



आवासन और शहरी कार्य मंत्रालय  
भारत सरकार  
MINISTRY OF HOUSING AND  
URBAN AFFAIRS  
GOVERNMENT OF INDIA



# SWACHH CERTIFICATION PROTOCOLS



ODF



ODF+



ODF++



WATER+

Swachh Bharat Mission - Urban 2.0





आवासन और शहरी कार्य मंत्रालय  
भारत सरकार  
MINISTRY OF HOUSING AND  
URBAN AFFAIRS  
GOVERNMENT OF INDIA



# SWACHH CERTIFICATION PROTOCOLS

Swachh Bharat Mission - Urban 2.0



ODF



ODF++



ODF+



WATER+

Ministry of Housing & Urban Affairs

July 2024



# CONTENTS

<b>1. Definition/ Terminology.....</b>	<b>1.</b>
<b>2. ODF Journey: Background.....</b>	<b>2.</b>
<b>3. ODF Certifications: Snapshot.....</b>	<b>3.</b>
<b>4. Cycle of Sanitation: Graded Approach.....</b>	<b>6.</b>
<b>5. Assessment Mechanism for Swachh Certifications.....</b>	<b>7.</b>
<b>5.1 Steps for certification.....</b>	<b>7.</b>
<b>5.2 Methodology for evaluation.....</b>	<b>9.</b>
<b>5.2.1 ODF and ODF+ Locations.....</b>	<b>10.</b>
<b>5.2.2 ODF++ and Water+ Locations.....</b>	<b>11.</b>
<b>5.2.3 Mandatory Inspection protocols for third party agency.....</b>	<b>13.</b>
<b>6. Mandatory Conditions for Swachh Certifications.....</b>	<b>14.</b>
<b>6.1 ODF Certification.....</b>	<b>14.</b>
<b>6.2 ODF+ certification.....</b>	<b>16.</b>
<b>6.2.1 CT/PT and or Standalone Urinal Evaluation Matrix.....</b>	<b>18.</b>
<b>6.2.2 CT/ PT and/or Standalone Urinal Cleanliness Scoring Matrix.....</b>	<b>20.</b>
<b>6.3 ODF++ Certification.....</b>	<b>21.</b>
<b>6.3.1 ODF++ Evaluation Matrix.....</b>	<b>25.</b>
<b>6.3.2 ODF++ Scoring Matrix.....</b>	<b>28.</b>
<b>6.4 Water+ Certification.....</b>	<b>29.</b>
<b>6.4.1 Water+ Evaluation Matrix.....</b>	<b>32.</b>
<b>6.4.2 Water+ Scoring Matrix.....</b>	<b>36.</b>
<b>Annexure 1 : Declaration Formats to be submitted by ULBs</b>	<b>42.</b>
<b>Annexure 1.1 ODF Declaration Formats</b>	<b>42.</b>
<b>Annexure 1.2 ODF+ Declaration Formats</b>	<b>44.</b>
<b>Annexure 1.3 ODF++ Declaration Formats</b>	<b>46.</b>
<b>Annexure 1.4 Water+ Declaration Formats</b>	<b>49.</b>
<b>Annexure 2: Procedure for Conducting Sanitation Household Level Surveys</b>	<b>53.</b>

# 1. Definition/ Terminology

- 1) **Sewage (Used Water):** Used Water interchangeably used for sewage in this document comprises of the following two components:
  - Grey Water from kitchens, bathrooms, wash basins etc.
  - Black Water from toilets & urinals.

These may sometimes be mixed with other municipal flows such as surface water and storm water.

- 2) **Off-site System:** Offsite System consists of sewage conveyance and treatment at STP
- 3) **Sewer network:** Sewer network consists of continuous pipes laid underground, mostly along roads, to collect sewage from households and other establishments.
- 4) **On-site System:** Onsite treatment system (OTS) is a privately owned and maintained sewage disposal system (other than municipal body) that treats used water and produces partially treated water. However, some packaged onsite sewage treatment systems are also available.
- 5) **Septage (from septic tanks with soak-pits):** In on-site systems, the fecal sludge and black water accumulated in septic tank is referred to as septage. Periodically, specialized collection vehicles will be used for desludging the septic tanks and transporting the same for treatment.
- 6) **Treatment:** Sewage is treated in STP and faecal sludge can be treated either at STP or STP-cum-FSTP or standalone FSTP. Further, the treatment may be centralized or decentralized treatment.
- 7) **STP:** Sewage Treatment Plants (STP) are used for treatment of used water coming out from domestic, commercial, institutional establishments etc.
- 8) **Faecal Septage Treatment Plants (FSTPs):** Faecal Septage Treatment Plants (FSTPs) are used for treatment of faecal septage being periodically removed from septic tanks of domestic, commercial, institutional establishments etc. to maintain their efficiency.
- 9) **STP-cum-FSTP:** Septage can be economically treated at STPs with certain minor modifications saving CAPEX, OPEX & land requirement
- 10) **Recycle/ Disposal:** The treated used water may be used by ULB either for self-consumption, or sol

## 2. ODF Journey: Background

ODF journey so far is presented in nutshell as below:



### Key Objective under SBM-U

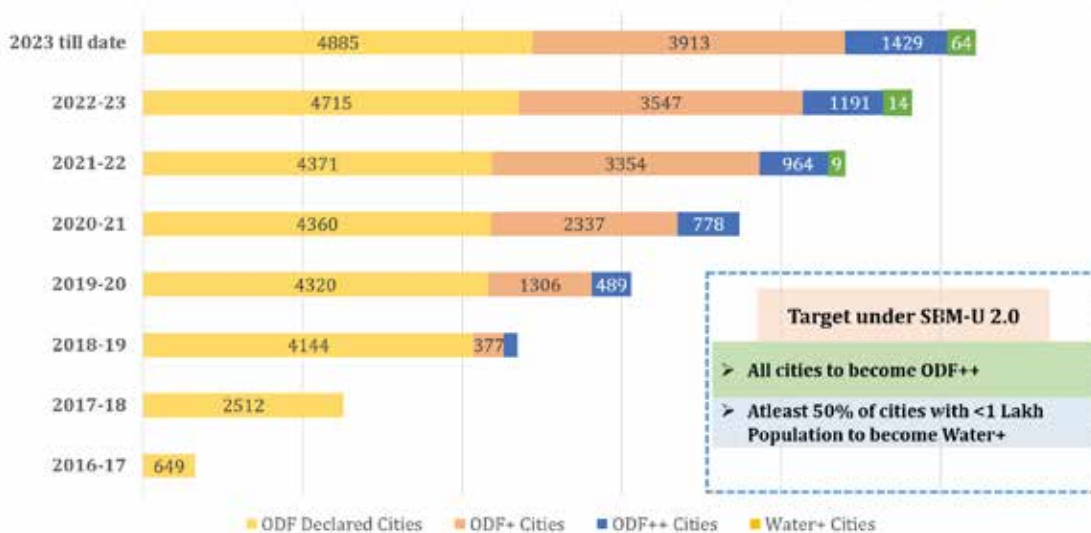


**Eradication of Open Defecation in all Statutory towns**

#### Release of ODF Protocols

- 2016 – ODF
- 2018 – ODF+ and ODF++
- 2019 – Water+




Swachh Certification Protocols – ODF, ODF+, ODF++ and Water+



## 3. ODF Certifications: Snapshot




### ODF Conditions

At any point of the day, not a single person is found defecating in the open

-  Nobody found **DEFECATING** in open
-  ULB to have achieved 100% targets in construction of **IHHLs and CT/PTs**
-  Fine mechanism in place on people found defecating **in the open**

### ODF+ Conditions

At any point of the day, not a single person is found defecating and / or urinating in the open, AND all community and public toilets are functional and well maintained.

-  Nobody found **DEFECATING or URINATING** in open
-  All CT/PT and Standalone Urinals are **FUNCTIONAL and WELL MAINTAINED**
-  All toilets are connected to safe disposal system - Septic tank with soak pit or twin pit or sewers or pucca municipal drains



## ODF++ Conditions Snapshot

A city / ward / work circle can be notified / declared as SBM ODF++ city / SBM ODF++ ward / SBMODF++ work circle if, it meets all conditions pertaining to ODF and ODF+ AND entire sewage including faecal sludge & septage is safely managed and treated, with no open discharge / dumping of untreated entire sewage including faecal sludge & septage in water bodies or open areas.



**ODF+ conditions complied with**



**No untreated sewage including faecal sludge & septage discharged / dumped in WATER BODIES OR OPEN AREAS**



**Sewage including faecal sludge & septage is SAFELY MANAGED AND TREATED**



## Water+ Conditions Snapshot

A city / ward / work circle can be notified / declared as SBM-U Water+ provided all domestic used water including septage released from households, commercial establishments, institutions etc. is collected and treated to a satisfactory level either onsite or at an off-site facility (as per MoEF&CC / SPCB norms) to which the used water is conveyed through sewers or through drains and nallahs, (presently, as an interim measure) and the by-products including treated effluent is reused before releasing the excess into the water bodies / environment in a sustainable manner.



