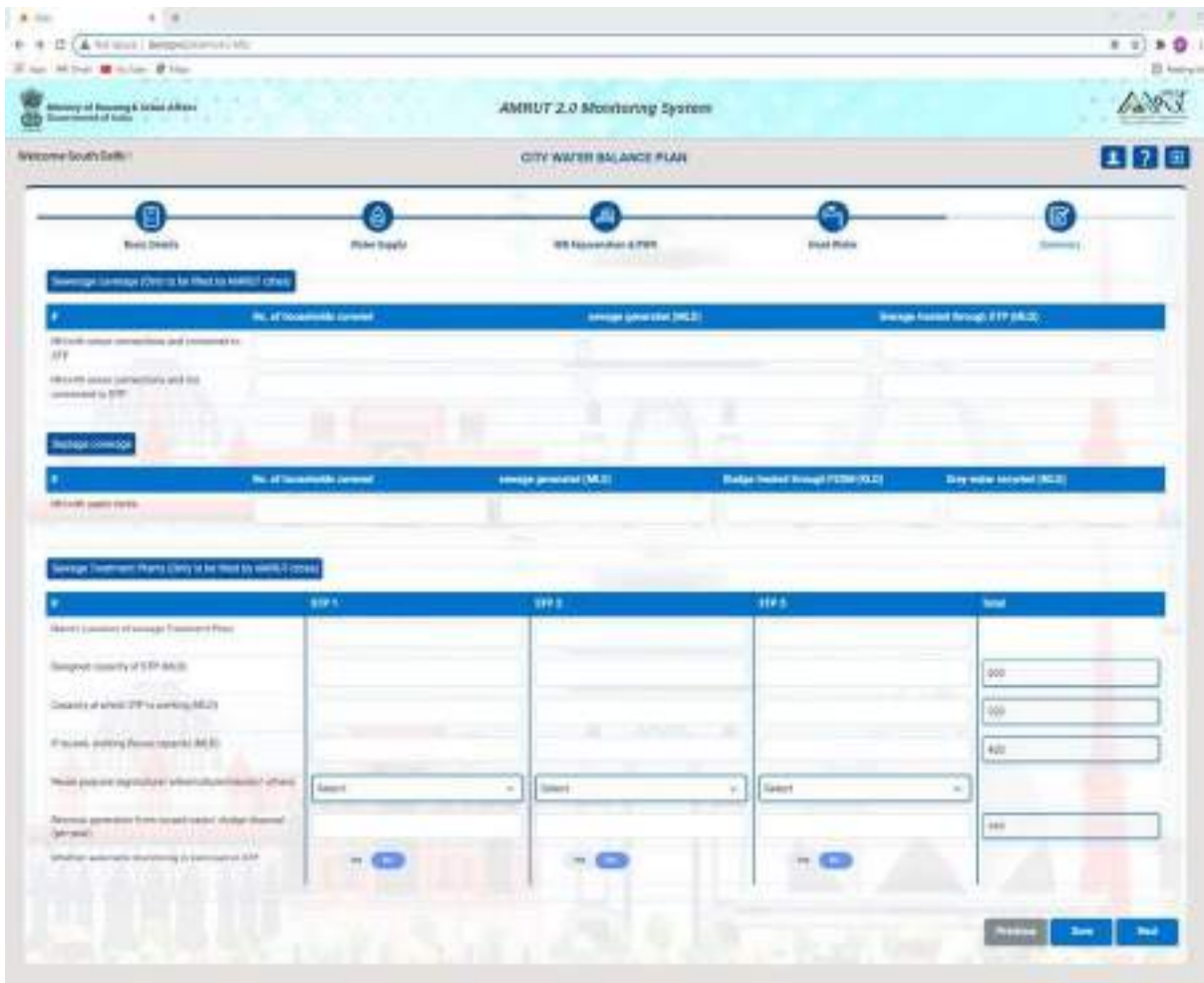
Commercial establishments: _____

Industrial: _____

Institutional establishments: _____

Others: _____

Total: 222.858



AMRUT 2.0 Monitoring System

CITY WATER BALANCE PLAN

Welcome South Delhi

Basic Details | Water Supply | WTP Information & PFR | Water Rate | Summary

Gap Identification

Demand Information (Source / Supply PTD - R/O)	Proposed consumption demand PTD-DI (R)	Estimated Gap PTD-R/O - R/O (G)
Water supplied (Suburban ground-water)	Water demand	Gap in water supply
Water treatment capacities	Water Network	Gap in water treatment
Tap connections provided in scheme	Tap connections provided in scheme	Gap in installed tap connections in scheme
Households covered with Tap connections (Tap)	Final connections in scheme	Gap connections for households including above
Used water being treated	Used water generation	gap in used water treatment
Used water being recycled	Water used to be recycled (WTR)	Gap in used water recycling
Water conservation measures (including coverage and leakage management)	Final household	gap in household water conservation including water saving technologies

Previous | Submit

City Water Action Plan (CWAP) 2(a)

CWAP for Water supply projects

Name of city: _____					
Sl. No.	Name of water supply project	Number of household water tap connections proposed under project (New, augmented, 24x7 water supply connections)	Ward number and name of locality covered under project	Estimated cost of the project (₹ Crore)	Other source of funding for projects under AMRUT 2.0 in addition (if any)
Proposed under AMRUT 2.0					
					NA
					NA
Ongoing/ planned projects, other than AMRUT, funded through sources like State/ ULB owned funds, XV FC grants, external funding, PPP, etc.					

