



Ministry of Housing and Urban Affairs  
Government of India



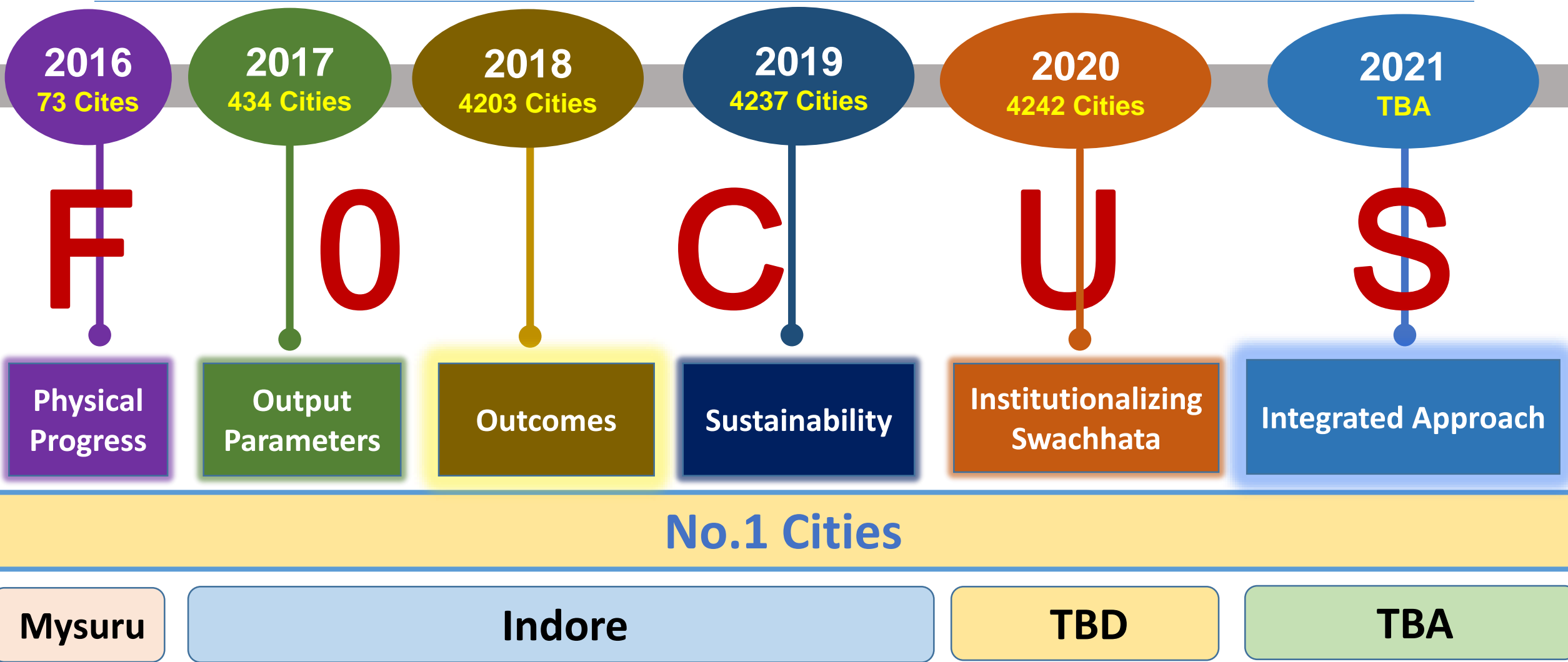
# SWACHH SURVEKSHAN 2Q21

# स्वच्छ सर्वेक्षण 2Q21

## Toolkit



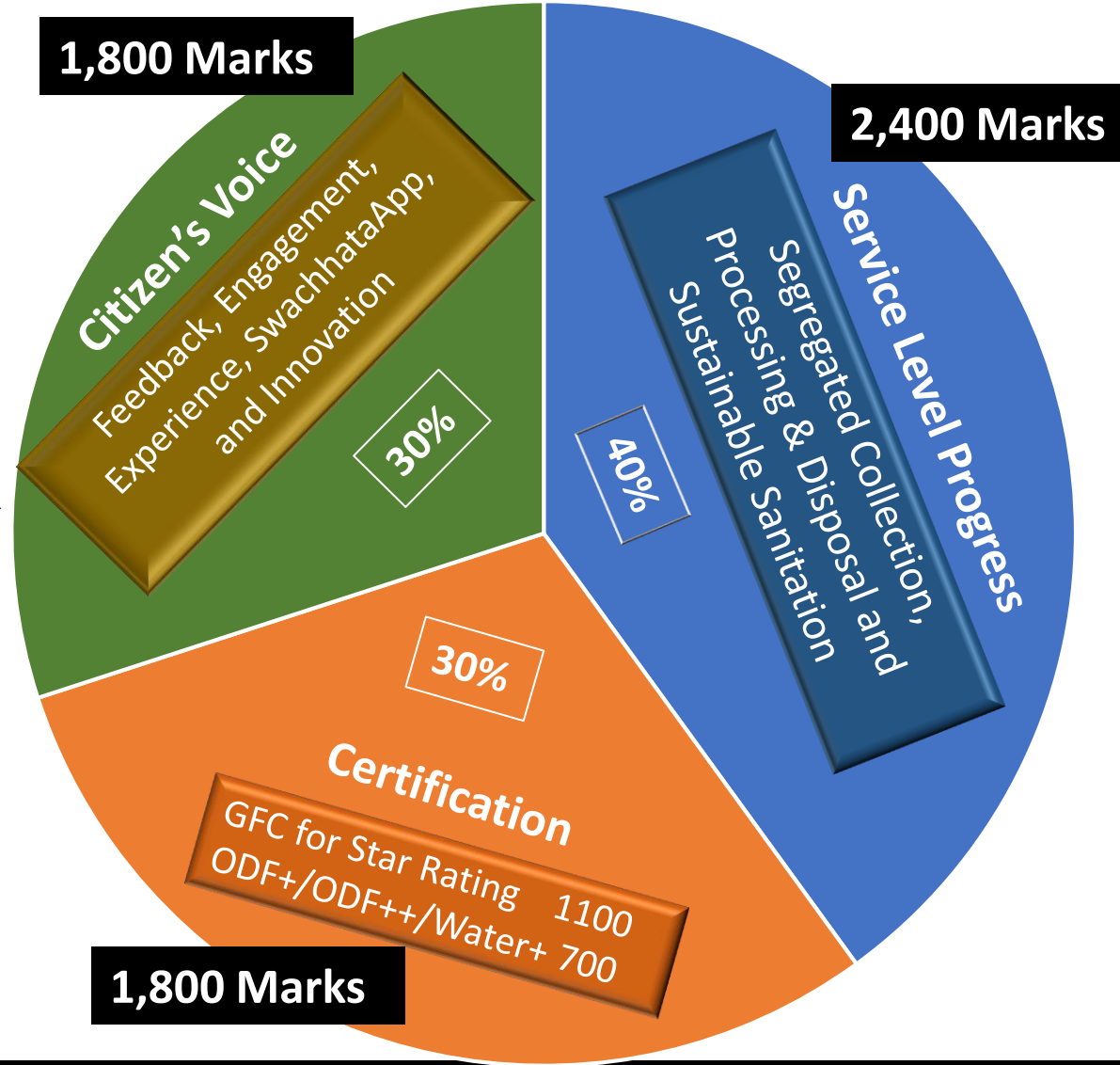
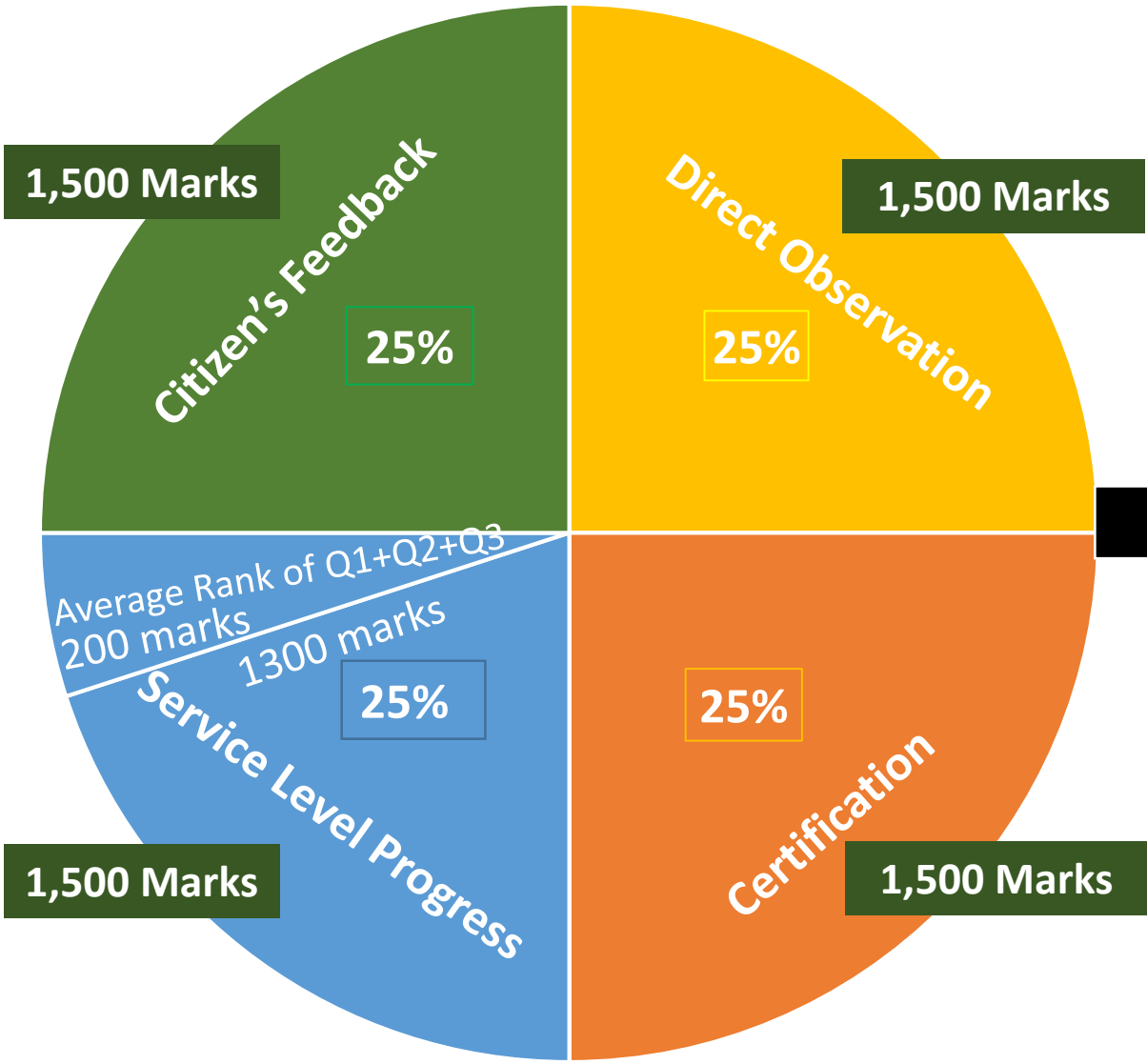
# Evolution of Swachh Survekshan



Transformation from 'Monitoring Tool' to 'Implementation Accelerator'

## Swachh Survekshan-2020 Total Marks 6,000

## Swachh Survekshan - 2021 Total Marks 6,000



To avoid duplication, Direct Observation merged in Citizen's Voice and Service Level Progress



Ministry of Housing and Urban Affairs  
Government of India

# SWACHH SURVEKSHAN League 2021



## Quarterly Assessments of Service Level Progress

Quarter-1  
April - June

Quarter-2  
July - Sept

Quarter-3  
Oct - Dec

Monthly MIS updated by ULBs

Quarterly Validation through calls/ by on-field Assessors

Quarter-1  
2,000 marks

Quarter-2  
2,000 marks

Quarter-3  
2,000 marks

Total  
6,000 marks

40% of 6,000 = 2,400 marks

Qtr-1  
500 Marks  
(21% of 2,400)

Qtr-2  
700 Marks  
(29% of 2,400)

Qtr-3  
1200 Marks  
(50% of 2,400)

Total  
2,400 marks



# Points to Remember

- **Monthly data/progress** to be updated by **5th day** of the following month by the ULB - **but State can approve the MIS by 10th day of the month, failing which MIS will get automatically accepted.**
- **Average** progress of **all 3 month** of the quarter **will be taken** to assess the progress. However, as an exception, **progress for the first quarter MIS (April-June) can be submitted by 25<sup>th</sup> July 2020.**
- If any month's progress/MIS is **not filled-up, zero progress** will be considered for that particular month before taking average of all 3 months for the quarter.
- **ULB** is expected **to maintain** the monthly progress **documents** at **ULB level only.**
- **Only limited documents** will be required **for uploading** for the verification/assessment in the month of December 2020.
- However, the **assessment agency may ask** for any other **document**, if needed during quarterly assessment. ULB will be given **48-Hours window** to upload the same – **state will also be alerted simultaneously.**
- If **satisfactory documents not given** upon requests (despite declaration), **zero marks will be given** for wrong/false declaration – agency will take a call on all such cases **in consultation with the Ministry.**
- **Quarterly on-field/on Call validation** of the progress will be undertaken for all possible indicators (identified indicator wise). **Quarterly ranking** will be after adjusting on-field validation corrections.



# Points to Remember

- Log Books/supporting documents, explaining waste processing, should be maintained at the plant only – to be provided/uploaded, if asked.
- ULB's are advised to update their MIS/City Profile on the basis of **electoral wards only – administrative wards will not be considered**. In all such cases, where electoral wards are not in place, administrative wards will be considered upon approval by MoHUA
- A **declaration** (section wise) from the **Municipal Commissioner/Executive Officers** confirming the monthly progress 'claimed' will be considered as a documentary support for **first two quarters**.
- The **declaration from Administrator** will be included if ULB has been dissolved and Administrator has been appointed by the State (wherever applicable).
- **Commercial area** in residential areas under '**Mixed-land Use**'
  - Commercial area is real estate intended for use by for-profit businesses, such as office complexes, shopping malls, service stations and restaurants.
  - Please note, number of shops (floor wise or in a row and either side or only one side of the road), as per following criteria, **in residential area shall be qualified as commercial area**



ULB's Population Category	Up to 25K	Between 25K - 50K	Between 50K - 1 Lakh	Between 1 Lakh – 3 Lakh	Above 3 Lakh
Number of Shops	10	20	50	75	100



# SWACHH SURVEKSHAN 2Q21

‘Ranking’ and ‘Award’ Categories



# SS-2021 Ranking - Population categories



## Ranking: Cities with <1 Lakh Population

### Population wise National Ranking

<1 L

3,898 ULBs

Each population category below will be divided into  
**5 Zones for Zonal Ranking**

50 K - 1 L

544 ULBs

25 - 50 K

1,011 ULBs

<25 K

2,343 ULBs

(5 Zones: North, North-East, East, South and West)

## Ranking: Cities with >1 Lakh Population

### Population wise National Ranking

1-10 L

423 ULBs

>10 L

53 ULBs

## Additional Ranking of all Ganga Towns

### Note:

- **62 Cantt. Boards** included but shall be listed separately for ranking
- All ULBs that came into existence till **31<sup>st</sup> December 2019** will be covered



# SS-2021 Awards - Population categories

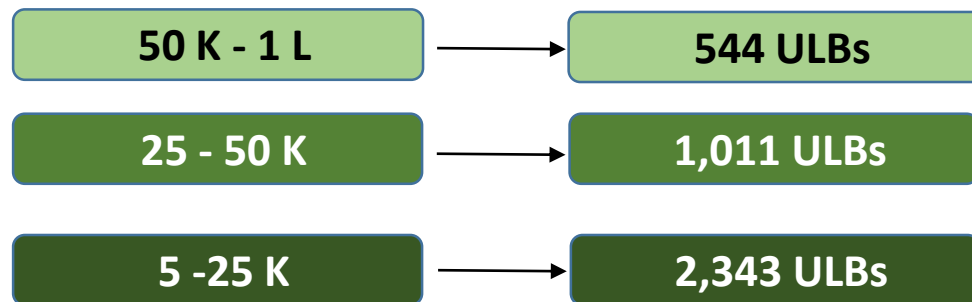


## Awards: Cities with <1 Lakh Population

### National Level Awards

1. Cleanest City – Rank No.1
2. Cleanest City – Rank No.2
3. Cleanest City – Rank No.3

Each population category below will be divided into  
**5 Zones for Zonal Awards**