All ODF++ conditions met



Used water from all toilets discharged into a local sanitary outlet (underground sewer / septic tank with soak pit or a twin pit) and / or used water from drains is collected, conveyed and discharged safely into a STP or nearby sewer



Functional treatment plant available that effectively treats used water including sludge generated in the ULB



Sufficient number of vehicles with haulage capacity available for scheduled and regular emptying of septic tanks



Functional RSA and SRU set up with Mechanized cleaning of sewers, machineholes and septic tanks



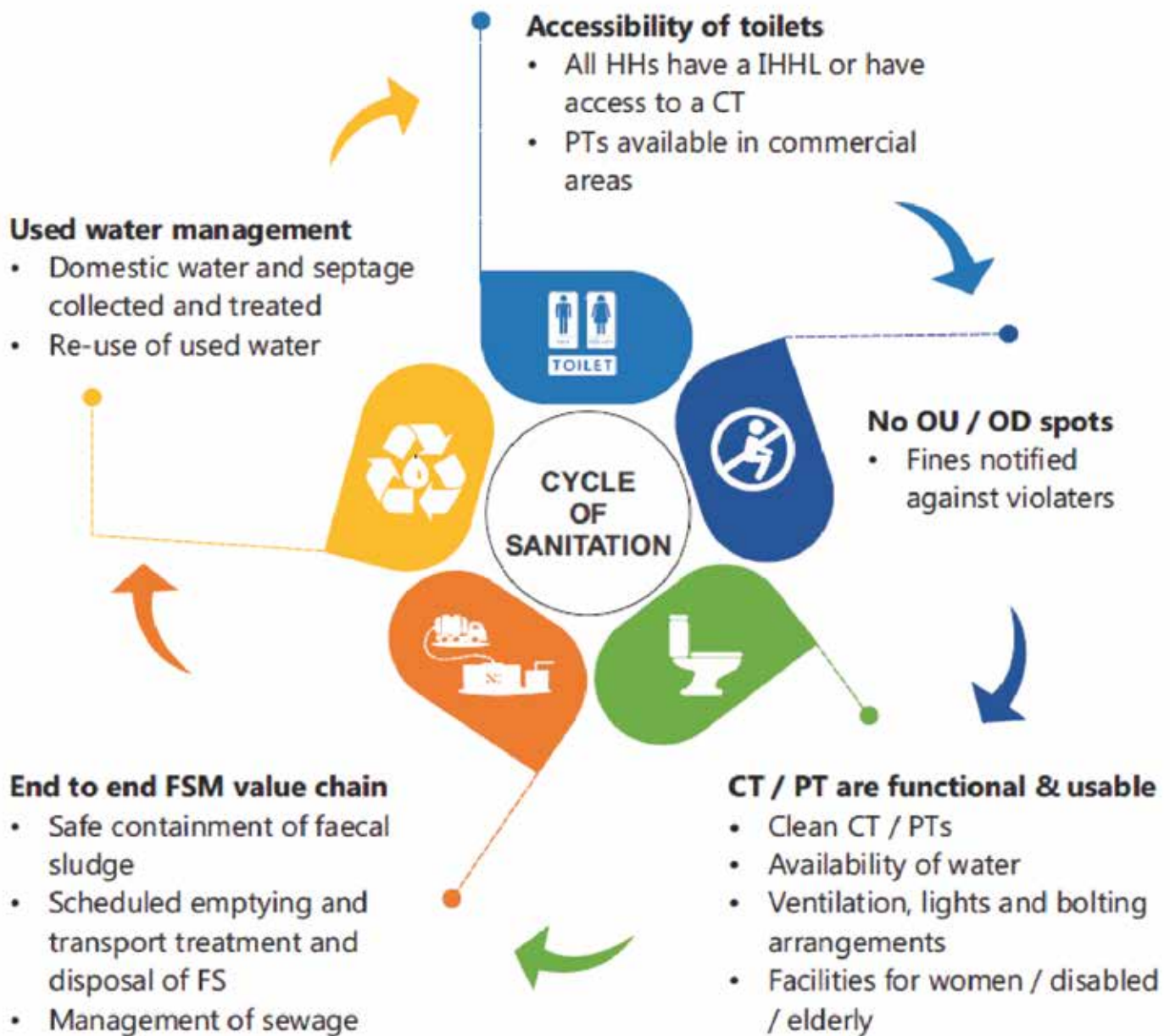
20% treated wastewater being reused after treatment



O&M costs of sewer networks / STPs / FSTPs being recovered

## 4. Cycle of Sanitation: Graded Approach

Swachh certifications ensure an incremental and inclusive approach across the entire UWM value chain



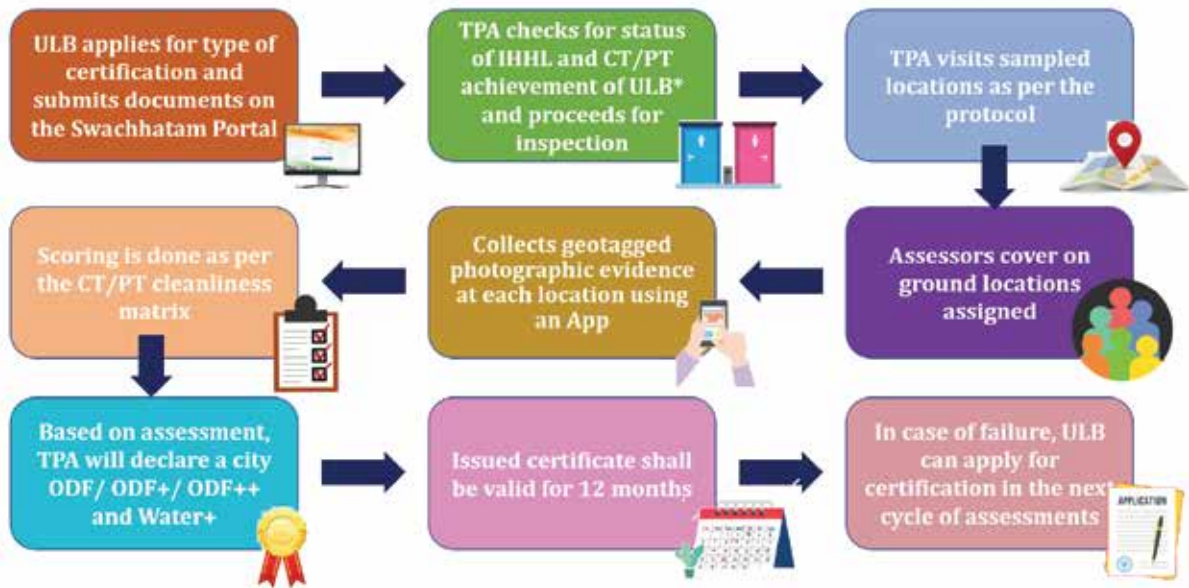
# 5. Assessment Mechanism for Swachh Certifications

## 5.1 Steps for certification

Once a city has communicated to the respective state government the final resolution declaring the city to be ODF / ODF+ / ODF++ / Water+ , and the state government has communicated the same to MoHUA(or in case of development authority or cantonment board, city has directly communicated to MoHUA),a third party verification process (“Swachh Certification for SBM ODF/ODF+ / ODF++ / Water+”) will be adopted, for the final certification. The following protocol will need to be followed for receiving the Swachh Certification:

- a) City self-declares itself as “ODF / ODF+ / ODF++ / Water+” for the first time and communicates the same to state SBM Mission Directorate, which in turn communicates to MoHUA, or directly to MoHUA if under Development Authority / Cantonment Board.
- b) Upon request by City / State to MoHUA, a third party (selected by MoHUA) will mobilize assessors to conduct the verification
- c) For the initial verification, the third party will assess both Service Level Status as well as conduct Independent Observation.
- d) Based upon the result of the assessment, the third party will make recommendations to MoHUA for cities to be certified ODF / ODF+ / ODF++ / Water+.
- e) MoHUA will subsequently issue a certificate based upon the recommendation of the third party.
- f) The certificate, when issued, will be valid for twelve months.
- g) For recertification, upon receiving request, the third party will conduct independent observation within the city. (Note: Due to heavy snowfall like conditions during peak winters in NE / Hilly regions such as Ladakh / remote areas, third part agency's field assessment shall be relaxed for 2 – 3 months between the month of December and February / March and continued from the month of March / April depending on the climatic condition / geographical conditions).
- h) In case the city desires to go for a higher certification, they can do so after a gap of six months of previous certificate.
- i) It is to be noted that certain static nature documents under Service Level Status will not be rechecked during the Re-recertification.
- j) Re-assessments under Swachh Certifications are discontinued. ULBs which fail to qualify will have to apply afresh for certification in the next application cycle. The tab on Swachhatam Portal for re-assessment will no longer be available.**
- k) In a year 2 application cycles will be available for ULBs for which the third-party agency is expected to evaluate.**

## Certification Process Flow



\*This is only applicable for ULBs which are not certified one-time under any certification. Such ULBs would need to meet 100% IHHL and CT / PT targets for assessments to be carried out.



## 5.2 Methodology for evaluation

The verification process will be conducted in two parts:

- a) **Service Level Status**
- b) **Independent Observations**

### a) **Service Level Status**

Preliminary data will be collected in advance by a process of self-assessment from ULBs / Development Authorities / Cantonment Boards as per the defined protocol. Third party agency will collect data / documentation of ULBs / Development Authorities / Cantonment Boards systematically through the Swachhatam Portal ensuring that the process is independent and unbiased.

### b) **Independent Observations:**

1. ULB / Development Authority / Cantonment Board must mandatorily provide complete city profile data to MoHUA for ODF / ODF+ / ODF++ / Water+ declaration, to facilitate observations.
2. The collection of data will be based on physical observation by the third-party assessors.
3. The questionnaire to facilitate data collection will be created by the third party in conjunction with Ministry of Housing and Urban Affairs.
4. The survey assessors will use IT enabled devices developed in consultation with Ministry to record their observations and findings along with photographs and videos.
5. The third party will systematically collect photos as evidence for field observations ensuring that the location, date and time are tagged on all the pictures.
6. For the assessment, cities will be classified based on population as below. Based upon the size of the city, it will be divided into zones.
7. For cities with greater than 10 lakh population, the city will be divided into 4 zones - North, South, East and West.
8. For cities with population between 1 – 10 lakh, the city will be divided into 4 zones – North, South, East and West.
9. For cities with population less than 1 lakh, the city will be divided into 2 zones – North and South.
10. Cities would need to fulfill the mandatory and desirable conditions as per the CT/PT Cleanliness Matrix/ ODF++ Matrix/ Water+ Matrix as applicable.
11. Allocations shall be within ULB limits and will be finalized at the discretion of the third party.
12. The selected locations for field verification shall not be disclosed to ULB / Development Authority / Cantonment Board.
13. Selection of locations for verifications will be sampled out of city profile and /or based on pre-visit by a separate team to identify locations for sampling at the discretion of MoHUA.
14. The following tables list the locations which have to be mandatorily inspected by the third party for independent observation, without exception.