2(b) CWAP for Sewerage/ septage management projects (for AMRUT cities only)

Name of city: _____

Sl. No.	Name of sewerage/ septage management project	Number of household sewer/ septage connections proposed under project	Ward number and name of locality covered under project	Proposed recycle/ reuse of treated used water and buyer/ receiver		Estimated cost of the project (₹ Crore)	Other source of funding for projects under AMRUT 2.0 in addition (if any)
				Proposed recycle/ reuse (MLD)	Name of buyer/ receiver		
Proposed under AMRUT 2.0							
							NA
							NA
Ongoing/ planned projects, other than AMRUT, funded through sources like State/ ULB owned funds, XV FC grants, external funding, PPP, etc.							

2(c) CWAP for projects on Rejuvenation of water bodies and development of parks & green spaces

Name of city: _____							
Sl. No.	Name of project on rejuvenation of water bodies/ parks	Identification of water body / park (Name and latitude -longitude)	Area of		Estimated cost of the project (₹ Crore)	Other source of funding for projects under AMRUT 2.0 in addition (if any)	
			water body (acre)	Park (acre)			

Proposed under AMRUT 2.0					
					NA
					NA
Ongoing/ planned projects, other than AMRUT, funded through sources like State/ ULB owned funds, XV FC grants, external funding, PPP, etc.					

2(d) Roadmap for water tap connections

Name of the City: _____															
Number of households in the city	Number of households having functional water tap connections as on 1 Nov 2021 (Base line)	Number of households to be covered through AMRUT (Post 1 Nov 2021)	Gap in household water tap connections (a) - (b) - (c)	Year wise Connections proposed (FY)											Total of (e) to (n)
				2021-22		2022-23		2023-24		2024-25		2025-26			
				AMRUT 2.0	Other than AMRUT 2.0	AMRUT 2.0	Other than AMRUT 2.0	AMRUT 2.0	Other than AMRUT 2.0	AMRUT 2.0	Other than AMRUT 2.0	AMRUT 2.0	Other than AMRUT 2.0		
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)		

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Annexure 3

3(a) State Water Action Plan (SWAP) Name

of State: _____

Sl. No.	Name of the City	Name of the project including Ward number and locality	Name of the sector	Number of new household connections, rehabilitated connections, connections provided with 24x7 water supply, as applicable proposed as applicable (To be left blank for water body rejuvenation and park projects)		Estimated cost of (₹ the project Crore)
				Tap connections	Sewer/ septage connections	

3(b) State Roadmap for achieving universal coverage of household water tap connections

Name of the State: _____															
Total Number of households in the State	Total Number of households having functional water tap connections as on 1 Nov 2021	Number of households to be covered through AMRUT (Post 1 Nov 2021)	Total Gap in household water tap connections (a) - (b) - (c)	Year wise Connections proposed by State (FY)											Total of (e) to (n)
				2021-22		2022-23		2023-24		2024-25		2025-26			
				AMRUT 2.0	Other than AMRUT 2.0/AMRUT	AMRUT 2.0	Other than AMRUT 2.0/AMRUT	AMRUT 2.0	Other than AMRUT 2.0/AMRUT	AMRUT 2.0	Other than AMRUT 2.0/AMRUT	AMRUT 2.0	Other than AMRUT 2.0/AMRUT		
(a)	(b)	(c)	(d)	(e)	(f)	(g)	(h)	(i)	(j)	(k)	(l)	(m)	(n)	(o)	

3(c) State Roadmap for achieving universal coverage of household sewer/septage connections

1	Elected representatives and Municipal functionaries	<ul style="list-style-type: none"> a. AMRUT 2.0 and its Reform agenda b. Recycle/ Reuse of treated used water, Rejuvenation of Water bodies, Rainwater harvesting. c. Project and financial management d. egovernance and soft skills 											
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2	Contractors and managers	<ul style="list-style-type: none"> a. Project and financial management b. Aspects of water & sewerage infrastructure and recycle of treated used water 											
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3	Plant operators, Plumbers and Workmen	a. O&M of water supply & sewerage networks and treatment plants b. Aspects of plumbing and plugging the leakages. c. RWH structures, NRW reduction,											
4	Citizens including Women	a. Management of Water Demand											
		b. Feedbacks on functional outcomes											

5	Town planners	a. Land monetization b. Form based planning, Local area plans and town planning scheme c. GIS based master plans											
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Annexure 6

IEC action plan

Name of State : _____								
Sr. No.	Elements proposed	Proposed spending						Remarks (If Any)
		FY 2021-22	FY 2022-23	FY 2023-24	FY 2024-25	FY 2025-26	Total	
1.	Mass Media - TV, Radio, Newspapers, Movies, AMRUT 2.0 anthem, etc.							
2.	Social media campaign through-influencers, celebrities and recognition of Water Warriors							

3.	Targeted marketing through- Collaterals – Pamphlets, brochures, leaflets, snippets, Outdoor publicity – hoardings, banners, standees, wall paintings etc.							
4.	Activations – competition in institutions, local community							
5.	Community engagement through train the trainer							
6.	Exhibition/ Melas of success stories							