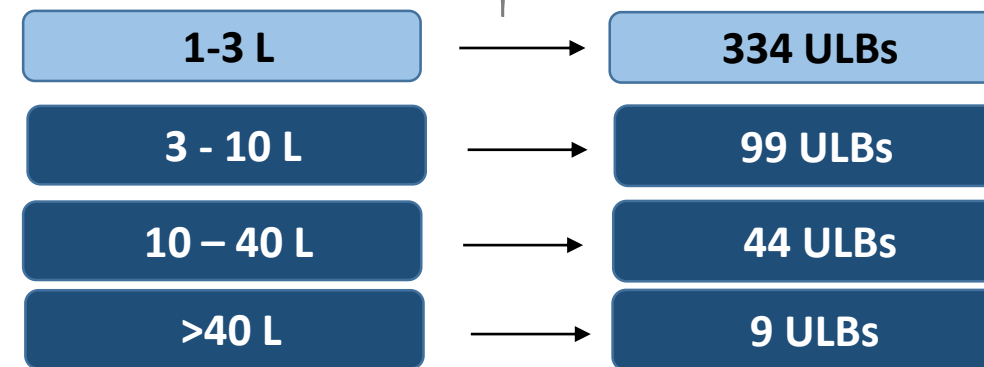


## Awards: Cities with >1 Lakh Population

### National Level Awards

1. Cleanest City – Rank No.1
2. Cleanest City – Rank No.2
3. Cleanest City – Rank No.3

### Population wise Awards



**3 Awards for Ganga Towns** : No.1 Overall - No.1 <1 L - No.1 >1 L

**Separate Awards for Cantt. Boards**



# State Ranking: Broad Performance Parameters

Two Categories: **(1) State with >100 ULBs** and **(2) States with <100 ULBs**

**30% Weightage**  
**Support from State to ULBs**

1. Funds released by Central Government to State / UT against which % of amount/funds have been released to cities *by 31<sup>st</sup> December 2020*
2. UC Pending against funds released till 31<sup>st</sup> March 2020) *by (i) 30<sup>th</sup> Sept 2020 and (ii) 31<sup>st</sup> Dec 2020*
3. Procurements through GeM Portal OR through State level dedicated procurement cell / Portal)
4. Percentage of mismatch between information/service level progress claimed by the State Vs Cities against various MIS (SWM & Sanitation indicators)
5. Whether State/ UT has correctly provided both physical and financial progress of each SBM funded projects under SWM / Sanitation
6. Whether City MIS is monthly approved by the State in timely manner (as per cut-off date

**40% Weightage**  
**GFC (30%) and ODF (10%)**

1. Garbage Free City for Star Rating - % of cities in the State are certified
  - a. 7 Star
  - b. 5 Star
  - c. 3 Star
  - d. 1 Star
2. Open Defecation Free - % of cities in the state are certified
  - a. Water Plus
  - b. ODF++
  - c. ODF+
  - d. ODF

**30% Weightage**  
**Performance in Swachh Survekshan-2121**

1. % of cities in the state falling in the new SS-2021 Awards category of -
  - a. Platinum (Divya)
  - b. Gold (Anupam)
  - c. Silver (Ujjwal)
  - d. Bronze (Udit)
  - e. Aspiring (Aarohi)



PRERAK

DAUUR

Divya Anupam Ujjwal Udit aaRohi

SAMMAN

प्रेरक दौड़ सम्मान



Ministry of Housing and Urban Affairs  
Government of India



**SS-2021**

New Performance Category  
**'Prerak DAUUR Samman'**

**प्रेरक दौड़ सम्मान**

# 'Prerak DAUUR Samman' - Key Features

- **Five new performance** categories to push the competition further
- Based on select **indicators** from **SS-2021** 'Service Level Progress'
- To be applied on **<1 Lakh** and **>1 Lakh** population cities only.
- **No separate Assessments** – based on SS-2021 results
- **All cities qualified** for each category **will be felicitated**

# New Award Category Criteria referring SS-2021 Results

Ranking Categories	Qualifying Criteria					
	Segregation of Waste (Wet, Dry & Hazardous*) <small>*mandatory for Platinum</small>	Processing Capacity against wet waste generated	Processing/ Recycling of Waste (Wet & Dry)	C&D Waste Processing	Percentage of waste going to the landfill	Current Sanitation Status (as on 31.12.2020)
<b>Platinum (Divya)</b>	>95% Wards	>91%	>91%	>50% C&D waste processed/ Reused	Upto 10%	Water+
<b>Gold (Anupam)</b>	>75% Wards	>81%	>81%	>40%	Upto 15%	ODF++
<b>Silver (Ujjwal)</b>	>55% Wards	>71%	>71%	>30%	Upto 20%	ODF+
<b>Bronze (Udit)</b>	>35% Wards	>61%	>61%	>20%	Upto 25%	ODF+
<b>Aspiring (Aarohi)</b>	>15% Wards	>50% processing capacity	>50% Processing/ Recycling	>10% processing / reuse	>25%	ODF

## Note:

1. A city will have to **meet all criteria** to qualify for the particular category **otherwise** city will have to settle for the **next best category where all criteria are met.**





सर्वकारं जनार्णे  
Ministry of Housing and Urban Affairs  
Government of India



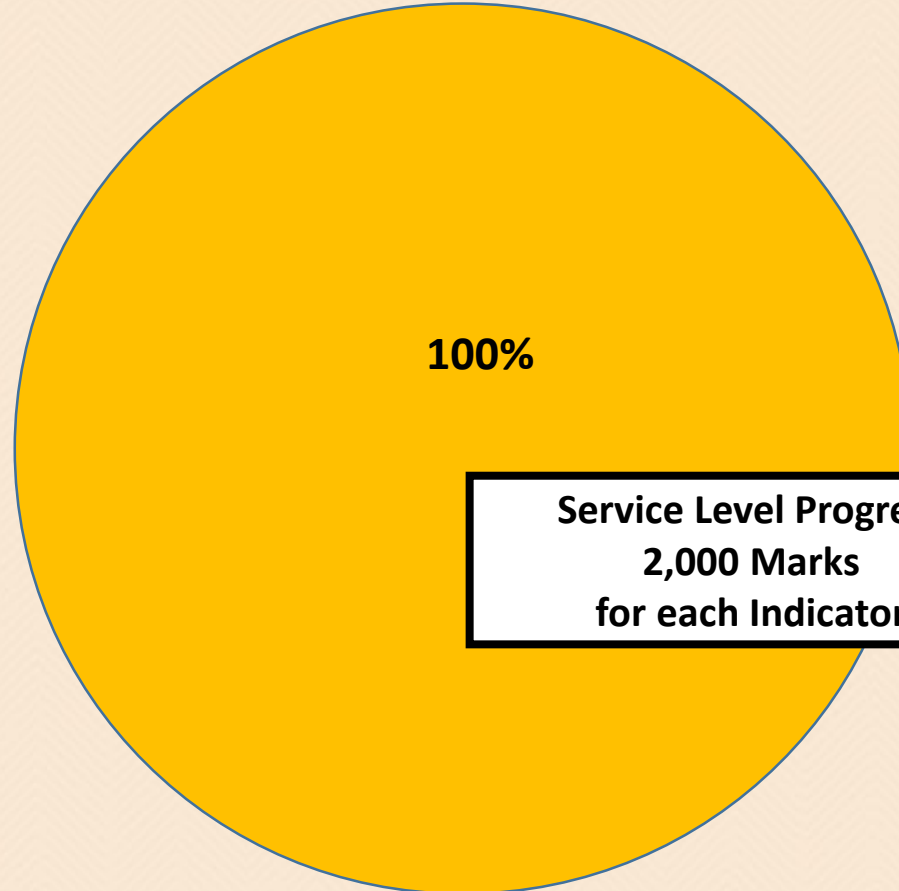
# SWACHH SURVEKSHAN

League 2Q21

Service Level Progress



# Service Level Progress Indicators

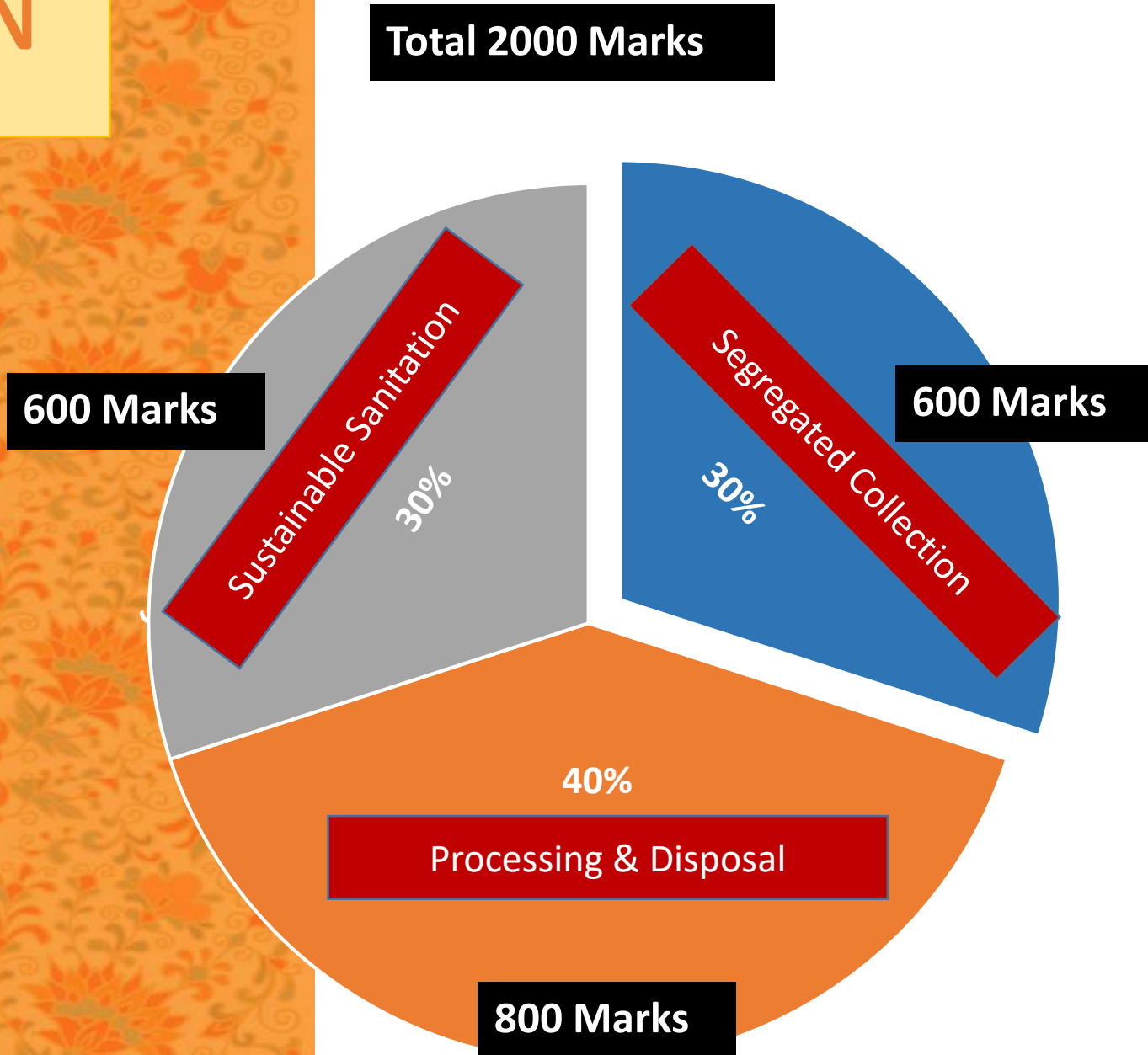


Service Level Progress  
2,000 Marks  
for each Indicator

# 1. SEGREGATED COLLECTION

**Total Number of Indicators: 7**

**600 Marks / 2,000 Marks**





1.1

**Percentage of Wards** (including households/premises/gates\*/shops/commercial units) covered with **100% Door to Door Collection** and **transportation of solid waste**. (Coverage of wards means every unit of household, commercial establishment and shops in the ward).

**Marks**  
**100**  
**(75+25)**

This parameter examines whether your ULB has a system in place for door-to-door collection of waste.



**\*Gate** means the point from where the waste collector collects the waste. For independent houses, the door will be considered as a gate whereas in residential societies, generally there is a single point from where these collectors collect their waste

**\*\* Swachh Nagar App** launched by the Ministry or any other similar app being used by the ULB. For claiming marks, number of wards covered under Door-to-Door collection must be monitored through Swachh Nagar App/Local App

Scheme of Marking	Marks
Collected in > 95% Wards	75
Collected in 80%-95 Wards	65
Collected in 65-79% Wards	55
Collected in 50-64% Wards	45
Collected in 40-49% Wards	35
Collected in 25% - 39% Wards (no marks for <25% performance)	25
<b>Extra marks for monitoring through ICT based tool**</b>	<b>25</b>
Monitoring in >75% wards claimed under door-to-door collection	25
Monitoring in 55%-75% wards claimed under door-to-door collection	20
Monitoring in 35%-54% wards claimed under door-to-door collection	15
Monitoring in 15%-24% wards claimed under door-to-door collection	10
Monitoring in 5%-14% wards claimed under door-to-door collection	5

**Note: For ULBs with <50 K population for Indicator 1.1 and 1.2 –**

- Monitoring and maintenance of daily records of segregated collection & transportation of waste in recommended data format and configuration of Swachh Nagar Portal/ Similar App with all baseline information (details of households/ premises/gates, waste Collectors, vehicles, route mapping etc.) collected for at least 1 ward (online) for at least 1 month

1.1

## Percentage of Wards (including households/premises/gates\*/shops/commercial units) covered with **100% Door to Door Collection** and transportation of solid waste

### List of supporting documents to be maintained by the ULB

1. List and details of all the wards in the ULB.
2. Ward wise list and details of all the residential areas, commercial areas and institutional areas in the ULB with the details about number of gates in each area.
3. If Door to Door collection of Garbage is outsourced, then copy of contract/MoU/Official Engagement letter; signed on or before 31st October 2020.

### MIS Data Points

- Total no. of wards
- No. of wards practicing 100% door to door collection

### Methodology for Validation

**100% samples from Citizens'**

1. Based on the sample size and population size of the city, city will be divided in required number of zones (>10L 5 zones/ 1-10L 4 zones/<1L 2 zones)
2. The assessor will randomly approach the households/Commercial units in wards claimed under door-to-door collection of solid waste
3. Question will be asked if the waste is collected daily from the house/commercial unit or gate (whichever condition applicable) and if the waste collector use some digital device to document/monitor the collection by scanning the sticker on the door/gate of the house/commercial unit or any other ICT based process
4. ICT based monitoring will further get validated by checking the data collected on-line on daily basis by the ULB
5. On the basis of response (negative/positive) received from households/commercial units, **Independent Validation Matrix (IVM)** will be applied and final marks given ). Final marks = Marks claimed – marks adjusted under independent validation (if any).



**Percentage of Wards (including households/premises/gates\*/shops/ commercial units) covered with 100% segregation at source (wet, dry, sanitary & domestic hazardous \*\*) maintained till processing/disposal facilities. (>1 Lakh population cities advised to collect segregated waste separately from households, mandi, streets/commercial areas/litter bins, hotel/restaurants, parks/horticulture waste and religious places)**

**Marks  
200  
(175+25)**

**Note: Waste collector must check that waste is segregated properly by waste generator before collection. Domestic sanitary and hazardous waste to be disposed in a separate bag and placed in separate area (bin) of vehicle. Vehicles must be properly compartmentalized. In case of collection of mixed waste from households/ premises/ gates, it should be kept separately and not mixed with segregated waste collected, till processing/disposal facilities. Mixed waste shall not be mixed with segregated waste at any point.**



Scheme of Marking	Marks
Collected segregated in > 95% Wards	175
Collected segregated in 75%-95 Wards	150
Collected segregated in 55%-74% Wards	125
Collected segregated in 35%-54% Wards	75
Collected segregated in 15%-34% Wards (no marks for <15%)	50
<b>Extra marks for monitoring through ICT based tool***</b>	<b>25</b>
Monitoring in >75% wards claimed for segregated collection	25
Monitoring in 55%-75% wards claimed for segregated collection	20
Monitoring in 35%-54% wards claimed for segregated collection	15
Monitoring in 15%-34% wards claimed for segregated collection	10
Monitoring in 5%-14% wards claimed for segregated collection	5

**\*Gate** means the point from where the waste collector collects the waste. For independent houses, the door will be considered as a gate whereas in residential societies, generally there is a single point from where these collectors collect their waste

**\*\*Sanitary waste :** Menstrual waste and diapers  
**Domestic Hazardous waste:** Discarded paint drums, pesticide cans, CFL bulbs, tube lights, expired medicines, broken mercury thermometers, used batteries, used needles and syringes and contaminated gauge, etc., generated at the household level.

**\*\*\*Swachh Nagar App** launched by the Ministry or any other similar app being used by the ULB. For claiming marks, number of wards covered under Door-to-Door collection must be monitored through Swachh Nagar App/Local App

1.2

**Percentage of Wards** (including households/premises/gates\*/shops/ commercial units) covered with **100% segregation at source (wet, dry & domestic hazardous viz. Menstrual Waste, Diapers and others\*\*)** maintained till processing/disposal facilities.

**List of supporting documents to be maintained by the ULB**

1. List and details of all the wards in the ULB.
2. Ward wise list and details of all the residential areas, commercial areas & institutional areas in the ULB with the details about number of gates in each area.
3. If Door to Door collection of Garbage is outsourced, then copy of contract/MoU/Official Engagement letter; signed on or before 31st Oct'20.