## 5.2.1 ODF and ODF+ Locations

Location Type	No. of locations per zone (>10 lakh+)		Total locations per city (10 lakh+) (No .of zones x 4 samples per zone)		No. of locations per zone (1-10 lakh)		Total locations per city (1 -10 lakh) (No .of zones x 4 samples per zone)		No. of locations per zone (<1 lakh)		Total locations per city (<1 lakh) (No .of zones x 4 samples per zone)*	
	ODF	ODF+	ODF	ODF+	ODF	ODF+	ODF	ODF+	ODF	ODF+	ODF	ODF+
Slum	2	4	8	16	1	2	4	8	1	2	4	8
School (Conditions both inside and outside to be checked)	1	1	4	4	1	1	4	4	1	1	4	4
Roads and Streets (Falling under open defecation spots and open urination spots)	1	2	4	8	1	2	4	8	1	2	4	8
Public Area (Parks/ Temples/All toilets falling under tourist spots/ Iconic places to be checked regardless of sampling)	4 + Iconic place if any	4 + Iconic place if any	16	16	3 + Iconic place if any	3 + Iconic place if any	12	12	2+ Iconic place if any	2+ Iconic place if any	8	8
Commercial Area (Markets/bazaars, mandis etc, the backlanes of these areas to also be checked )	2	4	8	16	1	4	4	16	1	3	4	12
Residential Area**	2	2	8	8	1	1	4	4	1	1	4	4
Transport hubs (Railway Stations/Bus Stands/others etc) For railway stations 1 km on either sides to be visited)	4 per city	4 per city	4	4	2 per city	2 per city	2	2	1 per city	1 per city	1	1
Water bodies (All ponds, lakes, streams, riverbanks, beach/coast etc.)	4 per city	4 per city	4	4	2 per city	2 per city	2	2	1 per city	1 per city	1	1
<b>Total*</b>	-	-	56	76	-	-	36	56	-	-	30***	46***

\*Total + Iconic places

\*\* The following parameters will be assessed on sample basis for IHHLs

1) Toilet connected to:

- a) Sewer network
- b) Septic tank with soakpit
- c) Septic tank without soakpit, connected to an open drain
- d) Septic tank without soakpit, connected to a closed drain
- e) Twin pit
- f) Single pit

Detailed process and methodology for collection of data in requisite format is given at Annex

\*\*\*No. of locations to be inspected as in matrix if that number of locations is not available in smaller towns the available all location types will be inspected

## 5.2.2 ODF++ and Water+ Locations

Location Type	No. of locations per zone (>10 lakh+)		Total locations per city (10 lakh+) (No .of zones x 4 samples per zone)		No. of locations per zone (1-10 lakh)		Total locations per city(1-10 lakh) (No .of zones x 4 samples per zone)		No. of locations per zone (<1 lakh)		Total locations per city (<1 lakh) (No .of zones x 4 samples per zone)	
	ODF+ +	Water +	ODF+ +	Water +	ODF+ +	Water +	ODF+ +	Water +	ODF++	Water +	ODF+ +	Water +
Slum (STS, TPL, Sewer)	10	16	40	64	5	6	20	24	3	4	12	16
Roads and Streets (Falling under open defecation spots and open urination spots) (Main roads and Storm Water Drainage/ roads aligned with open or closed drains to be checked under Water+)	10	16	40	64	5	6	20	24	3	4	12	16
Public Area (Parks/ Temples/All toilets falling under tourist spots/ Iconic places to be checked regardless of sampling)	8+ Iconic place if any	12	32	48	4+ Iconic place if any	6	16	24	3+Iconic place if any	4	12	16
Commercial Area (Markets/bazaars , mandis etc., the backlanes of these areas to also be checked)	10	16	40	64	5	6	20	24	3	4	12	16
Residential Area** (STS, TPL, Sewer)	10	16	40	64	5	6	20	24	3	4	12	16
Transport hubs (Railway Stations/Bus Stands/others etc) For railway stations 1 km on either sides to be visited)	4 per city	6	4	6	2 per city	4	2	4	3 per city	4	3	4
Construction Sites	NA	6	NA	24	NA	6	NA	24	NA	4	NA	16
Industrial Establishments	NA	12	NA	48	NA	6	NA	24	NA	4	NA	16
Decanting points and Desludging Vehicle	NA	3	NA	12	NA	2	NA	8	NA	1	NA	4



Location Type	No. of locations per zone (>10 lakh+)		Total locations per city (10 lakh+) (No .of zones x 4 samples per zone)		No. of locations per zone (1-10 lakh)		Total locations per city(1 -10 lakh) (No .of zones x 4 samples per zone)		No. of locations per zone (<1 lakh)		Total locations per city (<1 lakh) (No .of zones x 4 samples per zone)	
	ODF+ +	Water +	ODF+ +	Water +	ODF+ +	Water +	ODF+ +	Water +	ODF++	Water +	ODF+ +	Water +
Point of recycling and reuse	NA	3	NA	12	NA	2	NA	8	NA	1	NA	4
Barren Areas (field/ unused land)	8	10	32	40	2	3	8	12	1	2	4	8
	Location of all open fields/unused land in the outskirts of the city to be provided by ULB											
Water bodies (All ponds, lakes, streams, riverbanks, beach/coast etc.)	4 per city	6	4	6	2 per city	4	2	4	1 per city	3	1	3
STPs and/or FSTPs in the city (Centralized/ decentralized)	All STPs and/or FSTPs in the city to be covered											
Total*			232	452			108	204			68***	135** *

\*Total + Iconic places

\*\* The following parameters will be assessed on sample basis for IHHLs

**2) Toilet connected to:**

- a) Sewer network
- b) Septic tank with soakpit
- c) Septic tank without soakpit, connected to an open drain
- d) Septic tank without soakpit, connected to a closed drain
- e) Twin pit
- f) Single pit

**Detailed process and methodology for collection of data in requisite format is given at Annex**

\*\*\*No. of locations to be inspected as in matrix if that number of locations is not available in smaller towns the available all location types will be inspected

### 5.2.3 Mandatory Inspection protocols for third party agency

1. The third party will share a formal communication with the State/UT on the inspection schedule two days prior to the assessment. The assessor(s) shall NOT meet the Municipal Commissioner/Nodal Officer / Chairperson / CEO or any designated officer.
2. Re-scheduling of inspections will only be carried out under exceptional circumstances
3. Assessor(s) shall conduct inspection for open defecation and toilets in the early morning hours (4am to 6am) and late evening hours (8pm to 10pm), viz. peak hours for open defecation and toilet usage. The designated assessor shall visit the inspection sites (only) and prepare / submit her / his report. The assessor(s) shall NOT be accompanied by ULB /Development Authority / Cantonment Board staff on the inspection.
4. If the assessor(s) fails to geo tag the location correctly (i.e., latitude and longitude versus the name of the said location) and in the report if there is a mis-match then the said location shall be considered null and void and in case of complaint by ULB / Development Authority / Cantonment Board on such and related matters a penalty of Rs. 500/- per case may be imposed on the third party. Quality Audit on the work of the assessor would be conducted.



## 6. Mandatory Conditions for Swachh Certifications

### 6.1 ODF Certification

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

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

1. All households that have space to construct toilet, have constructed one. 100% of approved IHHL applications should be constructed and details with photographs have been uploaded on the Swachhatam Portal.
2. All occupants of those households that do not have space to construct toilet have access to a community toilet within a distance of 500 meters. The ULB should have achieved 100% of its target for construction of Community Toilets and details with photographs have been uploaded on Swachhatam Portal.
3. All commercial areas have public toilets within a span of 1 kilometer. The ULB should have achieved 100% of its target for construction of Public Toilets and details with photographs have been uploaded on Swachhatam Portal.
4. Details of all Individual Household Toilets (IHHLs) constructed from 2011 onwards will have to mandatorily be uploaded on the Swachhatam portal
5. Pictures of all functional community and public toilets in the city, irrespective of source of funding and the date of construction, will have to be mandatorily uploaded on the Swachhatam portal.
6. Fine mechanism has been implemented by the ULB to prevent citizens from defecating in the open.
7. In case ULB fails to qualify the certification, the ULB will have to apply afresh in the next cycle of inspections for the same certificate or may go for a higher certification.
8. Cities applying for higher certification, may do so after six months from the date of issue of existing certificate.
9. Cities which are ODF and expired will be automatically taken for re-certification for the same unless the city applies for a higher certification. However, alerts will be issued to the city and State atleast 2 months in advance indicating expiry of the certification.
- 10. Converted ULBs from village which possess a ODF declared certificate from Swachh Bharat Mission – Grameen (SBM-G) would be accorded 1 year's exemption for ODF certificate & subsequently they have to apply for a fresh certificate as per protocol.**

### Steps to be followed by city for certification under ODF

- 1) All the 'necessary conditions' on infrastructure and regulations have to be fulfilled by the city / ward
- 2) Following the fulfilment of (1) above, a declaration has to be obtained from all wards of the city/town, without exception, declaring respective wards as ODF. All wards of a city may make this self- declaration in prescribed format as given in Annexure 1 and submit to city municipal administration as per due process.
- 3) Once the above declarations have been obtained from all wards by the respective city municipal administration, the city municipal administration may pass a preliminary resolution declaring the city to be 'Open Defecation Free'.
- 4) Following such resolution / notification, a suitable public announcement must be made for the same as well, in atleast two newspapers of wide circulation and readership, inviting public feedback / objection with a fifteen-day timeline.
- 5) Following such resolution, public objections / feedback may be invited, with a fifteen day timeline. If no substantial objections are received at the end of this time, a final resolution is adopted by the city municipal administration and the same is communicated to respective state governments.
- 6) On receipt of the said communication, the state government may ensure that the claim of the city is verified at its own level before forwarding the same to MoHUA for its third party verification process (in a time bound process).
- 7) MoHUA will then carry out the "Swachh Certification process for SBM-U ODF". Issued certificate shall be valid for 12 months.
- 8) In case ULB fails to qualify the certification, the ULB will have to apply afresh in the next cycle of inspections for the same certificate or may go for a higher certification.