**MIS Data Points**

- Total no. of wards
- No. of wards practicing 100% source segregation

**Methodology for Validation**

**100% samples from Citizens'**

1. Based on the sample size and population size of the city, city will be divided in required number of zones (>10L 5 zones/ 1-10L 4 zones/ <1L 2 zones)
2. The assessor will randomly approach the households in wards claimed under door-to-door collection of segregated solid waste in three categories – Dry, Wet and domestic Hazardous
3. Question will be asked if waste is collected in three separate categories daily (hazardous only if applicable daily) from your house or gate (whichever condition applicable) and if the waste collector use some digital device to document/monitor the collection by scanning the sticker on the door/gate of the house
4. ICT based monitoring will further get validated by checking the data collected on-line on daily basis
5. The assessor, for Qtr-3, will also randomly check the vehicle carrying waste if any mix waste is transported from the ward.
6. On the basis of response (negative/positive) received from households, **Independent Validation Matrix (IVM)** will be applied and final marks given ). Final marks = Marks claimed – marks adjusted as per IVM



1.3

**Cleaning of Public Areas: 100% Wards are Clean and well maintained in the Urban Local Body (ULB)**

**Marks  
150**

Twice a day sweeping (including night sweeping) in all commercial and public areas, once a day sweeping in all residential areas, transformation of Garbage Vulnerable Points(GVP), and zero secondary storage bins

This parameter is to examine whether all the commercial areas and transportation hubs in the city are swept at least twice a day including festivals and Sundays (with mandatory night sweeping , elimination of GVPs ), daily sweeping in all residential wards, and city is Bin-free city.

**Scheme of Marking**

**Marks**

<p><b>1. Twice a day sweeping</b> (including night sweeping) in all *Public &amp; commercial areas roads and streets, and other relevant areas – cleanliness maintained (Y/N)</p>	<p>50</p>
<p><b>2. Once a day sweeping in all residential areas – cleanliness maintained (Y/N)</b></p>	<p>40</p>
<p><b>3. Transformation of all GVPs transformed</b></p> <p>a) All existing transformed GVPs are well maintained (Ref.SS-2020 baseline)</p> <p>b) All new GVPs identified and transformed or there is no new GVP in the city</p> <p><b>Note:</b></p> <ul style="list-style-type: none"> <li>- All GVPs are to be uploaded on the GVP portal – in public domain</li> <li>- GVPs transformed should be claimed by uploading photo(s)</li> <li>- All transformed GVPs to be monitored daily with photos for at least 10 days</li> <li>- Any complaint on SwachhataApp about a garbage dump at a particular spot, thrice a month will also qualify for a GVP</li> </ul>	<p>20 20</p>
<p><b>4. No storage bins (bin-less) in all wards (Y/N)</b></p>	<p>20</p>

\*Public & commercial areas includes market areas (Vegetable/Fruit and Meat/Fish Markets including Mandi (APMC) and weekly market), railway stations, bus stations, other transport hubs, schools, colleges, hospitals, offices, religious areas, industrial areas, institutional areas, ULB managed parking areas, ULB managed parks & gardens), roads and streets, and other relevant areas



## Cleaning of Public Area: 100% Wards are Clean and well maintained in the Urban Local Body (ULB)

1.3

Twice a day sweeping (including night sweeping) in all commercial and public areas, once a day sweeping in all residential areas, transformation of Garbage Vulnerable Points(GVP),) and zero secondary storage bins

### List of supporting documents to be maintained by the ULB

1. Ward wise staff/vehicle deployment plan for sweeping of Residential & Commercial Areas.
2. If sweeping of residential and commercial areas is outsourced, then copy of contract/MoU/Official Engagement letter; signed on or before 31st Oct'20
3. Evidence of sweeping commercial, public and residential areas as per frequency stated in the specific rating condition, in the form of activity log/ roster report/ attendance of sanitation staff
4. If work is outsourced to an external agency, the contract document which has a clause for sweeping commercial areas, public areas and residential areas and its stated frequency should be provided
5. Evidence of mechanism in place for continuous identification and monitoring of visible eyesores/garbage vulnerable spots
6. Efforts taken for Bin Less Cities (zero secondary storage) / newspaper clipping etc.

### MIS Data Points

- Total no. of residential areas
- Number of residential areas with once a day sweeping
- Total no. of commercial/public areas
- Number of commercial/public areas with twice a day sweeping (including night sweeping)
- **GVP Details to be fetched from GVP Portal**
  - Total Number of GVPs identified (after SS 2020)
  - Total Number of GVPs transformed (after SS 2020)
  - Number of existing transformed GVPs (ref. SS 2020 Baseline)
  - Number of GVPs well maintained (ref. SS 2020 Baseline)
- Zero secondary storage?

### Methodology for Validation

**Mixed Samples  
Direct Observation +  
Citizens**

(if on-call validation  
– 100% Citizens)

1. Based on the sample size and population size of the city, city will be divided in required number of zones (>10L 5/ 1-10L 4/<1L 2)
2. Sampling methodology:
  - a. Twice a day sweeping in commercial and public areas: **75% Samples from Shopkeepers/vendors + 25% Direct Observation**
  - b. Once a day sweeping in residential areas: **75% residents + 25% Direct Observation**
  - c. GVPs transformed: **80% Direct Observation + 20% citizens around the GVPs**
  - d. Zero secondary storage bins: **80% Direct Observation + 20% citizens around the GVPs**
3. On the basis of observation/responses (negative/positive) received from citizens, **Independent Validation Matrix (IVM)** will be applied and final marks given. Final marks = Marks claimed – marks adjusted as per IVM



1.4

**Benefits extended to all Sanitary workers** including **Informal Waste Pickers** i.e. workforce engaged under/through Jaagirdari system, SHG, NGO, private agency, informal waste pickers etc.

**Marks  
60**

1. **Provision of personal protection equipment (PPE)** - including uniform, fluorescent jacket, hand gloves, raincoats, appropriate foot wear and masks, to all workers handling solid/ liquid waste
2. **All Workers** have been facilitated to **link with at least three eligible government schemes** i.e, Bank A/c under Jan Dhan Yojna/Education to children/BPL Card/National Safai Karamchari Finance & Development Corporation (**NSKFDC**), Ayushman Bharat/Pradhan Mantri Awas Yojna/Accidental Insurance/Life Insurance/Ujjawala/Saubhagya/integration of NULM etc. or any other state schemes.
3. **Monthly recognition of best performing workers** (name of workers and reason for recognition to be shared)

**SWM Rules 2016** mandates provision of Personal Protective Equipment(PPE) to all workers involved in handling solid/liquid waste (*engaged under Jaagirdari, SHG, NGO, private Agency, regular/casual workers etc.*).



<b>Scheme of Marking – 100% compliance against each parameter</b>	<b>Marks</b>
1. PPE to all workers	20
2. Linkages established with at least three eligible Government Schemes	20
3. Monthly recognition of best performing workers	20



1.4

**Benefits extended to all Sanitary workers including Informal Waste Pickers** i.e. workforce *engaged under/through Jaagirdari system, SHG, NGO, private agency, informal waste pickers etc.* **1. Provision of personal protection equipment (PPE), 2. All Workers** have been facilitated to **link with at least three eligible government schemes, 3. Monthly recognition of best performing workers** (name of workers and reason for recognition to be shared)

### List of supporting documents to be maintained by the ULB

1. List of all Sanitation staff with phone number in the ULB (ULB's contractual + temporary + permanent + Third Party workers + Informal Waste Pickers)
2. List of all Sanitation staff with phone number provided with PPE
3. List of all Sanitation staff with phone number linked with 3 Govt schemes with name of schemes + type of training imparted
4. Evidence of recognition of best performing workers

### MIS Data Points

- Total No of Sanitary workers including contractual/ temporary/Third Party Workers/ Informal Waste Pickers
- No of workers provided PPE
- No of workers linked with at least three eligible government schemes
- Is monthly recognition of best performing workers done?

### Methodology for Validation

**100%  
Samples from  
Sanitary  
Workers**

1. Based on the sample size and population size of the city, city will be divided in required number of zones (>10L 5 zones/ 1-10L 4 zones/ <1L 2 zones)
2. Assessor will randomly talk to the sanitary worker to check if PPE given to him/her, if ULB has linked them with social welfare schemes (name of schemes). Further, on the basis of the list provided for workers recognized for their work, such workers will be contacted over the phone if they were recognized/awarded/felicitated on the basis of their performance.
3. On the basis of response (negative/positive) received from sanitary workers, **Independent Validation Matrix (IVM)** will be applied and final marks given ). Final marks = Marks claimed – marks adjusted as per IVM

**1.5****No visible solid waste in and zero encroachment around -**

- 1. Storm Water Drains/Nallah \***
- 2. Water bodies\*** (not limited to ponds, lakes, tanks, rivers etc.) and

*\*area under ULB jurisdiction***Marks  
100  
(65+35)**

Storm water drains/nullahs are designed to drain excess rain and ground water from impervious surfaces such as paved streets, car parks, parking lots, footpaths, sidewalks, and roofs. Storm-water drains vary in design from small residential dry wells to large municipal systems. ULBs are expected to make sure that storm water drains are not choked with solid waste for free flow of the water. Similarly, water bodies are an integral part of eco-system – need to be protected from waste with scheduled cleaning and maintenance work. Further, there should be no encroachment around water bodies and storm water drains/nullahs



<b>Scheme of Marking – Storm Water Drains/Nallahs</b>	<b>Marks 65</b>	<b>Scheme of Marking - Water Bodies</b>	<b>Marks 35</b>
100% Storm water drains/Nallah (Secondary/Tertiary) should have screens/filters at a suitable distance: <ul style="list-style-type: none"> <li>At points of discharge into other water-bodies</li> <li>For cities with more than 10 Lakh population: Automated/Mechanical screens on Secondary Nallahs for collection and cleaning of waste</li> </ul>	20	No solid waste floating/visible in 100% of area	5
No solid waste floating/visible in 100% of the areas	15	No open dumpsites present near the water bodies	5
Boundary wall around all Storm water drains/Nullah should be well maintained	10	No Garbage Vulnerable Points (GVP) present near the water bodies	5
No encroachment around storm water drains/Nullah	10	Placement and accessibility of Anti-littering messages / hoarding for citizens	5
Secondary Storm Water drains/Nallah properly covered with screens to filter solid waste	10	Adequate twin-litterbins placed in every 50 m of water bodies	5
		Sweeping and Cleaning arrangements are in place around water bodies	5
		Trash Cleaners are available to trap the solid waste floating on the water bodies	5

**Note:**

- Thrashers will only be required for water bodies exceeding certain size like - (a) >1 acre area and or (b) >30 metres width . Water bodies having lesser areas may opt for floating ropes to trap solid waste Water bodies having lesser areas may opt for floating ropes to trap solid waste.
- The clause of litter bin in every 50 of water body will be limited to the places where public pathway is there or accessible for the public.

1.5

**No visible solid waste in and zero encroachment around -**

- 1. Storm Water Drains\*** and **water bodies\*** (not limited to ponds, lakes, tanks, rivers etc.) and
  - 2. Nullahs\*** (carrying grey and black water)
- \*under ULB jurisdiction*

**List of supporting documents to be maintained by the ULB**

No documentary support required

**MIS Data Points**

- Total No of Storm Water Drains & Nullahs
  - Number of secondary/tertiary drains/nullahs which have screens at discharge points
  - Number of secondary SWDs/Nullahs properly covered with screens
  - No of Storm Water Drains & Nullahs where boundary wall is present
  - No of Storm Water Drains & Nullahs with no encroachment around
  - No of Storm Water Drains & Nullahs with zero visible solid waste
- Water Bodies
- Total No of water bodies
  - No of water bodies with open dumpsites near them
  - Number of water bodies with anti-littering messages displayed
  - Number of water bodies with sweeping & cleanliness arrangements in place

**Methodology for Validation**

**Only for Q-3**

**Mixed Samples  
Direct Observation  
+ Citizens**

1. Based on the sample size and population size of the city, city will be divided in required number of zones (>10L 5 zones/ 1-10L 4 zones/<1L 2 zones)
2. Sampling methodology:
  - a. Storm water drains and water bodies: **60% Samples from citizens + 40% Direct Observation**
  - b. Nullahs: **100% Direct Observation**
3. On the basis of observation/responses (negative/positive) received from citizens, **Independent Validation Matrix (IVM)** will be applied and final marks given ). Final marks = Marks claimed – marks adjusted as per IVM

1.6

**Ban on the use, sale and storage of non-biodegradable plastic bags/  
plastic products less than 50 microns, in compliance with Plastic  
Waste Management Rules 2016**

**Marks  
40**

Single-use plastics, or daily disposable plastics, are used only once before they are thrown away or recycled. These items include plastic bags, straws, coffee stirrers, plates, cups, glasses, spoons, strofoam used for hoardings etc.  
This indicator would assess the extent of enforcement for discouraging one time use 'Plastic' in the city.  
Considering the environmental degradation caused by one-time use plastics, cities should work towards discouraging its citizens from using single-use plastics.



Scheme of Marking	Marks
Yes, ban notified, enforced and fine collected	40
Only ban notified	10
No action taken	0

Note: Note: If Hoardings/Banners are not banned. Wall notice will be taken into consideration



1.6

## Ban on the use, sale and storage of non-biodegradable plastic bags/ plastic products less than 50 microns, in compliance with Plastic Waste Management Rules 2016

### List of supporting documents to be maintained by the ULB

1. Notification of the ULB/state banning single use plastic including <50 micron during the festivals/social gatherings/events.
2. Copy of challans that have been levied by the ULB on the Users
3. Summary sheet of total fines collected by the ULB

### MIS Data Points

Has the ULB notified publicly and enforced ban on the use, sale and storage of non-biodegradable plastic bags/ plastic products less than 50 microns, in compliance with Plastic Waste Management Rules 2016?

### Methodology for Validation

#### Mixed Samples

#### Direct

#### Observation +

#### Citizens

(if on-call validation – 100% Citizens)

1. Based on the sample size and population size of the city, city will be divided in required number of zones (>10L 5 zones/ 1-10L 4 zones/<1L 2 zones)
2. Sampling methodology - **75% Samples from Shopkeepers/vendors/citizens + 25% Direct Observation by commercial areas**
3. On the basis of observation/responses (negative/positive) received from citizens, **Independent Validation Matrix (IVM)** will be applied and final marks given ). Final marks = Marks claimed – marks adjusted as per IVM

**3R Principles: Whether initiatives taken in 2019 still working or new initiative taken to reduce generation of Dry/Wet Waste? If yes, share details**

**Marks  
50  
(30+20)**

This indicator would assess the ULB's efforts to reduce waste generated by household/commercial/industrial establishments in the city and should adopt the 3R principles. The focus should be on reducing\* the amount of waste which is finally transported to the processing/disposal site or processed through on-site composting. **Initiatives taken in 2019 will be validated from citizens if those initiatives are still in practice at the time of validation. New initiatives to be taken in the first quarter may be exempted and marks will be given as per 'not applicable' criteria.**

## Few Examples



## Scheme of Marking

## Marks

Yes, any 5 initiatives taken in 2019 still working	30
Yes, any 4 initiatives taken in 2019 still working	25
Yes, any 3 initiatives taken in 2019 still working	15
Yes, any 2 initiatives taken in 2019 still working	10
Yes, any 1 initiative taken in 2019 still working	5

## New Initiatives taken in 2020

## Marks

Yes, 3 new initiatives taken	20
Yes, 2 new initiatives taken	15
Yes, 1 New initiative taken	10

Artefacts from Waste

Bring Plastic Waste!

And get a delicious full meal absolutely free!



### 3R Principles: Whether initiatives taken in 2019 still working or new initiative taken to reduce generation of Dry/Wet Waste? If yes, share details

#### List of supporting documents to be maintained by the ULB

1. List of the initiatives taken by the ULB to reduce generation of the Dry/Wet waste.
2. Photographs of the events with date stamp or campaigns conducted with date in the ULB for each initiative. Photographs should be available for 5 different initiatives for maximum marks.

#### MIS Data Points

- No of initiatives taken in 2019 which are still sustaining
- No of new initiatives taken in 2020

#### Methodology for Validation

**Mixed Samples**  
**Direct Observation**  
**+ Citizens**  
 (if on-call validation – 100% Citizens)

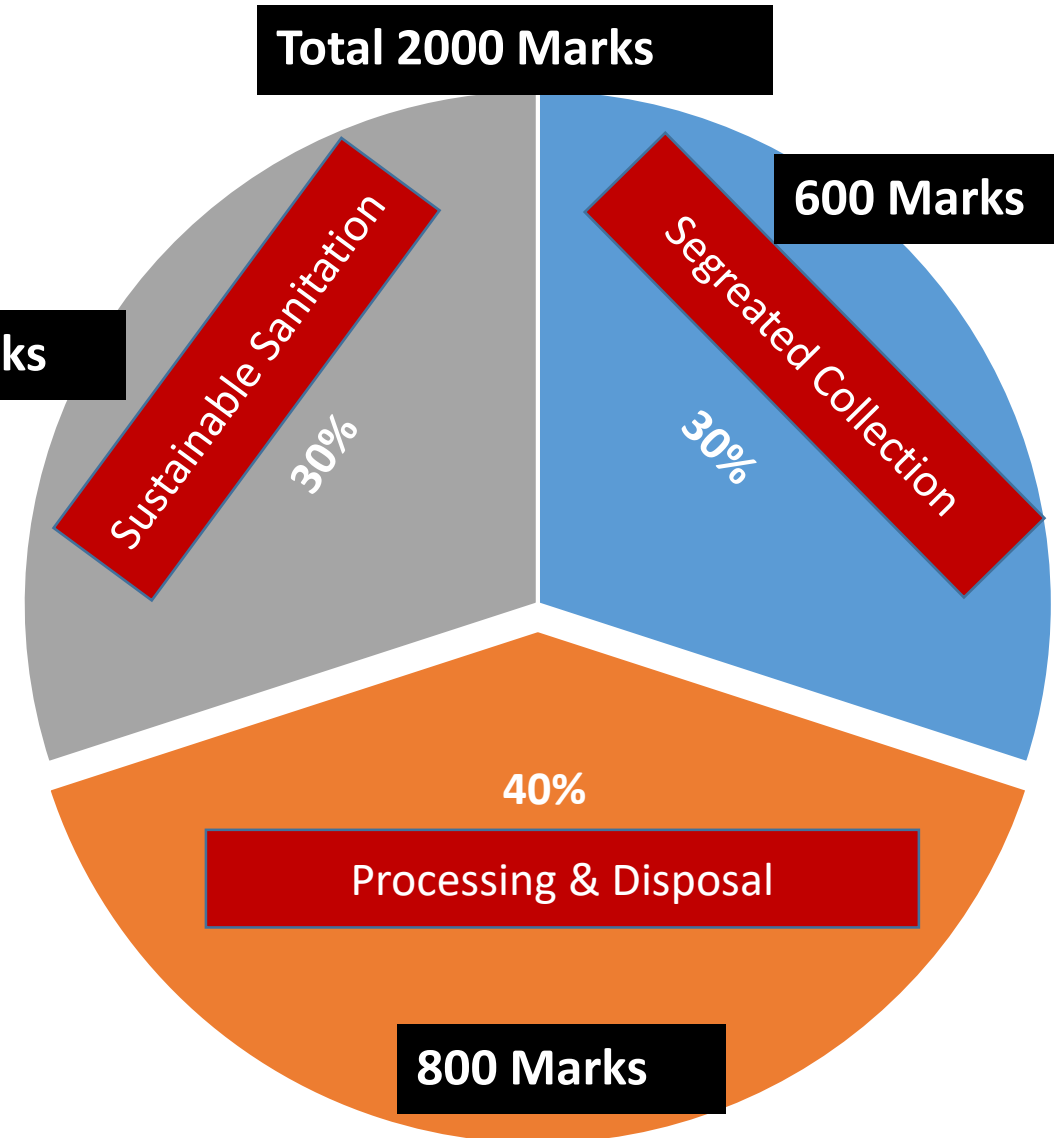
1. Based on the sample size and population size of the city, city will be divided in required number of zones (>10L 5/ 1-10L 4/<1L 2)
2. Sampling methodology – **60% Samples from citizens + 40% Direct Observation** by visiting areas where such initiatives taken
3. On the basis of observation/responses (negative/positive) received from citizens, **Independent Validation Matrix (IVM)** will be applied and final marks given ). Final marks = Marks claimed – marks adjusted as per IVM



## 2. PROCESSING AND DISPOSAL

Total Number of Indicators: 13

800 Marks / 2,000 Marks



# 2.1

## Percentage of Wet waste processing capacity of functional plants (out of the total wet waste collected)

**Marks  
100**

The indicator would assess whether a city has adequate facility/infrastructure to process the wet waste collected. City will provide the actual waste collection figure where door to door collection is in place.



Scheme of Marking	Marks
Between 91- 100%	100
Between 81- 90%	80
Between 71 - 80%	60
Between 61 -70%	40
Between 51 - 60%	20
Between 40 – 50%	10



## Percentage of wet waste being processed (out of total wet waste collected)

This indicator assesses the extent of decentralized and centralized management/processing of wet waste collected. The amount of wet waste being sent to the landfill should be minimized.



Scheme of Marking	Marks
Processed between 91- 100%	100
Between 81- 90%	80
Between 71 - 80%	60
Between 61 -70%	40
Between 51 - 60%	20
Between 41 – 50%	10
Between 30 – 40-%	5



**2.1**

Percentage of Wet waste processing capacity of functional plants (out of the total wet waste collectable)

**&****2.2**Percentage of **wet waste being processed (out of total collectable wet waste)****List of supporting documents to be maintained by the ULB**

- SWM DPR/Swachh City Plan/Calculation sheet for daily Wet Waste generation of the City/ ULB.
- Processing Facility logbook record showing daily waste received and processed for the month of October (Optional), November (Mandatory) & December (Mandatory) for each facility. (This should be accompanied with a summary sheet).
- Logbook of each of the above claimed Wet waste processing plant, where ULB's wet waste is processed.
- Logbook is to be submitted for the month of October (Optional), November (Mandatory) & December (Mandatory). (This should be accompanied with a summary sheet)."

**MIS Data Points**

- Total Wet Waste Collected in the month (Tonnes)
- Total Wet Waste Processing Capacity in the month (Tonnes)
- Total Wet Waste Treated in the month (Tonnes)

**Methodology for Validation Only for Q-3****Plant(s)/ Processing facilities to be visit by the Assessor(s)**

1. On the basis of the list of the processing facilities/plants updated by the ULB in the MIS, the assessor will visit all plants with >5MT capacity and 25% processing facilities with <5MT capacity.
2. To ascertain the progress, the assessor will also interact with the officials in the plant. The assessor will ask for the logbook capturing at least last 3 month's record and electricity bill to verify the functionality of the facility
3. He will also check if the waste remain segregated at the time of arrival at the plant
4. He will also check the output/sent to dumpsite (including process rejects) on the basis of the input received (10% variation acceptable)
5. On the basis of observation and verification of log book/electricity bills Senior assessors at the back end will arrive at the efficiency level of the plant(s) and indicator wise marks will be given. The agency may further seek clarification from the ULB by asking documents maintained by the ULB.
6. In case of compost produced, sale receipts required /used by the horticulture department / free distribution is not encouraged



## 2.3

Whether **capacity** of **dry waste processing facility/facilities** in the city is matching with the total **dry waste collected in the city?**

**Marks**  
**60**

The indicator would assess whether a city has adequate facility/infrastructure to process the total dry waste collected.



Scheme of Marking	Marks
Between 91- 100%	60
Between 81- 90%	50
Between 71 - 80%	40
Between 61 -70%	30
Between 51 - 60%	20
Between 41 – 50%	10



# 2.4

**Dry waste being processed out of total dry waste collected (excluding domestic hazardous waste) through MRF, RDF or Waste To Energy plants etc.**

**Marks  
75**

This indicator assesses the extent of decentralized and centralized management of dry waste collected. Is the dry waste of the city being recycled or reused? Dry waste sold to cement plants, used for road construction sent and other use of non-recyclable dry waste should be explained. **ULBs need to ensure that in MRFs – (a) Dry Waste is further segregated (b) Recyclables are sold to recyclers or scrap dealers, and (c) Records are maintained for quantity of waste received, segregated, recycled/ processed, sold, disposed at landfill and revenue generated by sale of recyclables**



Scheme of Marking	Marks
Processed between 91- 100%	75
Between 81- 90%	65
Between 71 - 80%	55
Between 61 -70%	45
Between 51 - 60%	35
Between 41 – 50%	25
Between 30 – 40%	15



2.5

Percentage of total domestic hazardous waste (**mensural waste and baby/adult diapers and others\***) collected (either collected separately at source or received from MRF Centre) is treated, either by ULB or through third party managing bio-medical waste. Hazardous waste from Hospitals, Nursing homes/clinics/Labs etc. **not considered**.

Marks  
60



Scheme of Marking	Marks
Processed between 91- 100%	60
Between 81- 90%	55
Between 71 - 80%	50
Between 61 -70%	45
Between 51 - 60%	40
Between 41 – 50%	35
Between 30 – 40%	20

*\*Discarded paint drums, pesticide cans, CFL bulbs, tube lights, expired medicines, broken mercury thermometers, used batteries, used needles and syringes and contaminated gauge, etc., generated at the household level.*



2.3

Whether **capacity of dry waste processing facility/facilities** in the city is matching with the total dry waste collected in the city?

2.4

**Dry waste being processed** out of total dry waste collected (**excluding** domestic hazardous waste) through MRF, RDF or Waste To Energy plants etc.

2.5

&

Percentage of total **domestic hazardous waste** collected is **treated**, either by ULB or through third party managing bio-medical waste

**List of supporting documents to be maintained by the ULB**

- SWM DPR/Swachh City Plan/Calculation sheet for daily dry Waste generation of the City/ ULB.
- Processing Facility logbook record showing daily waste received and processed for each month and for each facility. (This should be accompanied with a summary sheet).

**MIS Data Points**

- Total Dry Waste Collected of the City in the month (Tonnes)
- Total Dry Waste Processing Capacity (Tonnes) (excluding domestic hazardous waste) through MRF, RDF or Waste To Energy plants etc.
- Total Dry Waste Treated in the month (Tonnes)
- Total Domestic Hazardous waste Collected in the month
- Total Domestic Hazardous waste treated in the month (mensural waste and baby/adult diapers and others)

**Methodology for Validation**  
**Only for Q-3**

**100% Direct Observation**

1. The assessor will visit all plant(s)/processing facilities updated in the MIS.
2. To ascertain the progress, the assessor will also interact with the officials in the plant
3. The assessor will ask for the log-book capturing at least last 3 month's record and electricity bill to verify the functionality of the facility. The assessor will also see if any hazardous waste is dumped/stored within the facility – should be treated separately.
4. He will also check if the waste remain segregated at the time of arrival at the plant
5. On the basis of observation and verification of log book/electricity bills Senior assessors at the back end will arrive at the efficiency level of the plant(s) and indicator wise marks will be given.

Any mechanism in place to collect and process/re-use Construction & Demolition (C&D) waste as per C&D Waste Management Rule, 2016?

For C&D Waste, Bulk Generators are that generate >=20 Tonnes/day or 300 tonnes/month per project, other generators are considered non-bulk generators

**Section-A:** Facilitation of collection, storage and segregation of C&D waste - 'X' percent of C&D waste generated is stored, segregated in a designated area or space allotted by appropriate authorities and/or in C&D recycling plant.



Scheme of Marking	Total Marks
<b>Mobile collection unit</b> (on call basis facility and weekly schedule) available <b>along with designated collection points</b> within reasonable distance for generator to bring and deposit	15
Notification of charges (including in-built charges at the time of permission for construction) for Collection & Transportation and Processing & Disposal of C&D Waste notified and enforced	15
All C&D Waste collected from Bulk/Non-Generators are <b>segregated</b> in the following five categories: <b>Concrete, soil, steel, wood &amp; plastics, bricks&amp; mortar</b> at designated collection points	20

**Section-B:** Provisions made for use raw C&D waste in municipal/ government/ municipality approved construction activities in nonstructural applications or used by private agency: lower layers of road pavements, inner colony roads, filling of plinth and basement etc. **And / OR**  
 Provisions made for use of material made out of C&D Waste in municipal and/or government construction activity (if available) or used by private agency in kerb stones, structural concrete as manufactured aggregate, paving blocks, bricks etc. (ULBs in <1 L population category, if re-use the raw material will be sufficient provided sale receipts available)

Processing and selling of C&D waste collected from <b>non-bulk</b> and <b>bulk generators</b> (within city or at a cluster level)	Total Marks
<b>&gt;50%</b> C&D waste either processed in the facility by making products or raw-material re-used – <b>sold (with sale receipt)</b>	50
<b>40% -50%</b> C&D waste either processed in the facility by making products or raw-material re-used – <b>sold (with sale receipt)</b>	40
<b>30% -39%</b> C&D waste either processed in the facility by making products or raw-material re-used – <b>sold (with sale receipt)</b>	30
<b>20% -29%</b> C&D waste either processed in the facility by making products or raw-material re-used – <b>sold (with sale receipt)</b>	20
<b>10% -19%</b> C&D waste either processed in the facility by making products or raw-material re-used – <b>sold (with sale receipt)</b>	10
<b>&lt;10%</b> C&D waste either processed in the facility by making products or raw-material re-used – <b>sold (with sale receipt)</b>	0

- Note:
1. Processing plant must for >10 Lakh population cities
  2. Processing will also cover C&D waste re-used for non-constructional applications – filling of plinth and basement etc,

## Any mechanism in place to **collect** and **process/re-use Construction & Demolition (C&D) waste** as per **C&D Waste Management Rule, 2016?**

### List of supporting documents to be maintained by the ULB

- Copy of Public Notification by the ULB for C&D waste management within the ULB.
- Details of vehicles in place for management of C&D waste.
- Summary of User Charges and fines collected for C&D Waste Management.
- List and details regarding the C&D Waste collection centers & land for C&D waste processing plants
- Sale receipt for C&D Waste Material used/processed

### Methodology for Validation Only for Q-3

**100% Direct Observation**

1. The assessor will visit collections points and all plant(s)/processing facilities updated in the MIS.
2. To ascertain the progress, the assessor will also interact with the officials in the plant
3. The assessor will ask for the log-book capturing at least last 3 month's record and electricity bill to verify the functionality of the facility.
4. On the basis of observation and verification of log book/electricity bills Senior assessors at the back end will arrive at the efficiency level of the plant(s) and sub-indicator wise marks will be given.

### MIS Data Points

- Is on-call collection facility and/or weekly collection schedule available?
- Has the ULB notified and enforced charges for Collection & Transportation, Processing & Disposal of C&D Waste?
- Are all Bulk Generators managing and processing their C&D waste on their own as per Construction and Demolition Waste Management Rules 2016? (Segregation to be ensured in the following five categories: Concrete, soil, steel, wood & plastics, bricks & mortar)?

#### Additional fields for Section-B

- Quantity of C&D Waste collected from Bulk Generators (Tonnes) who are sending their waste to other facilities
- Quantity of C&D Waste collected from Non Bulk C&D Generators (Tonnes)
- Quantity of C&D Waste collected/ RECEIVED from ULB operations (Tonnes)
- Total C&D Waste collected (Tonnes) (Auto Sum of above three)
- Quantity of raw C&D Waste used in municipal/ government/ municipality approved construction activities in nonstructural applications: lower layers of road pavements, inner colony roads, filling of plinth and basement etc (Tonnes).
- Quantity of material made out of C&D Waste in municipal and/or government construction activity (if available) in kerb stones, structural concrete as manufactured aggregate, paving blocks, bricks etc (TPD).
- Quantity of material used/sold out of total C&D Waste material made in all facilities in municipal and/or government construction activity (if available) in kerb stones, structural concrete as manufactured aggregate, paving blocks, bricks etc (TPD).
- Quantity of C&D Waste stored, segregated, processed and recycled, by bulk & non-bulk generators (TPD) Segregation should be in the following five categories: Concrete, soil, steel, wood & plastics, bricks & mortar
- Quantity of C&D Waste processed in facility (Tons)



**2.7****Percentage of collectable waste (process rejects/unprocessed) going to the landfill****Marks  
75**

City has to make sure that waste once collected should be processed. Only process rejects should go to the landfill

**Scheme of Marking****Marks**

Upto 10% including process rejects if any

75

11% - 15%

65

16% - 20%

55

21% - 25%

45

26% - 30%

35

&gt;30%

0

**List of supporting documents to be maintained by the ULB**

- Logbook record showing daily waste received and processed for the month of October (Optional), November (Mandatory) & December (Mandatory) for each facility. (This should be accompanied with a summary sheet).
- Logbook of each of the above claimed landfill, where ULB's wet waste is disposed.
- Logbook is to be submitted for the month of October (Optional), November (Mandatory) & December (Mandatory). (This should be accompanied with a summary sheet)."

**MIS Data Points**

- Amount of unprocessed waste being sent to the Scientific landfill/Dumpsites in this month(Tonnes)
- Amount of process rejects being sent to the Scientific landfill/Dumpsites in this month(Tonnes)

**Methodology for Validation**  
**Only for Q-3****100% Direct Observation**

1. The assessor will visit the landfill site(s) as updated in the MIS.
2. To ascertain the progress, the assessor will also interact with the officials in the plant
3. The assessor will ask for the log-book/register capturing at least last 3 month's record to check the daily entry of the trucks (with waste load) entered inside the site
4. He will report the documents seen with pictures of the documents verified to the senior assessor at the back-end.
5. The senior assessor will also derive the total waste generated Vs processed in the city and try to reconcile the waste sent daily to the landfill



**2.8**

## Is the landfill in the city a **sanitary landfill?** Or **landfill not required/ Zero landfill city**

**Marks**  
**30****WHY**

This parameter assesses whether the landfill site of the ULB is scientific/ planned in nature or in accordance with SWM 2016 rules. Simple landfill will be considered as another category under the landfill site and will not qualify as sanitary landfill.