## 6.2 ODF+ certification

A city / ward / work circle<sup>1</sup> can be notified/declared as SBM ODF+ if, at any point of the day not a single person is found defecating and/ or urinating in the open AND all community and public toilets are functional and well maintained.

### **Necessary infrastructure and regulatory conditions to be achieved before declaring a city/ ward as SBM ODF+:**

1. All applicable conditions of ODF to be fulfilled.
2. In case the city is once certified as ODF, for subsequent re-certification or higher certification the target for construction of IHHL and CT / PT will be de-linked. Any additional requirements for construction toilets can be considered, in subsequent years, if any such specific need arises. Any subsequent application for construction of IHHL / CT / PT would not stop the process of certification.
3. While deciding the number of toilets seats/urinals and blocks, the city's entire floating population must be considered which may not be less than 5% of estimated present population.
4. The city has sufficient mobile toilets / toilet facilities for use during occasions with large gatherings in a single area (i.e., situations with high demand for toilets, where existing facilities may not be sufficient, regardless of how infrequent these occasions are. However, in case of very large gatherings like Kumbh etc., at sufficiently large interval separate arrangement can be made by Mela authorities specific to event). ULBs are required to identify such infrequent occasions and locations and declare for data and field verifications.
5. City has carried out structural audit of all such community / public toilets which are more than >15 yrs old and are in dilapidated condition and has carried out necessary repairs / renovations / reconstruction on the basis of the findings of audit.
6. All functional public and community toilets should be appropriately provisioned and well maintained, thereby, adhering to all the conditions as per CT/PT Cleanliness Scoring Matrix. For a city to be declared ODF+ all CT / PTs are to score the minimum qualifying marks.
7. ULB / Development Authority / Cantonment Board has notified sanitation service level benchmarks, at the least adhering to all conditions defined for SBM ODF+ in this protocol document, in municipal bye - laws (or equivalent, in absence of municipal administration) and published the same in at least two dailies with wide reach.
8. The city has issued and notified fines against open defecators, and people urinating in open and has defined penalty / fine against concessionaires / maintenance authorities in-charge of community / public toilets in service contract (with respect to poor maintenance of such toilets).
9. Cities which are ODF+ and expired will be automatically taken for re-certification for the same unless the city applies for a higher certification. However, alerts will be issued to the city and State atleast 2 months in advance.
10. All Public and Community Toilets should be mapped on Swachhatam Portal.

---

<sup>1</sup> Work circle applicable only if concerned area is under jurisdiction of development authority. For ULBs, only Electoral Wards shall be considered

11. A digital system to be in place for capturing user feedback on a regular basis, multiple times a day, for each CT / PT via different methods such as QR Code or My Toilet App launched by MoHUA.
12. Cities once certified as ODF+, can apply for higher certification only after six months from the date of issue of existing certificate.

**Steps to be followed by city for certification under ODF+**

1. All the 'necessary conditions' on infrastructure and regulations have to be fulfilled by the city / ward / work circle<sup>2</sup>.
2. Following the fulfilment of (1) above, a declaration has to be obtained from all wards / Work Circles of the city / town, without exception, declaring respective wards / work circles as ODF+. All wards / work circles of a city/town shall make this self-declaration in the prescribed format in Annexure 2 (where applicable) and submit to city municipal administration / development authority as per due process.
3. On receiving the declarations, the city municipal administration / development authority must pass a preliminary resolution or issue a notification in local dailies of wide reach, declaring the city to be SBM ODF+.
4. Following such resolution / notification, a suitable public announcement must be made for the same as well, in atleast two newspapers of wide circulation and readership, inviting public feedback / objection with a fifteen-day timeline.
5. If no substantial objections are received at the end of this time, a final resolution is adopted by the city municipal administration/development authority and the same is communicated to respective state government.
6. On receipt of the said communication, the state government may ensure that the claim of the city is verified at its own level before forwarding the same to MoHUA for its third-party verification process (in a time bound process).
7. MoHUA will then carry out the "Swachh Certification process for SBM-U ODF" process. Issued certificate shall be valid for 12 months.
8. In case ULB fails to qualify the certification, the ULB will have to apply afresh in the next cycle of inspections for the same certificate or may go for a higher certification.
9. Cities once certified as ODF + can apply for higher certification only after six months from the date of issue of existing certificate.

**10. All CT/PTs mapped on the Swachhatam Portal will be inspected by the third party agency. In case any CT/PT has been deleted via a formal request received from the State/ULB the same should not be present on ground. In case during inspection such a deleted toilet is found on ground the same will be inspected by the third party agency.**

**However, those CT/PTs which are abandoned/ not in use and a new CT/PT is constructed in vicinity will be exempted from inspection. Similarly, If any CT/PT is found on ground which is locked/not in use and proposal for its reconstruction is approved by Ministry the same will not be inspected by third party agency.**

**11. It is requested that ULBs ensure that CT/PTs mapping on Swachhatam portal is up to date. Those CT/PTs which are not mapped on the Swachhatam portal will also be inspected. However, only those CT/PTs which fall under the jurisdiction of the ULB will only be inspected.**

---

<sup>2</sup> Work circle applicable only in case concerned area is under jurisdiction of development authority

### 6.2.1 CT/PT and or Standalone Urinal Evaluation Matrix

To assess the functionality and usability of CT / PTs and / or urinals a revised and a more simplified scoring matrix has been devised wherein all CT/PTs and or Urinals are to meet the parameters of **FACES** i.e. **F**unctional, **A**ccessible, **C**lean, **E**co-Friendly and **S**afe.

S.No.	FACES Parameter	Indicators (Range of Maximum Services)	Max Marks	Option 1	Marks	Option 2	Marks	Option 3	Marks	Option 4	Marks	Score Marks received
<b>MANDATORY SERVICE INDICATORS (MAXIMUM SCORE 200)</b>												
M1	<b>F</b> unctional	Availability of water	30	Water is available in >75% of all cubicles	30	Water is available in <50% of all cubicles	25	Water is available in/ around the premises	20	Water is not available	0	
M2		Adequate ventilation facility (vents, slanted glass slats and/or exhaust fan)	20	Exhaust Fan available	20	Slanted Glass available	19	Natural Ventilation	17	Ventilation not available	0	
M3	<b>A</b> ccessible	All doors to be in good condition and functional bolting arrangements on all doors of all toilet seats (ladies toilets will be assessed separately)	20	>75% doors in good condition & have functional bolting arrangements	20	50-75% doors in good condition & have functional bolting arrangements	10	25-50% doors in good condition & have functional bolting arrangements	8	<25% doors in good condition & have functional bolting arrangements	0	
M4		<b>C</b> lean	All toilet seats and urinals clean and usable at all times	30	>75% seats are clean	30	50-75% seats are clean	25	25-50% seats are clean	20	<25% seats are clean	0
M5	Available and regularly cleaned (covered) litter bins, with bins available with each toilet seat/ outside (to be checked only in female seats)		20	>75% cubicles/ toilet block have litter bin and are regularly cleaned	20	50-75% cubicles/ toilet block have litter bin and are regularly cleaned	19	25-50% cubicles/ toilet block have litter bin and are regularly cleaned	17	<25% cubicles/ toilet block have litter bin and are regularly cleaned	0	
M6	Wash basin(s)/hand wash facility clean and usable at all times		10	Fully visually clean & usable	10	Partially clean & usable	5	Not clean but usable	4	Not available	0	
M7	<b>E</b> co-Friendly	Untreated sewage/ faecal sludge from the toilet is not discharged and/or dumped in drains, open areas or water bodies	20	Yes	20	Yes	20	Yes	20	No	0	
M8		<b>S</b> afe	Complaint registration and incidents resolved within 24 hours of registration (manual register for capturing feedback in cities with less 50000 population)	20	Yes	20	Yes	20	Yes	20	No	0
M9	Premises are well lit at all times, both within and outside, with each seat		10	Yes (Functional light points	10	Yes (Functional lights available	5	Yes (Functional light points outside the premises)	4	No (No light points available)	0	
<b>MANDATORY SERVICE INDICATORS (MAXIMUM SCORE 200)</b>												
		having its own light point, and all light points functional		available both outside the premises and within the toilet cubicles		inside the premises)						
M10		Caretaker is on duty at all times during open hours	20	Yes	20	Yes	20	Yes	20	No	0	
<b>Total Marks</b>			<b>200</b>		<b>200</b>		<b>168</b>		<b>150</b>		<b>0</b>	



S.No.	FACES Parameter	Indicators (Range of Services)	Maximum Marks	Option1	Marks	Option2	Marks	Option 3	Marks	Option 4	Marks	Score received
<b>DESIRABLE SERVICE INDICATORS (MAXIMUM SCORE – 100)</b>												
D11	<b>F</b> <b>unctional</b>	Available soap / operational soap dispenser	10	Soap Dispenser available and functional with liquid soap/ soap bar available	10	No dispenser, but hand- washing soap available	5	Detergent soap bar available, not suitable hand- washing soap	4	Soap not available	0	
D12		Ladies' toilets have vending machine/ mechanism for sanitary napkins	10	Sanitary napkin vending machine/ mechanism is available and functional	10	Sanitary napkin vending machine/ mechanism is available but not functional	5	Yes	2	Not available	0	
D13		O&M model present for upkeep of CT/PT and/ or standalone urinal	10	Yes	10	Yes	10	Yes	10	No	0	
D14		Standalone urinal (clean, water available & cleaning mechanism present) – (only if applicable, in case ULB does not have urinals full marks to be given)	10	Standalone urinal clean, water available & cleaning mechanism present	10	Yes	10	Yes	10	Standalone urinal not clean, water not available & cleaning mechanism not present	0	
D15	<b>A</b> <b>ccessible</b>	Premises are visible to passers by, with clear signage, and the area within 3m from each direction of the structure is not encroached by unauthorized construction and vendors	10	Signage Available within every 100 m each (min 5 signage)	10	Signage Available within every 300m (min3 signage)	5	Signage Available within every 500m (min1 signage)	4	No Signage Available	0	
D16		Dedicated toilet seats for differently abled/transgendered/ children (Features many include things like ramp, low height toilet seats for children etc.	10	Yes	10	Yes	10	Yes	10	No	0	
D17		<b>C</b> <b>lean</b>	Staff is provided with necessary supplies of consumables, cleaning equipment, protective gear and inventory, and there is no stock out for longer than 24 hours	10	Yes all 3 available	10	Yes 2 available	5	Yes 1 available	4	Not available	0
D18	Roster being maintained for regular cleaning and maintenance		10	Roster is available	10	Yes	10	Yes	10	No (None available)	0	
D19	<b>E</b> <b>co-Friendl</b> <b>y</b>	Water/ Energy efficient toilet (water reuse for flushing purposes, water efficient fixtures or use of solar panels for electricity)	10	Water/ energy efficient toilet (such as sensor based taps or water efficient taps water reuse for flushing purposes etc. or use of solar panels for electricity )	10	Water efficient toilet (water reuse for flushing purposes etc.)	5	Water/ energy efficient toilet ( water efficient fixtures etc or energy efficient toilet)	2	Not a water/ energy efficient toilet	0	
D20		<b>S</b> <b>afe</b>	Name and contact details of the following are displayed prominently - Toilet identification number, name of ULB under whose jurisdiction toilet is covered, ward number and maintenance authority prominently displayed for each toilet	10	Yes	10	Yes	10	Yes	10	No	0
	block Supervisor, Supervisor's agency and are a Sanitary Inspector (Contact number will be checked whether it is working or not) (The user charges should be clearly mentioned at the CT/PT entrance for each gender)											
<b>Total</b>			<b>100</b>		<b>100</b>		<b>75</b>		<b>66</b>		<b>0</b>	

To be certified as ODF+ a ULB should achieve minimum qualifying marks in mandatory parameters i.e. 150 marks and achieve at least 30 marks in desirable parameters.



## 6.2.2 CT/ PT and/or Standalone Urinal Cleanliness Scoring Matrix

To assess the functionality and usability of CT / PTs and / or urinals a revised and a more simplified scoring matrix has been devised wherein all CT/PTs and or Urinals are to meet the parameters of **FACES** i.e. **Functional, Accessible, Clean Eco-Friendly and Safe**.

### CT/ PT and/or Standalone Urinal Cleanliness Scoring Matrix

Mandatory Parameters				
Parameters			Max Marks	Min Qualifying
M1	<b>Functional</b>	Availability of water	30	20
M2		Adequate ventilation facility	20	17
M3	<b>Accessible</b>	All doors in good condition with functional bolting arrangement	20	8
M4	<b>Clean</b>	All toilet seats/urinals are clean, usable, and hygienic at all times	30	20
M5		Litter bins available	20	17
M6		Wash basin clean and usable at all times	10	4
M7	<b>Eco-friendly</b>	Untreated fecal sludge and sewage from the toilet is not discharged or dumped in drains, open areas	20	20
M8	<b>Safe</b>	Complaint registration mechanism available	20	20
M9		Premises are well-lit at all times, both within and outside	10	4
M10		Caretaker available at all times the toilet is open	20	20
<b>Total</b>			<b>200</b>	<b>150</b>
Desirable Parameters				
Parameters				Max Marks
D11	<b>Functional</b>	Available soap / operational soap dispenser & air freshener	10	
D12		Sanitary pads available (packet or dispenser) and separate collection bin for used pads	10	
D13		O&M mechanism in place	10	
D14		Standalone urinal (clean, water available & cleaning mechanism present) – (only if applicable)	10	
D15	<b>Accessibility</b>	Premises are visible to passers by, with clear signage	10	
D16		Dedicated toilet seats for differently abled/transgendered/ children (low height toilets)	10	
D17	<b>Clean</b>	Staff is provided with necessary supplies of consumables, cleaning equipment & PPE	10	
D18		Roster being maintained for regular cleaning and maintenance	10	
D19	<b>Eco-friendly</b>	Water & energy efficient toilet (water reuse for flushing purposes, water efficient fixtures , use of solar panels for electricity.)	10	
D20	<b>Safe</b>	Name and contact details of supervisor displayed on toilet block	10	
<b>Total</b>				<b>100</b>

To be certified as ODF+ a ULB should achieve minimum qualifying marks in mandatory parameters i.e. 150 marks and achieve at least 30 marks in desirable parameters.

<b>Qualifying Marks for ODF+ (180/300 Marks)</b>	<b>Mandatory Parameters – 150 Marks</b>	<b>Desirable Parameters – 30 Marks</b>
--	---	--

## 6.3 ODF++ Certification

A city / ward / work circle<sup>3</sup> can be notified / declared as SBM ODF++ city / SBM ODF++ ward / SBM ODF++ work circle if, it meets all conditions pertaining to ODF and ODF+ AND entire sewage including faecal sludge & septage is safely managed and treated, with no open discharge / dumping of untreated entire sewage including faecal sludge & septage in water bodies or open areas.

**Note:** Cities that have been certified as SBM ODF+ shall thereafter be eligible to declare themselves as SBM ODF++ and apply for certification of SBM ODF++ status, as per the conditions laid down in this protocol document.

### **Necessary infrastructure and regulatory conditions to be achieved before declaring a city / ward as SBMODF++**

1. All necessary conditions for SBM ODF+ (as per the SBM ODF+ protocol laid down by MoHUA) have been achieved.
2. All functional CT / PT should be appropriately provisioned and well maintained, with all conditions as per CT / PT Cleanliness Scoring Matrix.
3. All toilets (individual, community and public) are either connected to:
  - a) Onsite containment systems with suitable secondary treatment; (such as septic tanks with soak pit, or community level soak pit designed as per IS: 2470, twin pits or other on-site sanitation systems prescribed by CPHEEO / SBM-Urban Mission Guidelines) with regular emptying, treatment and/or safe disposal of septage from these toilets managed. Mandatory to inspect septic tank as well as secondary treatment system such as soak-pit, bio-filter, soaking trenches etc.
  - b) Septic tank effluent collected through drains (as interim measure) to STP or;
  - c) Sewerage network leading to an STP.
4. All households not covered with sewerage network preferably should have septic tank with soak pits. All such septic tanks with soak pits should be geo-tagged. As indicated in the definition of ODF++ no untreated sewage including faecal sludge & septage should be dumped into water body / open drains/open environment.
5. In exceptional cases where CT / PT / IHHL outlets are not connected to sewer network and also no space available for construction of soak pits, in such cases the effluent from septic tank should necessarily be collected and conveyed through pucca municipal drains (as an interim measure) to bring it to some sewage treatment plant and only after requisite treatment of effluent it should be discharged into water body or environment.
6. Scheduled inspection of septic tanks and soak pits, through an institutionalized mechanism should be ensured for safe sanitation practice bi-annually.
7. Septic tanks to be cleaned on demand basis. All desludging-vehicles to be tracked on GPS system and digital records to be provided during inspections.
8. All septic tank cleaning private service providers are registered with and licensed by ULB / Development Authority / Cantonment Board, and operate through contract with the respective

---

<sup>3</sup> Work circle applicable only in case concerned area is under jurisdiction of development authority. For all ULBs only electoral wards will be considered.

administration or authority in a scheduled manner / allotted area and are utilizing well-maintained mechanized equipment.

9. Adequate number of de-sludging vehicles and workforce should be available. Sufficient capacity of de-sludging vehicles and jetting machines for cleaning of septic tanks with soak pits and sewers respectively in the city.
10. All towns will strive to make arrangements to co-treat their septage at STP which is economical. However, septage can be treated at any existing FSTP as well although treating sewage and septage at separate treatment facilities will be uneconomical.
11. Cluster approach / Co-treatment can be adopted by small ULBs along with MoU, logbooks and other records of operation and maintenance.

**12. ULBs adopting a cluster approach will need to submit the following details during DA:**

- i. Name of the parent ULB**
- ii. MoU with the parent ULB**
- iii. Distance to the plant in parent ULB (only 25-30 kms is permissible)**
- iv. Capacity of the parent ULB plant**
- v. Logbook of the septage being transported to the parent ULB**
- vi. Details including the evidences of the desludging vehicles**
- vii. Receipts of desludging**

**ULB claiming cluster treatment will need to submit evidences for parameters mentioned above & any gap in fulfilling the requirements will lead to the failure in the plant category for ODF++.**

**All STPs/ FSTPs will be inspected regardless of application either by the parent ULB or the ULB which is claiming cluster treatment with another ULB.**

**13. For cities with population less than 20,000, interim measures such as Deep Row Entrenchment (DRE) or standalone Sludge Drying beds may be considered during planning and construction of STP if in nearby towns also STP does not exist for co-treatment of septage. DO letter released by MoHUA on 22<sup>nd</sup> October 2019 may be referred. During inspections the conditions permissible for DRE to be referred are as follows:**

- i. DRE shall only be considered for the ULBs with current population <20,000**
- ii. Site should be at least 500 mts away from nearest habitation & should not be too far away say 2-5kms**
- iii. Site should be at least 100 mt away from surface water body**
- iv. Site should be 10 ft above from high water table areas (declaration)**
- v. Size of land should be available depending on capacity (~1,000 Sq mt) & the pit should be properly fenced**
- vi. Declaration from the ULB (including the capacity, the co-ordinates, septage generation of the ULB)**

14. The city has issued and notified fines against persons / desludging operators dumping untreated sewage including faecal sludge & septage in drains and / or open areas. Also, Bylaws for mandatory desludging once in three years should be notified.