Scheme of Marking	Marks
Sanitary landfill available and being used / Landfill not required	30
Sanitary landfill under construction	20
Agreement for construction done but work not commenced	10
Tenders called for construction of sanitary landfill site	5
No process started	0

Is the landfill in the city a **sanitary landfill**?  
Or **landfill not required/ Zero landfill city**

**List of supporting documents to be maintained by the ULB**

- If Sanitary Landfill is operational, Evidence required are mentioned in the SLP Manual.
- If Sanitary Landfill is under construction, Evidence required are mentioned in the SLP Manual
- If Agreement for Construction done but work not commenced, Evidence required are mentioned in the SLP Manual.
- If Tenders called for construction of Sanitary Landfill site, details regarding evidence required are mentioned in the SLP Manual.
- If ULB claims to have a zero landfill model, detailed report is to be submitted

**MIS Data Points**

- Is landfill required in the city?
- If yes- Is the landfill a sanitary landfill?
- Status of Sanitary Landfill
  - Under Construction
  - Agreement for construction done but work not commenced
  - Tenders called for construction of sanitary landfill site
  - No process started

**Methodology for Validation**

**Only for Q-3**

**100% Direct Observation**

The assessor will visit the landfill site(s) to check if the landfill is a sanitary landfill and no unprocessed waste is being dumped

## Remediation of all identified dumpsites no legacy waste (dumpsite)/Zero landfill city

In case of no existing/old dumpsites (within the city limits) and not dumping waste in shared dumpsites/dumpsites outside city limits, this criteria will not be applicable and considered as 100% work has been completed. However, if old dumpsite is outside city limits, then the city that contributed majority of waste in the dumpsite shall be responsible for its remediation.



Scheme of Marking	Marks
>95% of the total waste* remediated or no dumpsite/legacy waste	60
80 – 95% waste* remediated	50
60 – 79% waste* remediated	40
40 – 59% waste* remediated	30
20 -39% waste* remediated	20
10 – 19% waste* remediated	10

*Note:*

*\*Cumulative Waste in all total dumpsites in the city*

## List of supporting documents to be maintained by the ULB

- Survey report for identification of dumpsites within the ULB
- Details of Remediation sites within ULB and completion status of remediation
- If work awarded/Agreement signed, then provide the copy of agreement with the details mentioned in the SLP Manual.
- If Tenders have been called, then provide the copy of agreement with the details mentioned in the SLP Manual.

## MIS Data Points

- Total waste available for remediation at all the dumpsites in this month (tonnes)
- Total waste remediated at all the dumpsites in this month (tonnes)

## Methodology for Validation

**Only for Q-3****100% Direct  
Observation**

The assessor will visit the legacy dumpsite(s) in the city and check whether remediation work has started/completed as per the claim made by the city in the MIS.



**On-site wet waste processing by non-bulk waste generators -**

Percentage of waste generators (excluding BWGs, RWAs) shall have on-site wet waste processing facility (composting/bio-methanation). This may include individual homes (not part of RWAs), commercial and other waste generators.

IEC campaign supported by proper handholding will help citizens to opt for on-site processing, thus taking ownership of their wet waste.

**Proposed SOP for technical support by the ULB for on-site waste processing, covers -**

- Creation of ward-level whatsapp group – one active ULB staff should be part of this group to address the concerns, resolve issue, share his/her schedule of visits etc.
- Details of residents practicing on-site processing
- List of all facilities provided by the ULB
- At least once-in-a-month visit report by ULB staff
- To ensure suitable mechanism for provision of bio-culture/dry leaves/coco pit and other necessary equipment to facilitate home composting
- Provide composters on payment basis or set-up mart for home composting or any other

**Scheme of Marking****Marks**

>10% of the waste generator	30
7-10%	25
3-6%	20
1-2%	15
<1%	0





## 2.10

### On-site wet waste processing by non-bulk waste generators -

Percentage of waste generators (excluding BWGs, RWAs) shall have on-site wet waste processing facility (composting/bio-methanation). This may include individual homes (not part of RWAs), commercial and other waste generators.

#### List of supporting documents to be maintained by the ULB

- List of HHs/shops/other waste generators along with details of processing - highlighting those doing on-site wet waste processing

#### MIS Data Points

- Total number of Waste Generators in the city
- No of Waste Generators processing waste on-site

#### Methodology for Validation

Only for Q-3

100% Direct Observation

1. On-field assessor will randomly visit the households/vendors in wards claimed under on-site processing of wet waste – sample size will follow as per the population.
2. Question will be asked and personally observed if on-site processing being practiced
3. On the basis of on-field verification, **Independent Validation Matrix (IVM)** will be applied and final marks given). Final marks = Marks claimed – marks adjusted as per IVM

**Bulk Waste Generators (i) doing onsite processing** of wet waste generated, including kitchen and garden waste or organic waste or getting wet waste collected and processed by private parties authorized by ULB. (ii) Handing over **segregated dry waste to authorized waste pickers** or waste collectors.

- A BWG will be considered as one that generates more than 100 kg of total waste per day (or as defined by ULB/state) for more than 15 days a month
- Community Hall/Function Hall/Marriage Hall/Public gathering waste generators shall be considered as BWG if the holding capacity is more than 200 pax



Scheme of Marking	Marks
>95% BWG practicing on-site processing	45
80-95 %	35
60-79%	25
40-59%	15
20-39%	5

### Note:

1. ULBs in <1 lakh population cities are allowed to process the waste of Bulk Waste Generators provided all Bulk Waste Generators are identified and commercial rates are charged
2. If city's population is >1 Lakh, ask BWGs for on-site processing or outsource processing to private operators

## 2.11

**Bulk Waste Generators (BWG)** (i) doing **onsite processing** of wet waste generated, including kitchen and garden waste or organic waste or getting wet waste collected and processed by private parties authorized by ULB. (ii) Handing over **segregated dry waste to authorized waste pickers** or waste collectors.

### List of supporting documents to be maintained by the ULB

- Details of all existing BWG's within the ULB (including RWAs generating more than 100kgs/per day)
- Any establishment/ community generating more than 100kgs of waste per day is a BWG"
- Public Notification/ Letter issued to all existing BWG's within the ULB for practicing on-site processing of wet waste.
- Evidence to support on-site processing of Organic waste being practiced by above BWG's.
- Confirmation/acknowledgement letter from the Bulk Garbage Generators that they are practicing on-site processing of their wet waste

### MIS Data Points

- Total number of Bulk Waste Generators in the city
- No of Bulk Waste Generators processing waste on-site

### Methodology for Validation

**Only for Q-3**

**100% Direct Observation**

1. On-field assessor will randomly visit the households/vendors in wards claimed under on-site processing of wet waste – sample size will follow as per the population.
2. Question will be asked and personally observed if on-site processing being practiced
3. On the basis of on-field verification, **Independent Validation Matrix (IVM)** in slide **number 68** will be applied and final marks given). Final marks = Marks claimed – marks adjusted as per IVM

2.12

What percentage of the **operational cost** of Solid Waste Management covering 'collection & transportation of waste' is covered by **ONLY USER CHARGES** (for SWM related services) collected directly or user charges collected through Property Tax, ( SWM sub head)?

Marks  
35

Expenses related to waste processing & disposal and sweeping of public/commercial areas are covered. Salary expenses to Daily wagers, contractual or outsourced staff through service providers( against vacant posts) will be added along with cost

To assess extent of cost recovery in solid waste management services



**Note:**

City should either maintain a detailed statement or Chartered Accountant's certificate to support their claim.

Scheme of Marking	Marks
100% of the cost	35
80% – 95% of the cost	30
60% – 79% of the cost	25
40% – 59% of the cost	20
20% - 39% of the cost	15
<20% of the cost	0



## 2.12

What percentage of the **operational cost** of Solid Waste Management is covered by **ONLY USER CHARGES** (for SWM related services) **collected directly** or **user charges collected through Property Tax**, ( SWM sub head)? .....

### List of supporting documents to be maintained by the ULB

- Summary sheet showing revenue collected in FY
- Summary sheet showing list of Sanitation and Solid Waste Management particulars where Operational Cost has been incurred in FY

### MIS Data Points

- Total amount of User charges collected directly or through Property Tax under SWM (In rupees)
- Total Operational Cost of SWM (In rupees)

Will not be covered under validation

Capacity Building of -

1. Sanitation workers managing solid and liquid waste (including Informal Waste Pickers)
2. ULB staff (Above Sanitary Inspector and Below Municipal Commissioner/EO)

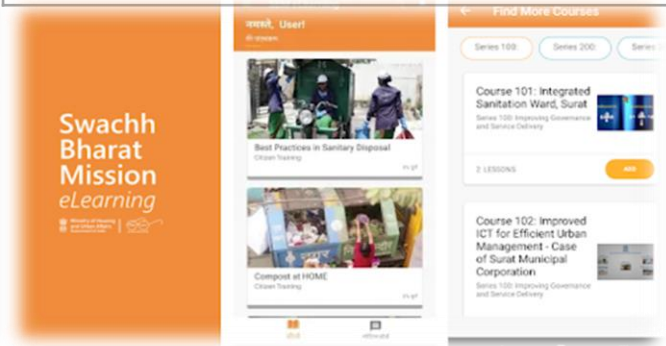


Training given in the operational areas of **Sanitation Workers'** duties viz. source segregation, composting etc. through workshops – **in each quarter**

Scheme of Ranking	Marks
100% of the <b>Sanitation Workers</b> trained	15
75 – 99% of the <b>Sanitation Workers</b> trained	10
50 – 79% of the <b>Sanitation Workers</b> trained	5
<50% of the <b>Sanitation Workers</b> trained	0

**eLearning Platform** – Number of certifications undergone by **ULB staff** on the e-courses platform on SBM portal – **in each quarter**

Scheme of Ranking	Marks
100% staff completed at least 3 courses	15
75 – 99% staff completed at least 3 courses	10
50 – 74% staff completed at least 3 courses	5
<50% staff completed at least 3 courses	0



**Note:**

1. **For the first quarter**, marks received under **training through e-Learning platform** will be applied on training of sanitation workers indicator. For the first quarter, training performance can be achieved by 25<sup>th</sup> July 2020 - existing certificates will be accepted.
2. Under this Indicator only quarterly performance will be evaluated – average monthly performance criteria will not be applied

## 2.13

### Capacity Building of -

1. Sanitation workers managing solid and liquid waste (including Informal Waste Pickers)
2. ULB staff (Above Sanitary Inspector and Below Municipal Commissioner/EO)

#### List of supporting documents to be maintained by the ULB

- List of ULB Staff
- List of Sanitation workers
- Details of exposure visits/workshops attended

#### MIS Data Points

- Total ULB staff
  - Total Number of Sanitation Workers (including Informal Waste Pickers)
  - No of workers trained in operational areas of Sanitation Workers' duties such as segregation, composting etc, through workshops
- From E-Learning Platform**
- No of ULB staff which completed at least 3 courses on the e-courses platform

#### Methodology for Validation

100% On Call

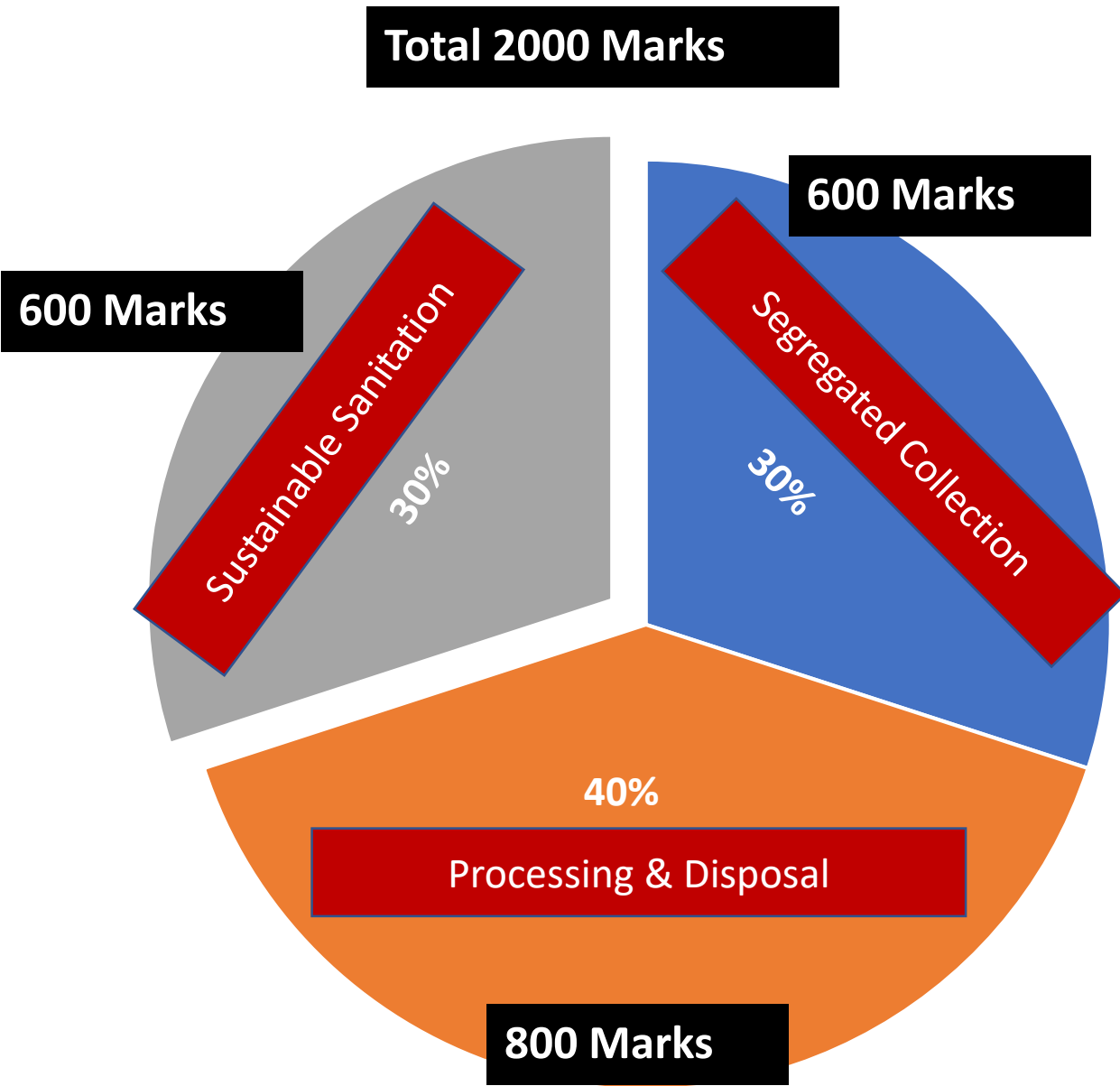
1. Assessment agency will randomly call the people shown in the list of the participants who attended training/workshops/gone for exposure visits
2. Question will be asked to ascertain whether they attended the training as claimed by the city
3. On the basis of response from the list, **Independent Validation Matrix (IVM)** will be applied and final marks given). Final marks = Marks claimed – marks adjusted as per IVM
4. Training undertaken through e-Learning portal, data will be shared by the MoHUA



# SUSTAINABLE 3. SANITATION

Total Number of Indicators: 5

600 Marks / 2,000 Marks





# 3.1

What percentage of Households, Commercial Institutions, Establishments and Public area CTs/PTs are connected to a closed system such as sewerage, septic tank + soak pit, twin-pit system etc. (no open system/connection/flow/discharge)

**Marks**  
**75**

This indicator will ascertain whether the city has adequate coverage of sewerage network or septic tanks



### Scheme of Marking

### Marks

>95 % households/commercial establishment /CT&PT are connected to sewerage system or have septic tanks + Soak Pit+without Soak Pit	75
80-94% households/commercial establishment / CT & PT with Sewerage/Septic tank/Soak Pit/without Soak Pit	65
55-79% households/commercial establishment / CT & PT with Sewerage/Septic tank/Soak Pit/without Soak Pit	55
40 – 54% households/commercial establishment / CT & PT with Sewerage/Septic tank/Soak Pit/without Soak Pit	30
< 40% households/commercial establishment / CT & PT with Sewerage/Septic tank/Soak Pit/without Soak Pit <b>OR</b> no data available	0

Note: City to also confirm if areas where households are not connected to a closed system having sewerage system in place

### 3.1

What percentage of Households, Commercial Institutions, Establishments and Public area CTs/PTs are connected to a closed system such as sewerage, septic tank + soak pit, twin-pit system etc. (no open system/connection/flow/discharge)

#### List of supporting documents to be maintained by the ULB

- Evidence for Sewerage network layout establishing linkage within Residential areas (Mapping of Household toilets & CT's) and Commercial areas (Mapping of Commercial toilets & PTs)

#### MIS Data Points

- Total No of Households, Commercial Institutions, Establishments and Public area CTs/PTs
- No of Households, Commercial Institutions, Establishments and Public area CTs/PTs connected to a closed system such as sewerage, septic tank+ soak pit, twin-pit system etc. (no open system/connection/flow/discharge)“
- Amongst both sewerred and non-sewerred areas, Sum of Number of HHs/Commercial Institutions/Establishments & CT/PTs ( connected to Sewer Network + connected to Septic Tank With Soak Pits + connected to Septic Tanks without Soak Pit + connected to Twin Pit)
- Total Households, Commercial Institutions, Establishments and Public area CTs/PTs

#### Methodology for Validation Only for Q-3

100% Direct Observation

1. The on-field assessor will randomly visit the different parts of the city, as per coverage claimed, to check if there is any open discharge
2. On the field observation, **Independent Validation Matrix (IVM)** will be applied and final marks given).  
Final marks = Marks claimed – marks adjusted as per IVM

# 3.2

Whether **capacity\*** of FSTP /STP in the city is matching with the total faecal sludge/**sewage** which is **collected/generated** in the city?