15. ULB / Development Authority / Cantonment Board has notified sanitation service level benchmarks, at the least adhering to all conditions defined for SBM ODF++, in municipal bye-laws (or equivalent) and published the same in atleast two newspapers with wide reach.
16. The septic tank design should conform to IS: 2470 Part I, and Soak pits / soak wells and other suggested options in-conformity to IS:2470- Part –II.
17. All new septic tanks being constructed henceforth need to be in conformity of design as per IS 2470. Where sewerage network is not planned and unlikely to come in immediate future, the septic tanks which are not constructed in conformity of IS 2470 and are having open bottom are to be re-constructed.
18. Sustainable financing mechanism i.e. operational expenditure of sewage including faecal sludge & septage management should be recovered either through dedicated sanitation tax (mentioned in property tax) / Advance remittance of user charges.
19. Awareness campaigns around safe desludging and treatment should be disseminated.
20. Mandatory for all cities to have 14420 helpline number operationalized and a dedicated call centre set up for the same, which will have data of all complaints recorded and resolved. For ULBs with less than 50,000 population a cluster approach maybe used wherein the helpline number can be maintained at the District level.
21. City to provide documentation / declaration of complete mechanized cleaning of sewers / septic tanks in the past one year along with evidence that optimum numbers of human resources and machines (as per the Calculator shared by MoHUA) are available.
22. Declaration stating that requisite mechanism for mechanized cleaning of septic tanks and sewers are in place and no informal workers engaged for such services.
23. All Districts / Corporations have set up functional SRU, along with RSA notified by State as per the guidelines issued by MoHUA



### **Steps to be followed by city for certification under ODF++**

1. All the 'necessary conditions' on infrastructure and regulations have to be fulfilled by the city/ ward / work circle<sup>4</sup>.
2. Following the fulfilment of (1) above, a declaration has to be obtained from all wards / work circles of the city / town, without exception, declaring respective wards / work circles as SBM ODF++. All wards / work circles of a city / town shall make this self-declaration in the prescribed format in Annexure 3 (where applicable) and submit to city municipal administration/ development authority as per due process..
3. The following sub-declarations in the format prescribed at Annexure 3 (where applicable) are to be obtained by the municipal administration / development authority / cantonment board / wards / work circles, as applicable, in order to facilitate the above self-declaration:
  - a) Every ward councillor / work circle in-charge or engineer<sup>5</sup> gives a declaration that all necessary conditions are fulfilled as per SBM ODF++ protocol, and ward / work circle has been declared as SBM ODF+ to city municipal administration / development authority / cantonment board as per due process.
  - b) Every desludging operator gives a declaration (as per format prescribed in Annexure 3) that they are registered with and licensed by the ULB / development authority / cantonment board, operating through a contract with respective administration / authority to provide sludge/ septage emptying services to households or community and/or public toilets, are utilising mechanized equipment for providing services, are conveying emptied sludge/septage to FSTP / STP with co- treatment facility / SWM treatment plant with co-treatment facility and are not dumping untreated faecal sludge in open environment.
  - c) For a city applying directly for ODF++, mandatory declarations as per ODF and ODF+ needs to be obtained from stakeholders
4. On fulfillment of the above, the city municipal administration / development authority must pass a preliminary resolution or issue a notification in local dailies of wide reach, declaring the city to be SBM ODF++.
5. Following such resolution / notification, a suitable public announcement must be made for the same as well, in atleast two newspapers of wide circulation and readership, inviting public feedback / objection with a fifteen-day timeline.
6. If no substantial objections are received at the end of this time, a final resolution is adopted by the city municipal administration / development authority and the same is communicated to respective state government.
7. On receipt of the said communication, the state government may ensure that the claim of the city is verified at its own level before forwarding the same to MoHUA for its third-party verification process (in a time bound process).
8. MoHUA will then carry out the "Swachh Certification process for SBM-U ODF" process. Issued certificate shall be valid for 12 months. In case ULB fails to qualify the certification, the ULB will have to apply afresh in the next cycle of inspections for the same certificate or may go for a higher certification.
9. Cities once certified as ODF ++ can apply for higher certification only after six months from the date of issue of existing certificate.

<sup>4</sup> Work circle applicable only in case concerned area is under jurisdiction of development authority. For all ULBs only electoral wards will be considered.

<sup>5</sup> Only in case of area under jurisdiction of development authority

### 6.3.1 ODF++ Evaluation Matrix

S.No	Indicator	Max Marks	Option 1	Marks	Option 2	Marks	Option 3	Marks	Option 4	Marks	To qualify	Max Marks
1.	Safe containment, conveyance and discharge of sewage from CT/PT and IHHL	50	<p>Yes there is safe containment, conveyance and discharge of sewage from CT/PT and IHHL</p> <p>[collected either through septic tank with soak-pit, twin pit or sewer network and/ or septic tank and storm drain and intercepted and diverted to atleast a secondary treatment plant (i.e. any normal STP)] or,</p> <p>In case there is no space to construct individual soak-pit, a functional community soak pit maybe permitted provided it is designed as per ISO-2470 ensuring that it does not pollute the groundwater as the concentrated effluent in septic tank would be of large quantity and has a higher risk of polluting the groundwater/ land.</p> <p>per ISO-2470 ensuring that it does not pollute the groundwater as the concentrated effluent in septic tank would be of large quantity and has a higher risk of polluting the groundwater/ land.</p>	50	<p>There is safe containment conveyance from CT/PT and IHHL (and not allowed to locally discharge say over ground or nearby drains) but discharge without secondary treatment of sewage. However, in such case the DPR* for treatment plant (secondary level) is approved by SLTC/ under Implementation.</p> <p>(*DPR approval/ under implementation option by SLTC is valid only for period 1st Jan, 2024 till 31st Dec, 2024. From Jan, 2025 onwards above mentioned relaxation is not applicable)</p>	35	NA	35	No safe containment, conveyance and discharge of sewage from CT/PT and IHHL	0	35	50

S.No	Indicator	Max Marks	Option 1	Marks	Option 2	Marks	Option 3	Marks	Option 4	Marks	To qualify	Max Marks
2.	<p>Adequate treatment capacity of sewage/ septage (70% of current population) with facility for co-treatment of septage at STP. Where STP is yet to come up, faecal sludge can be treated at existing nearby FSTP</p> <p>(For towns having population less than 20,000 interim measures like DRE or sludge drying bed etc. maybe used to manage faecal sludge management.</p> <p>For sewage it can be managed using nature based decentralized STPs or through properly designed community soak pits/ individuals soak pits)</p>	50	>70%	50	>50	35	<p>&gt;25%</p> <p>or</p> <p><b>Further in all such cases where DPR* for treatment plant for used water along with co-treatment is approved by SLTC/ under implementation (whether for total or additional capacity) will also qualify</b></p> <p>(*DPR approval/ under implementation option by SLTC is valid only for period 1st Jan, 2024 till 31st Dec, 2024. From Jan, 2025 onwards above mentioned relaxation is not applicable)</p>	25	-	-	25	50

S.No	Indicator	Max Marks	Option 1	Marks	Option 2	Marks	Option 3	Marks	Option 4	Marks	To qualify	Max Marks
3.	Septic tanks to be cleaned on demand basis  (All desludging-vehicles to be tracked on GPS system and digital records to be provided during inspections and the same to be linked to Swachhatam Portal)	25	75%-100% (Septic tanks to be cleaned on demand basis)	25	50-74%	20	25-49%	15	Less than 25%	0	15	25
4.	Mechanized cleaning of septic tanks and sewers	50	75%-100%	50	50-74%	35	25-49%	25	Less than 25%	0	25	50
5.	All septic tank cleaning service providers are registered with and licensed by ULB/ Development Authority/Cantonment Board	15	Yes, All septic tank cleaning service providers are registered with and licensed by ULB/ Development Authority/Cantonment Board	15	-	-	-	-	No, all septic tank cleaning service providers are not registered with and licensed by ULB/ Development Authority/Cantonment Board	0	15	15
6.	Adequate number of de-sludging vehicles and workforce should be available as per CPHEEO norms	40	75-100%	40	50-74%	20	25-49%	10	<25%	0	10	40



S.No	Indicator	Max Marks	Option 1	Marks	Option 2	Marks	Option 3	Marks	Option 4	Marks	To qualify	Max Marks
7.	City has issued and notified fines against persons/de-sludging operators dumping untreated faecal sludge emptied from septic tanks in drains and/or open areas	10	Yes	10	-	-	-	-	No	0	10	10
8.	Sustainable financing mechanism i.e. operational expenditure of fecal sludge management value chain should be recovered either through dedicated sanitation tax(mentioned in property tax)/Advance remittance of user charges	20	100%	20	75-100%	15	50-74%	10	Less than 50%	0	10	20
9.	Mandatory for all cities to have 14420 helpline number operationalized or any other feedback mechanism in place	15	Yes	15	--	-	-	-	No	0	15	15
10.	All Districts/ Corporations have set up functional SRU, along with RSA notified by State as per the guidelines issued by MoHUA	10	State has notified RSA and all districts have set-up SRUs	10	State has notified RSA and atleast 50% districts in the State have set-up SRUs	5	State has notified RSA but no SRUs have been setup by districts	3	No	0	5	10

### 6.3.2 ODF++ Scoring Matrix

Parameters		Max Marks	Min Qualifying
M1	Safe discharge of sewage including septage from CT/PT/IHHL	50	35
M2	Adequate treatment capacity of the sewage/ septage	50	25
M3	De-sludging been carried out on-demand basis	25	15
M4*	Mechanized cleaning of sewer and septic tanks	50	25
M5	All desludging vacuum tank operators are registered and licensed	15	15
M6	Sufficient capacity of desludging vehicles and workforce	40	10
M7	City has issued and notified fines against persons/ desludging operators dumping untreated fecal sludge	10	10
M8*	Sustainable financing mechanism	20	10
M9	Mandatory for city to have 14420 number to be operationalized/ or other feedback mechanisms	15	15
M10	Functional SRU, along with RSA notified by State as per the guidelines issued by MoHUA	10	5
<b>Total</b>		<b>285</b>	<b>165</b>

- M4 and M8 will not be applicable for ULBs with <30,000 population and will be entitled to get full marks**
- To be certified as ODF++ a ULB, should achieve aggregate 200 marks while scoring minimum qualifying marks for each parameter.