**Marks**  
**100**

\* Capacity under cluster approach will be considered provided the distance upto 50 km from the city boundary

This indicator would assess whether the infrastructure to treat entire faecal sludge/**sewage** generated in the city is available or on cluster basis (within 10-50 km)



Scheme of Marking	Marks
>95% capacity matching with total faecal sludge generated	100
Between 75% -95%	80
Between 50% - 74%	60
Between 30% – 49%	40
<30% but not zero	20

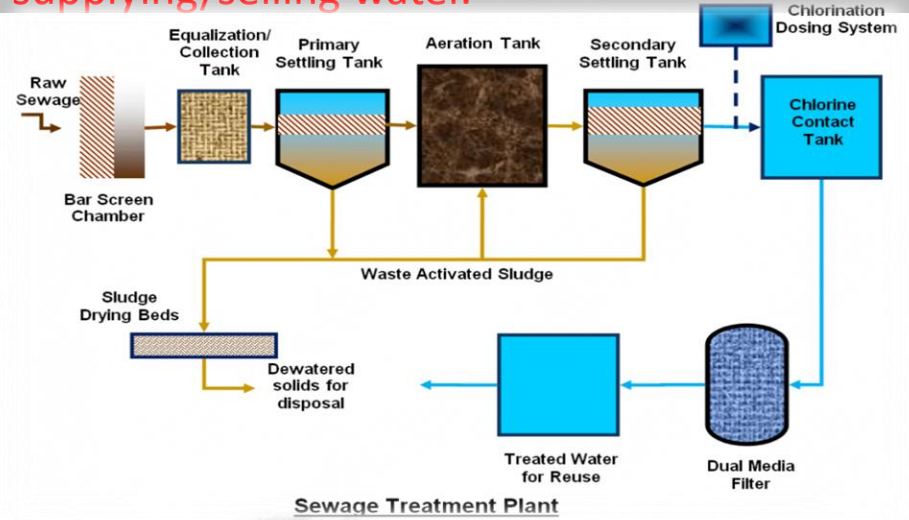


# 3.3

**Marks**  
**175**  
**(130+45)**

What percentage of faecal sludge **collected or sewage generated** from Households/Commercial Establishments/ CTs/PTs is **treated** at FSTP/STP - Scientific processing of faecal **sludge/sewage** - Whether **treated wastewater** from STP/FSTP **reused/recycled**?

This indicator will ascertain whether majority of the faecal sludge/sewage in the city is being processed scientifically and not being discharged in the open – and whether city reuse/recycle the treated wastewater from STP/FSTP. **Treated wastewater utilization and consequent revenue saved by using the treated wastewater will be considered as revenue generated besides actual sale of the treated wastewater. The revenue will be calculated on the basis of commercial rate that ULB charges for supplying/selling water.**



Scheme of Marking	Marks
>95% Faecal/Sewage sludge treated	130
85-94% Faecal/Sewage sludge treated	110
55-79% Faecal/Sewage sludge treated	90
45 – 54% Faecal/Sewage sludge treated	70
0% Faecal/Sewage sludge treated <b>OR</b> no data available	50
< 40% Faecal/Sewage sludge treated <b>OR</b> no data available	50

Whether **plans** are in place to **reuse/recycle the treated waste water** to reduce the burden on fresh water?

Scheme of Marking	Marks
>30% waste water is reused/recycled <b>of which &gt;50% sold</b>	45
20% - 29% waste water is reused/recycled <b>of which 40%-50% sold</b>	35
10% - 19% waste water is reused/recycled <b>of which 30% - 39% sold</b>	25
<10% waste water is reused/recycled <b>of which 20-29% sold</b>	15



**3.2****&****3.3**

Whether **capacity** of FSTP /STP in the city is matching with the total faecal sludge/sewage which is **collected/generated** in the city?

What percentage of faecal sludge **collected or sewage generated** from Households/Commercial Establishments/ CTs/PTs is **treated** at FSTP/STP - Scientific processing of faecal **sludge/sewage** - Whether **treated wastewater** from **STP/FSTP reused/recycled?**

**List of supporting documents to be maintained**

- Calculation sheet/DPR/FSSM Plan of the ULB to show the amount of Faecal sludge generated in the ULB.

**MIS Data Points**

**As per Generation:**

- Designed Input Capacity of STP (In MLD) + Designed Input Capacity of FSTP (in KLD to be converted in MLD)
- Estimated Quantity of sewage generated in Million litres per day (MLD) (can be taken as 80 % of water supplied) + Estimated quantity of septage to be desludged from these septic tanks (Faecal Sludge Generation)

**As per Collection:**

- Quantity of sewage collected through sewers in MLD + Quantity of sewage received from drains in MLD+ quantity of sewage collected through sewers in MLD + Actual Quantity of septage desludged from septic tank with or without soakpits (Quantity available from record book / database) by (i) ULB (ii) Private Desludging Operators Registered with ULB (monthly)
- Designed Input Capacity of STP (In MLD) + Designed Input Capacity of FSTP (in KLD to be converted in MLD)

**Methodology for Validation**  
**Only for Q-3**

**100% Direct Observation**

1. On the basis of the list of the processing facilities/plants (STP/FSTP) updated by the ULB in the MIS, the assessor will visit all plants
2. To ascertain the progress, the assessor will also interact with the officials in the plant
3. The assessor will ask for the log-book capturing at least last 3 month's record and electricity bill to verify the functionality of the facility
4. The assessor will also check if the treated wastewater is being re-used as claimed.
5. On the basis of observation and verification of log book/electricity bills Senior assessors at the back-end will arrive at the efficiency level of the plant(s) and indicator wise marks will be given.

# 3.4

Are de-sludging operators ( de-sludging staff) registered , sewer maintenance staff trained on safety related issues, registered with the ULB and being monitored by the ULB. Whether ULB has met basic conditions to operationalize the services

**Marks**  
**100**  
(30+70)

De-sludging related conditions will not be applicable on Cities with 100% sewerage coverage – maximum Marks will be given



Scheme of Marking	Marks
100% De-sludging operators are registered (only private) and staff trained on all aspects of Sewer and Septic tank Maintenance - applied on ULB driven desludging services as well	10
<b>Whether de-sludging vehicles matching the capacity of demand : Yes &gt;70% demand met</b> – ULB need to ascertain the demand keeping in view that de-sludging is mandatory every 3 year	20

## Basic Conditions

Scheme of Marking	Marks
<b>Whether Citizens are aware</b> through public notice/IEC etc. about the de-sludging services being provided (Yes/No)	5
Whether timely de-sludging schedule maintained or followed ?	20
- 100% septic tanks digitally tracked for scheduling desludging (<1 L cities can follow manual tracking)	(20)
- >75% septic tanks digitally tracked for scheduling desludging (<1 L cities can follow manual tracking)	(10)
Whether all <b>de-sludging vehicles</b> deployed are <b>GPS/RFID enabled</b> to track their movement (Yes/No)	10
Whether ULB has <b>notified</b> and <b>collecting fine</b> against persons / de-sludging operators <b>dumping untreated faecal sludge</b> in drains and / or open areas (Yes/No)	10
Whether <b>Manual entry without safety gears banned</b> in the city (Yes/No)	10
Whether <b>user charges collected</b> are meeting <b>&gt;75% operational cost</b> of providing <b>sanitation services</b>	15

## 3.4

Are **de-sludging operators ( de-sludging staff) registered , sewer maintenance staff trained on safety related issues, registered with the ULB and being monitored by the ULB. Whether ULB has met basic conditions to operationalize the services**

### List of supporting documents to be maintained by the ULB

- Details of desludging operators & vehicles with capacity
- Copy of challans that have been levied by the ULB on the Users
- Summary sheet of total fines collected by the ULB

### Methodology for Validation Only for Q-3

**100% Citizens/  
Plant Officials**

### MIS Data Points

- Are 100% De-sludging operators registered (only private) and staff trained on all aspects of Sewer and Septic tank Maintenance - applied on ULB driven desludging services as well?
- Whether de-sludging vehicles matching the capacity of demand ? (greater than 70% demand met)
- Whether Citizens are aware through public notice/IEC etc. about the de-sludging services being provided?
- Is timely desludging followed for
  - 100% septic tanks digitally tracking for scheduling desludging (<1 L cities can follow manual tracking)
  - >75% septic tanks digitally tracked for scheduling desludging (<1 L cities can follow manual tracking)
- Whether all de-sludging vehicles employed are GPS/RFID enabled to track their movement?
- Whether ULB has notified and collecting fine against persons / de-sludging operators dumping untreated faecal sludge in drains and / or open areas ?
- Whether Manual entry without safety gears banned in the city (Yes/No)
- Whether user charges collected are meeting >75% operational cost of providing sanitation services?

1. On the basis of the claim and coverage of de-sludging services, the assessor will randomly talk to the citizens and ascertain whether citizens are aware about the de-sludging services being provided in the city
2. The de-sludging operator need to submit the slips for the payment made at the treatment plant after off-loading the waste at the plant for treatment.
3. The assessor will ask for the log-book in the treatment plant capturing all de-sludging transactions.
4. The assessor will also check from the citizens/plant officials if the staff engaged in de-sludging activities are properly trained and fully equipped with safety gears to perform their duties.
5. On the basis of observation and interaction with citizens/plant official, **Independent Validation Matrix (IVM)** will be applied and final marks given). Final marks = Marks claimed – marks adjusted as per IVM



**3.5**

Are **Public Toilets, Urinals and Community Toilets** clean and user friendly - each performance indicator **to be answered with either YES or NO.**

**Marks****150****(50+50+50)**

This indicator would assess the functionality of the CT/PTs/Urinals in the city with number of features in place to ensure that the citizens are comfortable for using the toilet. Yes will get full marks and No will get zero marks provided. **Maintenance by Women SHG as Caretakers for CTs/PTs/Urinals will also be considered for maintaining cleanliness of CTs/PTs and urinals**

**Public Toilet**

Scheme of Marking	Marks
Separate section for Men & Women	10
Dry and clean	10
Running water – Tap & Flush working	10
Well lit – electric/natural light	10
Functional bolting on all doors	5
Caretaker is present for maintenance	10
Open between 6am – 10pm	5

**Community Toilet**

Scheme of Marking	Marks
Separate section for Men & Women	10
Dry and clean	10
Running water – Tap & Flush working	10
Well lit – electric/natural light	10
Functional bolting on all doors	5
Institutional arrangements in place for maintenance/cleaning	10
24 Hours Open	5

**Urinal**

Scheme of Marking	Marks
Dry and clean	10
Running water for flushing	10
Well lit – natural light and if covered – electric light	5
Institutional arrangements in place for maintenance/cleaning	5



# 3.5

Are Public Toilets, Urinals and Community Toilets clean and user friendly - each performance indicator to be answered with either YES or NO.

List of supporting documents to be maintained by the ULB

No documents to be maintained

## MIS Data Points

For each CT/PT/Urinal Block, following questions must be answered *at the GTL Portal*

- Separate section for men & women available.
- Dry & clean facility
- Running water- with tap & flush working
- Well lit- electric/natural light
- Functional bolting on all doors
- Caretaker is present for maintenance (PT only)
- Open between 6 AM- 10 PM (PT only)
- 24 Hours Open (for CTs only)
- Institutional arrangements in place for maintenance/cleaning (CT & Urinals)

Methodology for Validation  
Only for Q-3

100% Direct Observation

1. On the basis of the claim and coverage of de-sludging services, the assessor will randomly talk to the citizens and ascertain whether citizens are aware about the de-sludging services being provided in the city
2. The de-sludging operator need to submit the slips for the payment made at the treatment plant after off-loading the waste at the plant for treatment.
3. The assessor will ask for the log-book in the treatment plant capturing all de-sludging transactions.
4. The assessor will also check from the citizens/plant officials if the staff engaged in de-sludging activities are properly trained and fully equipped with safety gears to perform their duties.
5. On the basis of observation and interaction with citizens/plant official, **Independent Validation Matrix (IVM)** will be applied and final marks given). Final marks = Marks claimed – marks adjusted as per IVM



सत्यमेव जयते

Ministry of Housing and Urban Affairs  
Government of India



# Independent Validation Matrix



## Sampling Criteria



# Independent Validation Matrix: Population wise respondents

Assessment Area	Population				
	<50 K	50 K - 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Sample respondent count	50	60	80	100	120

## Independent Validation – Impact on ‘Service Level Progress’ Marks claimed

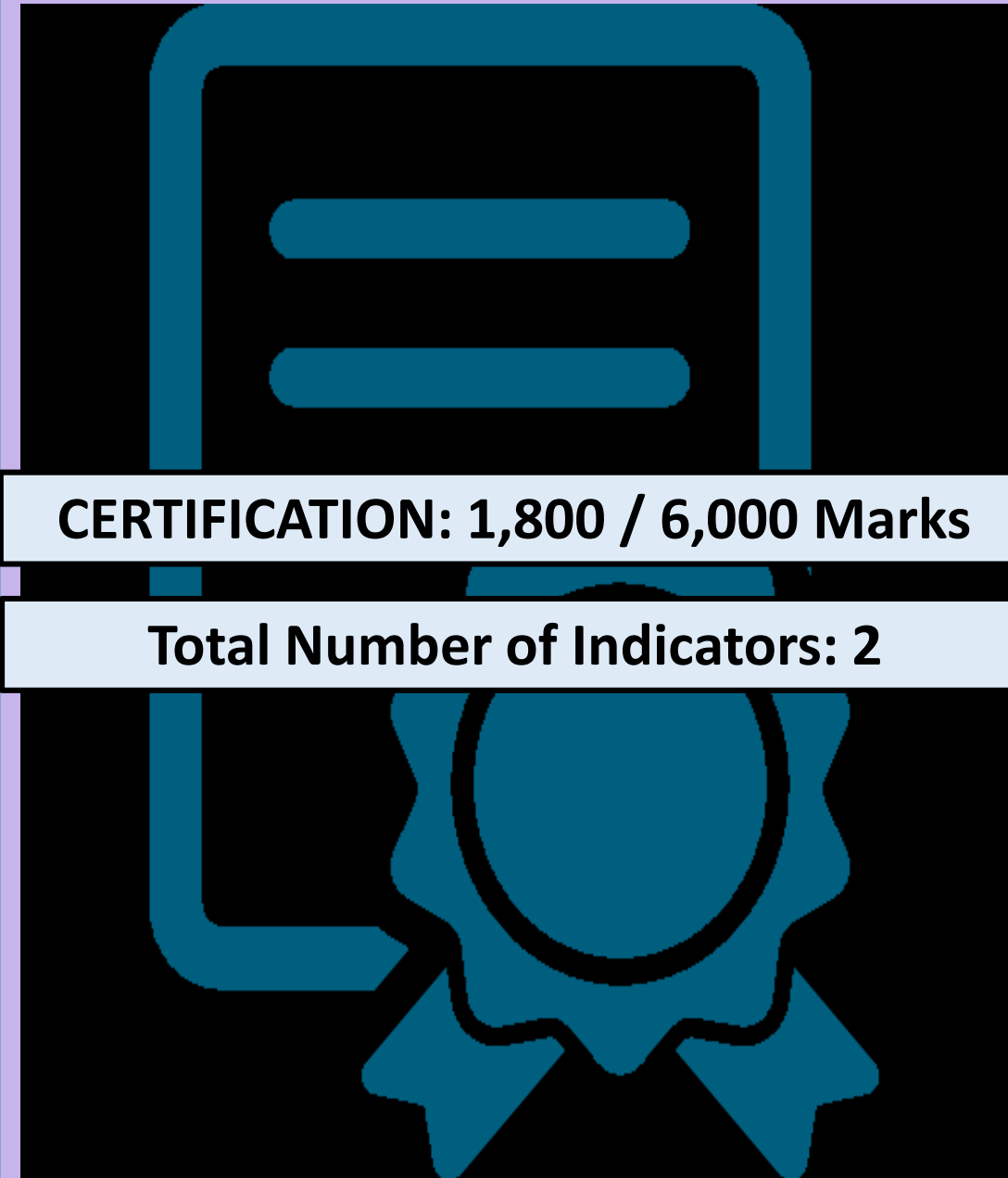
- **Step-1: Adjusted Marks** - % of samples failed will lead to same % of marks deducted from the marks claimed under ‘Service Level Progress’
- **Step-2: Negative Marking** - On account of failure of samples from 20% onwards, further negative marking will be applied as per the following table, to calculate ‘Final Marks’

Sample Failure (%)	% of Negative Marking on Total Marks claimed, to be deducted from 'Adjusted Marks'
<20%	0%
20% - 30%	5%
31% - 40%	10%
41% - 50%	20%
51% - 60%	30%
61% - 70%	40%
71% - 80%	50%
81% - 90%	60%
91% - 100%	70%