## 6.4 Water+ Certification

A city / ward / work circle<sup>11</sup> can be notified / declared as SBM-U Water+ provided all domestic used water including septage released from households, commercial establishments, institutions etc. is collected and treated to a satisfactory level either onsite or at an off-site facility (as per MoEF&CC / SPCB norms) to which the used water is conveyed through sewers or through drains and nallahs,(presently, as an interim measure)and the by-products including treated effluent is reused before releasing the excess into the water bodies / environment in a sustainable manner.

### **Necessary infrastructure and regulatory conditions to be achieved before declaring a ULB /Development Area / Cantonment Area as SBM-U Water+**

- 1) To qualify for consideration of Water+ certification, the provisions of ODF+ and ODF++ need to be adhered to. In case of cities applying directly from ODF+ to SBM Water+ protocol, they will be examined by third party agency for fulfilling the ODF++ protocols also.
- 2) All functional CT / PT should be appropriately provisioned as well maintained, with all conditions as per the CT / PT cleanliness Scoring Matrix.
- 3) The following necessary conditions are to be met in the ULB (*Municipal Commissioner/ Chief Executive Officer / Executive Officer designated City Engineer to give a declared on in the prescribed format at Annexure 4 confirming these conditions*):
  - a) Sewage released from all toilets in the ULB / Development Authority / Cantonment Board Area is being discharged into a sanitary outlet i.e. an underground sewer or a septic tank with soak pit or a twin pit latrine (TPL);
  - b) In case the city does not have a sewer network or has partial sewer network, sewage including effluent from septic tank finding its way into stormwater drains is properly collected, conveyed and discharged into a STP or nearby sewer;
  - c) The functional capacity of sewage treatment plant is sufficient to treat sewage through a decentralized or centralized treatment plant for atleast 70% of the current population of the town. The remaining 30% population (mainly in fringe area of the town) to ensure safe disposal of black and greywater through on-site sanitation systems or decentralized treatment systems;
  - d) Further, septage from unsewered area is also being treated in the existing/ upcoming STP through co-treatment or at newly constructed STP cum FSTP. However, where FSTPs are existing, septage can be treated at the facility, provided STP is constructed as per above para in the city and no untreated used water is discharged into the environment.
  - e) Sufficient number of vehicles (as per CPHEEO norms) with haulage capacity exists within the ULB to meet the requirement of emptying septic tanks and management of their contents at regular interval of 3 years for the area not covered under sewer network. This shall be monitored with the help of geo-tagging of the septic tanks in the ULB / Development area / Cantonment area;
  - f) Towns adopting a cluster approach for treating their wastewater should also fulfill all points (a) to (e)mentioned above;
  - g) ULBs adopting a cluster approach will need to submit the following details during DA:**
    - i. Name of the parent ULB**
    - ii. MoU with the parent ULB**
    - iii. Distance to the plant in parent ULB (only 25-30 kms is permissible)**
    - iv. Capacity of the parent ULB plant**
    - v. Logbook of the septage being transported to the parent ULB**
    - vi. Details including the evidences of the desludging vehicles**
    - vii. Receipts of desludging**

**ULB claiming cluster treatment will need to submit evidences for parameters mentioned above & any gap in fulfilling the requirements will lead to the failure in the plant category for ODF++.**

**All STPs/ FSTPs will be inspected regardless of application either by the parent ULB or the ULB which is claiming cluster treatment with another ULB.**

- h) Adequate infrastructure for mechanized cleaning of sewers, machineholes and septic tanks exists(as per CPHEEO norms) to include PPE and safety gears / equipment and SOPs are followed. Log for verification of manual entry in sewers / septic tanks with soak pits with safety gears / equipment and approval of competent authority, even in case of 100% sewerage and septic tank with soak pit should be maintained;
- i) 20% municipal treated wastewater is being reused after treatment at ULB level or in Development area or Cantonment Area viz. landscaping / gardening, horticulture, agriculture, industrial use, cleaning roads, construction activity etc. The re-use of treated water within the jurisdiction of ULB is also acceptable
- j) A schedule exists to repair, clean and desilt all municipal drains both pre and post monsoon (Supporting documentation needs to be maintained);
- k) Trash arrestor like bar screen, wooden mesh, etc. are placed before the outfall of the major drains which receive used water and a schedule exists to remove accumulated solids on a daily basis. In addition to this on primary drain, before outfall into a water body, there should be at least two bar screens within 2 km before discharge point into the water body. Trash (solid waste, plastic, etc.) should not be visible in the drains at any point of length;
- l) Municipal drains receiving used water are well maintained, continuous and connected to each other and do not peter out in an unplanned way. It should be connected to disposal system. No untreated used water should be directly disposed of into water bodies;
- m) All machineholes are covered to avoid any accident and garbage dumping. Further no overflow from conveyance system and machinehole is observed;
- n) Sewers and machinehole are being cleaned at least once in a year as routine maintenance. However, the same shall also be cleaned at any time based on the hotspot identified and complaint received (Supporting documentation needs to be maintained);
- o) Operation and Maintenance costs of sewer networks / STPs / FSTPs are being recovered through dedicated revenue streams like user charges, sale of by product and conservancy tax (part of property tax) etc., to ensure sustainability of assets. Those cases will also qualify where State/ ULB has entered into a long-term agreement with a private party for sustainable O&M of assets; however, those cases of case-to-case O&M funding from State / 15th Finance Commission Grants which are not tied on long term basis will not be accounted under revenue generation by ULB.
- p) Complaint redressal mechanism such as 14420 helpline and Swachhata app used for complaints pertaining to choking and leakage of sewers/ water logging, septic tank cleaning, uncovered machineholes, drain cleaning - are being addressed within SLA;
- q) Cities which are Water+ and expired will be automatically taken for re-certification however alert will be issued to the city and State atleast 2 months in advance for the same.
- r) The above-mentioned conditions would also apply for domestic discharges emanating from industrial establishments situated within municipal limits.

### **Steps to be followed by city for certification under Water+**

1. All the 'necessary infrastructure and regulatory conditions' have to be fulfilled by the ULB / Development Authority / Cantonment Area

Following the fulfilment of (1) above, Municipal Commissioner / Chief Executive Officer / Executive Officer designated City Engineer will self-declare itself as SBM Water+;

On fulfillment of the above, the Municipal Commissioner / Chief Executive Officer / Executive Officer designated City Engineer must pass a preliminary resolution declaring the city to be SBM Water+ provided it has obtained the following sub-declarations from all wards / zones / circles.

- 1.1 Declaration by all Ward Councilors / Ward engineers that necessary infrastructure and regulatory conditions mentioned in this toolkit (as per declaration formats prescribed in this toolkit).
  - 1.2 The above sub-declaration is to be submitted to the Municipal administration /Development authority / Cantonment Board by all wards / work circles, (as applicable) in order to facilitate the self-declaration by the Municipal Administration.
  - 1.3 For a city applying directly for Water+ mandatory declarations as per ODF, ODF+, ODF++ needs to be obtained from stakeholders
2. Following submission of above resolutions / notifications, a suitable public announcement must be made for the same, in newspapers of wide circulation and readership, inviting public feedback / public objection with a 15 day timeline from the date of publication.
  3. If no substantial objections are received at the end of this time, a final resolution is adopted by Municipal Commissioner / Chief Executive Officer / Executive Officer designated City Engineer and the same is communicated to respective state government by the ULB or Development Authority and directly to MoHUA by the Cantonment Board.
  4. On receipt of the said communication, the state government may have the claim of the city verified through an appropriate third-party verification process (in a time bound process) before formally sending the assessment request to Ministry of Housing and Urban Affairs (MoHUA). Attach verification result.
  5. MoHUA will then carry out the "Swachh Certification for SBM Water+" process (detailed later in this document). Upon successful assessment, the city / cantonment board / development authority would be issued a certificate which shall be valid for 12 months
  6. In case ULB fails to qualify the certification, the ULB will have to apply afresh in the next cycle of inspections.
  7. Cities once certified as Water+ can apply for higher certification only after six months from the date of issue of existing certificate.

## 6.4.1 Water + Evaluation Matrix

### Service Indicator 1

Applicable for	Indicators	Max Marks	Level 1	Marks	Level 2	Marks	Level 3	Marks	To qualify	Max Marks
For all Cities	Safe discharge of sewage including septage from CT/PT/IHHL collected either through Sewer network or partially sewer network in combination with septic tank system including soak pits or in case the discharge flows into open drains the same will be intercepted and diverted to a STP	50	> 50%	30	25-49%	25*	<25%	0	35	50
			HHS is connected to sewer network  (cities with 100% sewerage connection to be given full marks)		HHS is connected to sewer network		HHS is connected to sewer network			
			The discharge of sewage from the remaining households will be either managed onsite through a septic tank system including soak pits or in case the discharge flows into open drains, the same will be intercepted and diverted to a STP before being released into a water body.	20	The discharge of sewage from the remaining households will be either managed onsite through a septic tank system including soak pits or in case the discharge flows into open drains, the same will be intercepted and diverted to a STP before being released into a water body.	10	The discharge of sewage from the remaining households is managed onsite through a septic tank system including soak pits or in case the discharge flows into open drains, the same will be intercepted and diverted to a STP before being released into a water body.			