### Example - presenting 3 Scenarios:

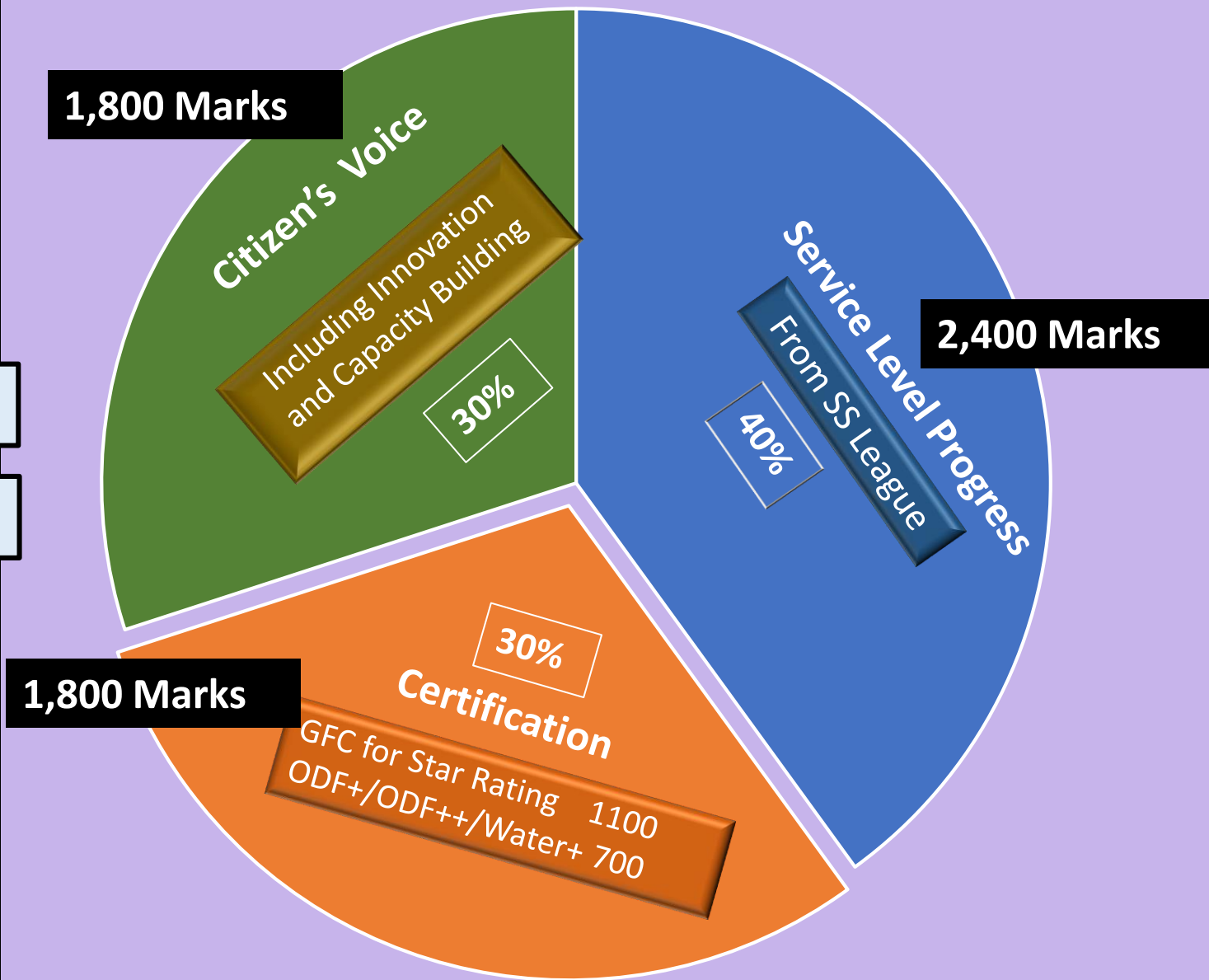
Indicator No.	Total Marks	Marks Claimed	% of samples failed	Marks to be deducted as per Step-1	Adjusted Marks (after adjusting Step-1)	Negative Marking as per Step-2	Final Marks (after adjusting Step-2)
1.1	75	65	15%	10	55	0	55
	75	65	30%	20	46	2	43
	75	65	55%	36	29	9	20

**Note:** At least 40% of the wards (samples) where progress claimed, will be covered under citizens validation.

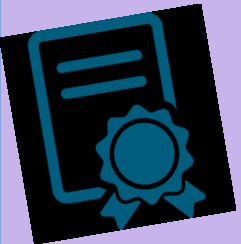


**CERTIFICATION: 1,800 / 6,000 Marks**

**Total Number of Indicators: 2**



# CERTIFICATION: 1,800 / 6,000 Marks



## Certified GFC Star Rating Status (as on 31.12.2020)

Scheme of Ranking	Marks
7 Star City (Water+ mandatory)	1100
5 Star City (ODF++ mandatory)	900
3 Star City (ODF+ mandatory)	600
1 Star City (ODF mandatory)	200



## Certified ODF Status (as on 31.12.2020)

Scheme of Ranking	Marks
Water Plus City	700
ODF++ City	500
ODF+ City	200
ODF City	100

### Note:

1. Cut-off date for **application 30<sup>th</sup> November 2020** – **Results by 31<sup>st</sup> December 2020**
2. Existing GFC certifications are based on 2019 progress/requests. For SS-2021, fresh application/certification required.
3. ODF: All cities which are certified after 29<sup>th</sup> May 2020 will have certificate valide for 12 months

Multiple lenses for Ranking - **SS, GFC and ODF** are **3 independent assessments**



**Citizen's Engagement**



**Citizens Feedback**



**Citizen's Experience**



**SwachhataApp**



**Innovation & Best Practices**

**Citizen's Voice – 1800/6000 Marks**



# CITIZEN'S FEEDBACK – 600/1,800 Marks

## 7 Questions from Citizens

Awareness about Swachh Survekshan and City's last rank?

Whether neighborhood area clean?

Whether Community or Public toilets are clean ?

Whether Public or Commercial areas clean?

Whether waste collector asked to give only segregated waste?

Do you know you can search nearest Public Toilet on Google?

Do you know you can use SwachhataApp to escalate your complaints around swachhata

## 7 Channels to Collect Citizens Feedback



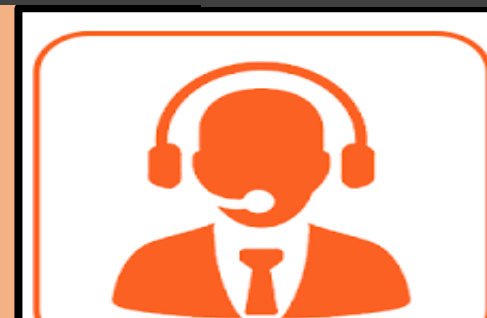
Face to Face



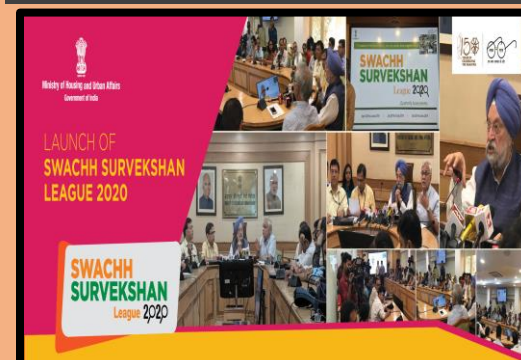
MyGov Vote For Your City



1969 Helpline



Outbound Calls



SS2020 Portal



SwachhataApp

One Citizen One Feedback

# Citizen Feedback



**1. Are you aware that your city is participating in Swachh Survekshan 2021? Do you know the rank of your city in Swachh Survekshan-2020?**

(To assess if city promoted its achievement in Swachh Survekshan by reaching out to citizens)

Scheme of Marking	Marks
Yes - whether city is participating in Swachh Survekshan-2021	100
Yes – know the rank of the city in Swachh Survekshan-2020	50
No	0

# Citizen Feedback



**2. How many marks would you like to give to your city on the cleanliness level of your neighbourhood – Out of 100?**

*(Citizens will be asked to respond basis their overall experience in last 6 months)*

Scheme of Marking	Max Marks 100
Citizens can give any score between 0 to 50	_____

# Citizen Feedback



**3. How many marks would you like to give to your city on the cleanliness level of your commercial/ public areas – Out of 100?**

*(Citizens will be asked to respond basis their overall experience in last 6 months)*

Scheme of Marking	Max Marks 100
Citizens can give any score between 0 to 50	



# Citizen Feedback



**4. Whether you are always asked to give segregated dry and wet waste by your waste collector?**  
(To assess if segregation at source is enforced by the ULB)

Scheme of Marking	Marks
Yes, always	100
Yes but sometimes	50
Never	0

# Citizen Feedback



**5. How many marks would you like to give to your city on the cleanliness level of Public or Community toilet or Urinals of your cities – Out of 100?**

(Citizens using Public/Community toilets/Urinals will be asked to respond basis their overall experience – targeted population)

**Scheme of Marking**

**Max Marks 100**

Citizens can give any score between 0 to 100

\_\_\_\_\_

# Citizen Feedback



6. Do you know you can search nearest **Public Toilet on Google?**  
(To ascertain whether Citizens are aware about Google Toilet Locator)

Scheme of Marking	Max Marks
Yes	50
No	0

# Citizen Feedback



7. Do you know you can use **SwachhataApp/local App** to escalate your complaints around Swachhata?  
(To ascertain whether Citizens are aware about SwachhataApp/Local App)

Scheme of Marking	Max Marks
Yes	50
No	0





# Citizen Engagement

**Total Indicators - 9**  
**450 / 1,800 Marks**

## **Please note:**

All progress to be claimed through MIS (except Indicator No.8 & 9) followed by upload on Swachh Manch and desired social media platforms. Subject to on-field validation in January 2021

# Citizen Engagement

1. Whether ULB has promoted and given recognition to **start-ups, entrepreneurs/Industries, Religious/Cultural Institutions, and Voluntary Organisations/other civil societies** for their work/contribution in **SBM during SSLeague-2021/ Covid-19 related issues** (April-December 2020). ULB need to document each category with brief write-up along with contact details and upload on Swachh Survekshan-2021 portal and associated social media channel, Swachh Manch and Facebook page of the ULB by **15<sup>th</sup> December 2020 (City name and ULB Code mandatory for entries)**



Scheme of Marking – for >1 L population	Scheme of Marking - for <1 L population	Marks 50
Yes, all in 4 categories recognized	Yes to any 2	50
Yes, but only 3 recognized	Yes to any 1	40
Yes, but only 2 recognized		30
Yes, but only 1 recognized		20
None		0

- Note:**
- List of people/organizations and contact details with photos and one page note describing the work done to be uploaded on Swachh Survekshan-2021 portal, Swachh Manch and ULB's Facebook page
  - These entries will also be used for on-field validation
  - On the basis of contact details these people will be called to understand whether the details provided is matching.



# Citizen Engagement

Marks  
50

## 2. Whether RWAs/NGOs/SHGs/Private Sector/CSR or others engaged to keep your city clean – nature of engagement to be shared

- This indicator would assess the ULB's efforts to engage citizens and other stakeholders proactively. The idea is to ensure all citizens and stakeholders take ownership of cleanliness aspects in the city
- Private sector needs to be approached by the ULB for seeking active contribution via CSR funds towards city's infrastructure requirements for cleanliness.
- ULB can only provide infrastructure support in all such engagement. **Organization working with ULB on payment basis will not be considered.**
- All such activities to be uploaded on Swachh Survekshan-2021 portal and associated social media channel, Swachh Manch and Facebook page of the ULB by **15<sup>th</sup> December 2020 (City name and ULB Code mandatory for entries)**



### Scheme of Marking

Scheme of Marking	Marks
>50% wards covered in <b>&gt;10 L population</b> cities with minimum participation of 500 citizens (minimum 1 activity in each month) OR a digital campaign having minimum coverage of 5000 citizens	50
>70% wards covered in <b>3-10 L population</b> cities with minimum participation of 400 citizens (minimum 1 activity in each month) OR a digital campaign having minimum coverage of 4000 citizens	50
>80% wards covered in <b>1-3 L population</b> cities with minimum participation of 300 citizens (minimum 1 activity in each month) OR a digital campaign having minimum coverage of 3000 citizens	50
>90% wards covered in <b>50K -1L population</b> cities with minimum participation of 200 citizens (minimum 1 activity in each month) OR a digital campaign having minimum coverage of 2000 citizens	50
100% wards covered in <b>upto 50K population</b> cities with minimum participation of 100 citizens (minimum 1 activity in each month) OR a digital campaign having minimum coverage of 1000 citizens	50

### Note:

- List of people/organizations with photos and one page note describing the work done to be uploaded on Swachh Survekshan-2021 portal, Swachh Manch and ULB's Facebook page
- List of wards where engagements happened with nature of engagement to be explained. Under digital intervention, link supporting claim to be provided
- These entries will also be used for on-field validation. On the basis of details provided, random on-field interaction with citizens in the claimed wards will be made to verify the claim made
- Suggested activities could be awareness rallies, street plays, focused group discussions, Interpersonal communication, roadshow, cultural activities with critical messages etc.

# Citizen Engagement

Marks  
50

3. Swachh Survekshan-2021 jingle, movie, poster/drawing, murals and street play competition (no age limit) by **30<sup>th</sup> November 2020** and awards to winning entries by **15<sup>th</sup> December 2020** – ULB wise entries\* for competition and winning entry to be uploaded on Swachh Survekshan-2021 portal and associated social media channel, Swachh Manch and FaceBook page of the ULB (Movies/Songs to be shot/recorded from mobile phone... Apps available for short films/songs can also be used) (City name and ULB Code mandatory for entries)



## Scheme of Marking

Marks 50

- |   |    |
|---|----|
| • Yes, <b>entries</b> and <b>results</b> for <b>all 5</b> uploaded as per cut-off dates 30 <sup>th</sup> Nov & 15 <sup>th</sup> Dec | 50 |
| • Yes, <b>entries</b> and <b>results</b> for <b>any 4</b> uploaded as per cut-off dates 30 <sup>th</sup> Nov & 15 <sup>th</sup> Dec | 40 |
| • Yes, <b>entries</b> and <b>results</b> for <b>any 3</b> uploaded as per cut-off dates 30 <sup>th</sup> Nov & 15 <sup>th</sup> Dec | 30 |
| • Yes, <b>entries</b> and <b>results</b> for <b>any 2</b> uploaded as per cut-off dates 30 <sup>th</sup> Nov & 15 <sup>th</sup> Dec | 30 |

## Note:

- List of people/organizations and contact details with photos and one page note describing the work done to be uploaded on Swachh Survekshan-2021 portal, Swachh Manch and ULB's Facebook page
- \*In each category, minimum 20 entries from >10L population, 15 entries from 3L-10 L population, 10 entries from 1L-3 L population, 5 entries from 50K – 1 L population and 3 entries for <50K population.**
- These entries will also be used for validation. On the basis of contact details, these people will be called to understand whether the progress claimed is matching.



# Citizen Engagement

Marks  
50

4. ULB has sourced and identified Swachh Bharat Mission impacts on the citizen's life and updated each impact with pictures and one page note (maximum 250 words) uploaded on Swachh Survekshan-2021 portal and associated social media channel, Swachh Manch and FaceBook page of the ULB **15<sup>th</sup> December 2020** – these impacts to be sourced from the **citizens only**. (City name and ULB Code mandatory for entries)

**Indicative list of impacts:** Cleaner neighborhood, gender specific initiatives, health, livelihood, air pollution, industry, start-ups, citizen engagement in governance or any other impact



Scheme of Marking – for >1 L population	Scheme of Marking - for <1 L population	Marks
Yes, minimum 5 Impacts identified	Yes minimum 3 impacts identified	50
Yes, minimum 4 Impacts identified	Yes minimum 2 impacts identified	40
Yes, minimum 3 Impacts identified	Yes minimum 1 impact identified	30
Yes, minimum 2 Impacts identified		20
Yes, minimum 1 Impact identified		0

**Note:**

- List of people and contact details with photos and a brief note (max 50 words) describing the impact felt to be uploaded on Swachh Survekshan-2021 portal , Swachh Manch and ULB's Facebook page
- Minimum 30 entries from >10L population, 25 entries from 3L-10 L population, 20 entries from 1L-3 L population, 15 entries from 50K – 1 L population and 10 entries for <50K population
- These entries will also be used for on-field validation. On the basis of contact details, these people will be called to understand whether the impact claimed is matching.

# Citizen Engagement

Marks  
50

5. Identification and recognition of Champions – Man\* and Woman\* driving ‘Swachh Change’ in the ULB – to be identified among ULB Staff/Sanitary workers, CSR Lead, NGOs, SHGs etc. by **15<sup>th</sup> December 2020** (To be uploaded on Swachh Survekshan-2021 portal and associated social media channel, Swachh Manch and Facebook page of the ULB). (City name and ULB Code mandatory for entries)



Scheme of Marking for >10 L population	Scheme of Marking for 1-10 L population	Marks
Yes, minimum <b>10 men</b> and <b>10 women</b> recognized	Yes minimum <b>5 men</b> and <b>5 women</b> recognized	50
Yes, minimum <b>4 men</b> and <b>4 women</b> recognized	Yes minimum <b>4 men</b> and <b>4 women</b> recognized	40
Yes, minimum <b>3 men</b> and <b>3 women</b> recognized	Yes minimum <b>3 men</b> and <b>3 women</b> recognized	30
Yes, minimum <b>2 men</b> and <b>2 women</b> recognized	Yes minimum <b>2 men</b> and <b>2 women</b> recognized	20
Yes, minimum 1 man and 1 woman recognized	Yes minimum <b>1 man</b> and <b>1 woman</b> recognized	10
	Scheme of Marking for <1 L population	Marks
* Transgender(s) can also be considered	Yes minimum <b>3 men</b> and <b>3 women</b> recognized	50
	Yes minimum <b>2 men</b> and <b>2 women</b> recognized	40
	Yes minimum <b>1 man</b> and <b>1 woman</b> recognized	30

**Note:**

- List of people and contact details with photos and a brief note (max 50 words) describing the work done to be uploaded on Swachh Survekshan-2021 portal, Swachh Manch and ULB’s Facebook page
- \*Minimum 30 entries from >10L population, 25 entries from 3L-10 L population, 20 entries from 1L-3 L population, 15 entries from 50K – 1 L population and 10 entries for <50K population.**
- These entries will also be used for on-call validation. On the basis of contact details these people will be called to understand whether the details provided is matching.



# Citizen Engagement

## 6. Whether awareness has been created around –

- (1) Good hygiene practices to stay healthy
- (2) Open Defecation Free and Garbage Free City Star Rating Status of the city and role of citizens
- (3) Innovative practices adopted under Swachh Bharat Mission
- (4) Role of citizens in demanding better service delivery from ULB under Swachh Bharat Mission
- (5) Know your Sanitary Worker and Sanitary Inspector program – Their Role and Your Duties

Cities are expected to **engage citizens proactively** so that initiatives undertaken are sustainable. **All awareness campaigns** to be uploaded on Swachh Survekshan-2021 portal and associated social media channel, Swachh Manch and FaceBook page of the ULB by **15<sup>th</sup> December 2020**.  
(City name and ULB Code mandatory for entries)



### Scheme of Marking

Marks- 50

Awareness No.1 : Yes in 100% wards	10
Awareness No.2: Yes in 100% wards	10
Awareness No.3: Yes in 100% wards	10
Awareness No.4: Yes in 100% wards	10
Awareness No.5: Yes in 100% wards	10

### Note:

1. List of awareness campaign, showing coverage and date of campaign to be uploaded on Swachh Suervekshan-2021 portal, Swachh Manch and ULB's Facebook page
2. This list will also be used for on-field validation **50% Observation** and **50% Citizens**
3. Direct observation and random interaction with citizens will be conducted to ascertain the claim.

# Citizen Engagement

Marks

70

7. Whether rankings of Swachh Hotel, School, Hospital (Healthcare facility), RWA/Mohalla, Government Offices and Market Association conducted? ULB need to conduct ranking **ONLY ONCE** by **30<sup>th</sup> November 2020** – results to be uploaded on Swachh Survekshan-2021 portal and associated social media channel, Swachh Manch and Facebook page of the ULB by **15<sup>th</sup> December 2020**. (City name and ULB Code mandatory for entries)

A sense of competition for cleanliness among Hotels, Schools, RWAs/Mohalla, Hospital, Government Offices and registered Market Associations will lead to improved overall experience of places with maximum footfall of citizens.



## Scheme of Marking

Marks

Swachh Ranking done for all Six above

70

Swachh Ranking done for any Five above

60

Swachh Ranking done for any Four above

50

Swachh Ranking done for any Three above

40

Swachh Ranking done for any Two above

30

Swachh Ranking done for any One above

20

Swachh Ranking not done for any of the above

0

## Note:

1. List of top-3 winners with photos to be uploaded on Swachh Survekshan-2021 portal, Swachh Manch and ULB's Facebook page
2. In each category minimum 30 entries from >10L population, 25 entries from 3L-10 L population, 20 entries from 1L-3 L population, 15 entries from 50K – 1 L population and 10 entries for <50K population. List to be attached. Any 5 entries to be checked during on-field validation.



# Citizen Engagement – through Direct Observation

**Marks**  
**30**

8. Are **Public and Community Toilets** prominently displaying **SBM messages** designed by the Ministry or ULB around usage of Public-Community Toilets, with Swachh Survekshan-2020 logo? (cities are advised to avoid use of plastic for IEC)

ULBs are expected to engage citizens with clear messaging around usage of Public/Community Toilets



Scheme of Marking	Marks
SBM messages are available in >95% CTs/PTs (Yes/No)	30
SBM messages are available in 70% - 95% CTs/PTs (Yes/No)	25
SBM messages are available in 50% - 69% CTs/PTs (Yes/No)	20
SBM messages are available in 30% - 49% CTs/PTs (Yes/No)	15
SBM messages are available in <30% CTs/PTs (Yes/No)	10

### Sampling Criteria

Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Categories - 2 (CT and PT)	2	2	2	2
Locations to be covered per zone	3	3	5	6
Total Zones in the city	2	4	4	5
<b>Total Locations</b>	<b>12</b>	<b>24</b>	<b>40</b>	<b>60</b>



# Citizen Engagement – through Direct Observation

Marks  
50

9. Art Work around **Swachh Survekshan-2021**: Hoardings/Billboards/Wall Writing/Murals/Mascot/Messaging on Commercial vehicles /Artefacts visible in all commercial/public areas of the city (cities are advised to avoid use of plastic for IEC)

ULBs are expected to engage citizens by promoting SS-2021 messages through art work and other means and motivate them to contribute and make their city No.1

Scheme of Marking	Marks
Yes, extensive promotion in terms of visibility is done (in >95% wards)	50
Yes, but moderate promotion is done (in 75%-94% wards)	30
Yes, but partial promotion is visible (50%-74% sample locations)	10
No or negligible promotion (only in <50% wards)	0



Sampling Criteria Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Sample category – 1 (SS-2021 promotion)	1	1	1	1
Locations to be covered per zone	10	11	13	15
Total Zones in the city	2	4	4	5
<b>Total Locations</b>	<b>20</b>	<b>44</b>	<b>52</b>	<b>75</b>

# Actions improving Citizen's Experience - Direct Observation

Number of Indicators- 2

300/1,800 Marks





# Actions improving Citizen's Experience - Direct Observation



**1. Prioritizing aesthetics in making city Swachh** - beautification of slums/old city areas, flyovers, public places ?  
**(1)** Wall paintings/murals, **(2)** Covered drainage (tertiary and secondary) system with screens **(3)\***Waste to Wonder Park/Corner/Spot/Selfie Point, **(4)**Street Vendor Zones/ hawkers zones are well maintained - zero litter and well organized **(5)** No hanging banners **(6)** Public walls are free from posters/bills (except government notices) **(7)** Treated wastewater used in fountains at major intersections\*\*

\* Any work where waste was used to create Artefacts or any other form of art work

\*\* at least 5 intersections (roundabouts) in >10 L population cities, at least 4 in 3-10 L population cities, at least 3 in 1-3 Lakh population cities, at least 2 in 50 K-1 Lakh population cities and at least 1 in upto 50K population cities

### Methodology

- City need to claim the above progress with location through SS-2021 portal managed by the agency.
- Assessors will visit all of the above mentioned areas/establishments
- Assessors will not interact with anyone. It will be purely their own assessment of the situation
- Assessors will click the pictures to support their observation/assessment

Scheme of Marking	Max Marks 200
Yes for all 7 above	200
Yes for any 6 above	175
Yes for any 5 above	150
Yes for any 3 above	100
Yes for any 2 above	50
Yes for at least any 1	25



Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Category-7	7	7	7	7
Locations to be covered per zone	1	1	2	3
Total Zones in the city	2	4	4	4
<b>Total Locations</b>	<b>14</b>	<b>28</b>	<b>56</b>	<b>84</b>



# Actions improving Citizen's Experience - Direct Observation



## 2. Measures undertaken to reduce the level of dust in the air



Scheme of Marking	Max Marks
	100
All roads and footpaths - <b>without potholes broken paver blocks</b>	20
All <b>construction areas are covered</b> to avoid dispersion of particulate matter	20
All <b>construction in public roads are demarcated and covered</b> to avoid dispersion of particulate matter	15
<b>No storage of construction material near road side</b>	15
<b>100% Green road dividers:</b> Plantation of specific types of species which are helpful in pollution control done in all road dividers of the city	15
100% Green belt areas of the cities are encroachment free	15

### Note:

- Roads having divider measuring 3-4 feet only should have greenery in the middle.
- Greenery along the road will also be considered

### Methodology

- Assessors will visit all of the above mentioned areas
- Assessors will not interact with anyone. It will be purely their own assessment of the situation
- Assessors will click the pictures to support their observation/assessment

Assessment Area	Population			
	< 1 Lakh	1-3 Lakh	3-10 Lakh	>10 Lakh
Categories : 6	6	6	6	6
Locations to be covered per zone	1	1	2	3
Total Zones in the city	2	4	4	4
<b>Total Locations</b>	<b>12</b>	<b>24</b>	<b>48</b>	<b>72</b>

# Swachhata App / Local App

Total Indicators - 4

350 / 1,800 Marks



## 4 Indicators from Swachhata App/ Local App

**% of households are registered** with SwachhataApp/Local App

Number of **Active Users** on Swachhata App/Swachh Manch/**Local App**

**% of Complaints resolved** within SLA

**User Feedback** on resolved complaints

# SwachhataApp/Local App

1. Number of **Active Users** on Swachhata App/Swachh Manch/**Local App** (integrated with SwachhataApp)

Active users could be anyone who has done any of the following activities during that month:

1. Posted a Complaint
2. Voted up on a Complaint
3. Commented on a Complaint
4. Given Feedback on a resolved Complaint.
5. Volunteers for an Event through Swachh Manch .
6. Shared an Event on **Swachh Manch** (Social Media) .
7. Successfully Creates an Event on **Swachh Manch**.

## Methodology:

- ❖ Ranking will be done Month on month basis (**effective from 1<sup>st</sup> February 2020 to 31<sup>st</sup> January 2021**).
- ❖ Every Month's final rank will be calculated as average of the following parameters
- ❖ 2% population download condition will apply to qualify
- ❖ Formula would be –

$$\text{User Engagement} = \frac{(\text{Number of Active Users})}{\text{Registrations of the city}} \times 100$$

\* Final Score of this indicator for Swachh Survekshan 2020 will be the average of every month score **from 1<sup>st</sup> Feb, 2020 till 31<sup>st</sup> Jan 2021**

## Scheme of Scoring

Maximum score: 100

Percentage as calculated by the formula below will be applied on 'Maximum score' which will become the score for that month.

Final Score of this indicator for SS2020 will be the average of every month score

# SwachhataApp/Local App

2. What percentage of **complaints** are **resolved** within **SLA** (Service Level Agreement) time frame

## Scheme of Scoring

Maximum score: 100

Percentage as calculated by the formula below will be applied on 'Maximum score' which will become the score for that month.

Final Score of this indicator for SS-2021 will be the average of every month score

## Methodology: Resolution Rate

Formula would be:

$$\text{Resolution Rate} = \frac{(\text{Number of Complaints Resolved} - \text{Reopened Complaints} - 2 \times \text{Fake Resolutions})}{\text{Total Complaints in the city}} \times 100$$

**Note:** The formula would be applicable only if a city has received a number of complaints equal to 0.1% of the population in that month.

\* Final Score of this indicator for Swachh Survekshan 2021 will be the average of every month score from **1<sup>st</sup> February, 2020 till 31<sup>st</sup> January 2021**



# SwachhataApp/Local App

3. What percentage of households are the registrations?

Scheme of Scoring	Marks
>=15%	75
>=10% & <15%	65
>=8% & <10%	55
>=6% & <8%	45
>=4% & <6%	35
>=2% & <4%	25
< 2%	0

## Methodology: Registration Marks

Formula would be:

$$\text{Registration Marks} = \frac{(\text{Number of Registrations})}{\text{Households of the city}} \times 100$$

**Note: The minimum qualification criteria for this 2% of registrations.**

\* Final Score of this indicator for Swachh Survekshan 2020 will be the calculated as per the table above.

# SwachhataApp/Local App

## 4. User Feedback on resolved complaints

### Methodology: User Feedback

Formula would be:

$$\text{User Feedback} = \frac{(\text{Number of positive feedbacks on Complaints resolved within SLA})}{\text{Number of complaints resolved in SLA}} \times 100$$

**Note:** The formula would be applicable only if a city has received a number of complaints equal to 0.1% of the population in that month.

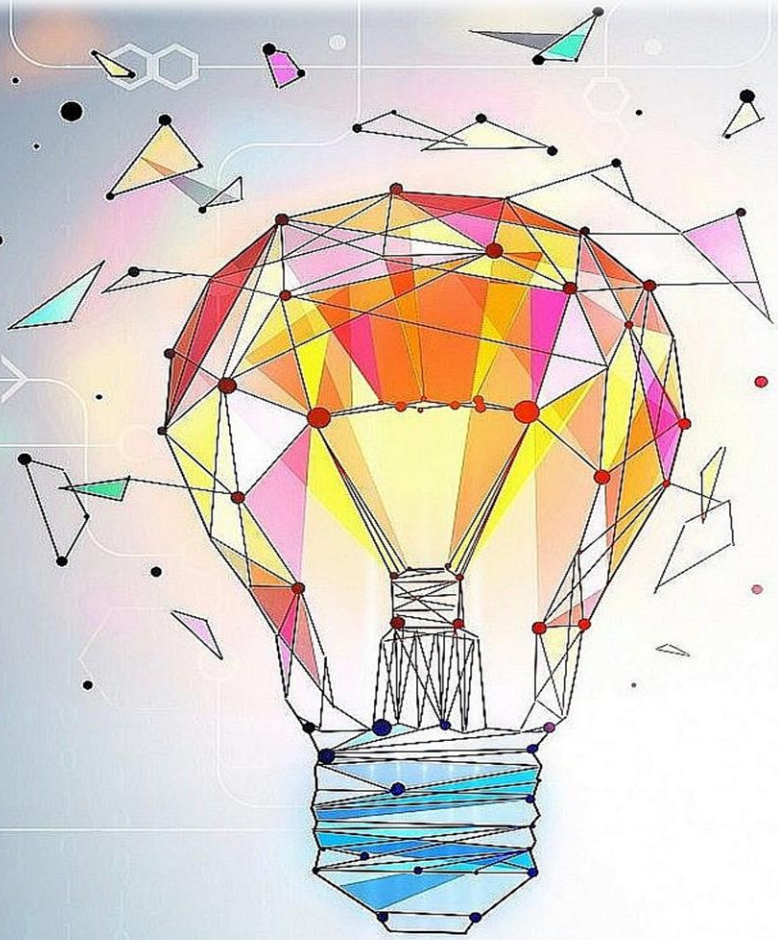
- Only complainant's feedback will be considered.
- Minimum 10% Active user in that particular month will be mandatory to qualify for this indicator.
- Final Score of this indicator for Swachh Survekshan 2019 will be the average of every month score from **1<sup>st</sup> February, 2020 till 31<sup>st</sup> January 2021**

### Scheme of Scoring

Maximum score: 75

Percentage as calculated by the formula below will be applied on 'Maximum score' which will become the score for that month.

Final Score for Swachh Survekshan 2020 of this indicator will be the average of every month score



# Innovation & Best Practices

**To be validated by Citizens**

**Total Indicators - 2**

**100 Marks / 1,800 Marks**

# Category 1 : Innovation & Best Practices by ULB

6.1

Marks  
60

Quality of project submitted by the ULB under 'Innovation & Best Practices' among the areas – **Waste Management, Behaviour Change, sustainable sanitation, disaster management** or interventions contributing to proven improvement in **air quality, water conservation, wastewater treatment** and its re-use or **storm water management**. All Innovations must be completed by **30<sup>th</sup> November 2020** and uploaded on SS-2021 portal by **10<sup>th</sup> December 2020**

Cities may also refer some of the following interventions. However, Innovation areas are not limited to following interventions only -

1. Sustainable Solutions
2. Public Private Partnership
3. Convergence across other flagship missions of the Government
4. IEC & Behaviour Change
5. Community Engagement
6. Sale of by-products of processing
7. Menstrual Waste Management
8. Robust faecal sludge management system
9. User friendly Community and Public Toilets

Scheme of Marking	Max. Marks
Implementation	15
Novelty (Is your idea original or unique?)	10
Scalability	10
Financial Sustainability	10
Impact	15

- 1. All cities are requested to submit one such project in the aforementioned categories. Comprehensive documentation with pictures/video clips for your project or initiative will make a stronger case for your city.**
- 2. Further such innovation/best practice to be promoted in the city to help city in on-field validation**



## Category 2 : Innovation & Best Practices by Citizens/RWAs/NGOs/SHGs/Private Sector/CSR

6.2

Quality of project submitted by the ULB under 'Innovation & Best Practices' among the areas – Waste Management, Behaviour Change, sustainable sanitation, **disaster management** or interventions contributing to proven improvement in air quality and water conservation or re-use of waste water – All Innovations must be completed by **30<sup>th</sup> November 2020** and uploaded on SS-2021 portal by **10<sup>th</sup> December 2020**

**Marks  
40**

Cities may also refer some of the following interventions. However, Innovation areas are not limited to following interventions only -

1. Sustainable Solutions
2. Public Private Partnership
3. Convergence across other flagship missions of the Government of India
4. IEC & Behaviour Change
5. Community Engagement
6. Sale of by-products of processing
7. Robust faecal sludge management system
8. Menstrual Waste Management
9. User friendly Community and Public Toilets

Scheme of Marking	Max. Marks
Implementation	10
Novelty (Is your idea original or unique?)	10
Scalability	10
Impact	10

- 1. All cities are requested to submit one such project in the aforementioned categories. Comprehensive documentation with pictures/video clips for your project or initiative will make a stronger case for your city.**
- 2. Further such innovation/best practice to be promoted in the city to help city in on-field validation**



Ministry of Housing and Urban Affairs  
Government of India



**SWACHH  
SURVEKSHAN  
2Q21**

**स्वच्छ  
सर्वेक्षण  
2Q21**

**All the Best!**