(\* For towns less than 20,000 population as per 2011 census, sewer network condition is exempted and 100% houses maybe safely discharging sewage through other means as elaborated (i.e the discharge of sewage from the remaining households will be either managed onsite through a septic tank system including soak pits or in case the discharge flows into open drains, the same will be intercepted and diverted to a STP before being released into a water body)

#### Verification Indicators

- Direct interviews with citizens
- Direct observation of septic tank with soak pit and / or twin pit
- HHS connected with sewer network
- If connected to sewer pipeline, what is the pipeline further connected to?
- What is the last point of sewage disposal?

#### Sample Size

5 HHS per slum/ residential area. Sampling based on number of locations as prescribed in the SBM Water+ protocol

## Service Indicator 2

Applicable for	Indicators	Max Marks	Level 1	Marks	Level 2	Marks	Level 3	Marks	Level 4	Marks	To qualify	Max Marks
For all Cities	Adequate treatment capacity of STP  (adequate treatment capacity arrived at here by considering 70% of current population multiplied with 100 litre per capita per day)	40	Greater than or equal to 70%	40	50-69%	30	25-49%	25	Less than 25%	0	30	50
	Operational efficiency  (Proportion of total current generated sewage treated)	10	Greater than or equal to 70%	10	50-69%	5	25-49%	3	Less than 25%	0	5	

### Verification Indicators

- Documentation of the treatment plant for capacity
- Availability of lab testing report of last 3 months (Only NABL accredited Labs to be taken)
- Proof of running of STP with pump house/ plant electricity consumption (how many hours pump was functioning)
- Log of manpower deployed at STP/FSTP for operation & maintenance.

### Service Indicator 3

Applicable for	Indicators	Max Marks	Level 1	Marks	Level 2	Marks	Level 3	Marks	Level 4	Marks	To qualify	Max Marks
For all Cities	Safe cleaning of Sewer and Septic tanks through mechanised equipment and availability of PPEs/ safety equipment in case manual entry is unavoidable (with due approval from competent authorities)	20	76-100%	20	50-75%	15	25-59%	10	< 25%	0	15	20
	Availability of RSA and SRU as per MoHUA guidelines	20	State has notified RSA and all districts have setup SRUs	20	State has notified RSA and atleast 50% districts in the State have setup SRUs	15	State has notified RSA but no SRUs have been setup by districts	10	Neither RSA notified nor SRU setup	0	15	20

### Verification Indicators

- Documentation of Cleaning equipment
- Log of user charges collected for desludging of septic tanks of households by ULBs/ Log of user charges collected for desludging of septic tanks of households by outsourced agency, registered with ULB
- Desludging/Decanting points and treatment plant logs of emptying of vehicles
- Maintaining of log for verification of manual entry in sewers/septic tank with safety gears and approval of competent authority, even in case of 100% sewer and septic tank with soak pit approval of competent authority
- All machineholes to be properly covered and no overflow is observed
- Citizens feedback on mechanized cleaning practice of septic tanks and sewers in city

### Sample Size

All equipment's



### Service Indicator 4

Applicable for	Indicators	Max Marks	Level 1	Marks	Level 2	Marks	Level 3	Marks	Level 4	Marks	To qualify	Max Marks
For all cities	<p>Sufficient capacity of desludging vehicles and jetting machines for cleaning of septic tanks with soak pits and sewers respectively in the city</p> <p>(Only registered/licensed vehicles to be considered apart from those owned/ leased by municipality)</p> <p>(Sufficiency of desludging vehicles will be calculated based on CPHEEO's requirement of emptying septic tank every once in 3 years and atleast once in a year for main/ trunk sewers) Desludging may also be made based on hotspot identified and complain received.</p> <p>(All cities having sufficient capacity of desludging vehicle to cater present demand so that current year demand of desludging vehicle may be counted for verification of this indicator.)</p>	10	75-100%	10	50-74%	5	25-49%	3	< 25%	0	5	10

#### Verification Indicators

- Documentation of desludging vehicles (vehicles which are on loan from another department may also be considered)
- Log of cleaning schedule of septic tanks/ Sewers maintained by city. Minimum 25 % septic tanks with soak pits should have been cleaned in the year of application of Water+

#### Sample Size

- 10% of all vehicles on random basis in towns with above 50,000 population
- All vehicles in case of towns with less than 50,000 population

### Service Indicator 5

Applicable for	Indicators	Max Marks	Level 1	Marks	Level 2	Marks	Level 3	Marks	Level 4	Marks	To qualify	Max Marks
For all cities	Re-use of treated water	15	More than 20%	15	20-10%	10	Less than 10%	5	No-reuse	0	5	15

### Verification Indicators

- Treatment plant log
- Documentation of re-use agreement (In case the ULB is re-using the water for its own purposes, a declaration on the same may be considered)
- Location of re-use
- Re-use infrastructure (pipes, tankers to transport treated water, channel or drains for transport of treated water)

(Note: Re-use to be considered as per SBM Water+ protocol )

## Service Indicator 6

Applicable for	Indicators	Max Marks	Level 1	Marks	Level 2	Marks	Level 3	Marks	Level 4	Marks	To qualify	Max Marks
For all cities	Municipal drains (in length) receiving sullage should be well maintained, continuous, linked with each other and leading to STP/ Water Bodies/ interception point within jurisdiction	30	75-100%	20	50-74%	15	25-49%	10	Less than 25%	0	15	30
	Bar Screens/ trash arrester are placed at strategic locations  (For towns with population 1 Lakh and above all Drains with width more than 1 metre and at the junction of major secondary to primary drains and major drains meeting water bodies/rivers. For towns with population with less than 1 Lakh drains with width 0.5 meter and above)		75-100%	10	50-74%	5	25-49%	3	Less than 25%	0		

### Verification Indicators

- No overflow and no broken drains
- No peter out of drains
- Cross sectional area not to be silted more than 50% depth.
- Desilting (O&M) should be done at regular interval of time (at least once in a year)
- Trash arrester/ screens to be placed at strategic locations as per SBM Water+ Protocol
- GVPs around drains (To be via direct observation)
- Cleanliness of trash arrester/ screens (To be via direct observation)
- Cleaning log of drains
- O&M of drains
- Record of photographs at major locations of drains

### Service Indicator 7

Applicable for	Indicators	Max Marks	Level 1	Marks	Level 2	Marks	Level 3	Marks	Level 4	Marks	Level 5	Marks	To qualify	Max Marks
For all Cities	100 % Operations and Maintenance costs of sewer networks / STPs / FSTPs are being recovered through dedicated revenue streams / users (the funds under 15th Finance Commission Fund and O&M allocated in State Plans will not be accounted for) (O&M funds if funded by State it is acceptable however the same is only permissible if it is for a minimum period of 5 years and not acceptable if it is annual) (O&M funds if funded by State it is acceptable however the same is only permissible if it is for a minimum period of 5 years and not acceptable if it is annual)	40	100%	40	75-100%	30	50-74%	20	25-49%	10	<25%	0	20	40

### Verification Indicators

- Notification of user charges by ULB
- Record of revenue collection / received by State / UT
- Expenditure on sewage / faecal sludge conveyance and treatment other than salary
- Any other Documentation shared by the ULB in support of O&M

### Service Indicator 8

Applicable for	Indicators	Max Marks	Level 1	Marks	Level 2	Marks	Level 3	Marks	Level 4	Marks	Level 5	Marks	To qualify	Max Marks
For all Cities	Complaint mechanism such as 14420, Swachhata App etc available for choked sewers, leakage of sewage, water logging, septic tank cleaning, uncovered machinehole, drain cleaning and log is maintained by the ULB	15	ICT based Complaint mechanism available, and complete log maintained	10	ICT based Complaint mechanism available but log is not maintained	7	Manual complaint mechanism available and log is maintained	5	Complaint mechanism available but not functional	2	Complaint mechanism not available/ Log is not maintained	0	7	15
	Complaint redressal status		90%-100%	5	75%-89%	3	50%-74%	2	25%-49%	1	Less than 25%	0	3	

### Verification Indicators

- 1. Complaint mechanism present
- 2. Log is maintained
- 3. Complaint being resolved within SLA
- 4. Record of total complained received
- 5. Maintain log of complaint resolved

## 6.4.2 Water+ Scoring Matrix

	Parameters	Max Marks	Min Qualifying**
1	Safe discharge of sewage including septage from CT/PT/IHHL	50	35
2*	Adequate treatment capacity of STP and operational efficiency	40	30
3	Safe cleaning of Sewer and Septic tanks through mechanised equipment and availability of PPEs and availability of RSA and SRU	10	5
4	Sufficient capacity of desludging vehicles and jetting machines for cleaning of septic tanks with soak pits and sewers respectively in the city	50	35
5	Re-use of treated water	15	5
6	Municipal drains receiving sullage be well maintained and Bar Screens/ trash arrester are placed at strategic locations	30	20
7*	100 % Operations and Maintenance costs of sewer networks / STPs / FSTPs are being recovered through dedicated revenue streams/ users	40	20
8*	Complaint mechanism such as 14420, Swachhata App etc available and complaint redressal status available	15	10
<b>Total</b>		<b>250</b>	<b>160</b>

\* Pt 2, 7 & 8 will not be applicable for ULBs with <30,000 population and will be entitled to get full marks

\*\*To be certified as ODF++ a ULB, should achieve aggregate 200 marks while scoring minimum qualifying marks for each parameter.



# Annexure 1 : Declaration Formats to be submitted by ULBs

## Annexure 1.1 ODF Declaration Formats

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

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

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

Accordingly, .....(name of city / town) is hereby declared Open Defecation Free. MoHUA is now requested to carry out the “Swachh Certification” process for ..... (name of city / town).

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

Address:

Phone Number:

Date:

Seal:

## 2. Format for declaration to be submitted by Ward Councilor

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

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

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

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

Address:

Phone Number:

Date:

Seal:



## Annexure 1.2 ODF+ Declaration Formats

### 1. Format for declaration to be submitted by City/ Town

I, ....., Mayor / Chairperson / CEO of ..... (Name of ULB / development authority / cantonment board) do hereby declare that:

- a) ULB / Development Authority / Cantonment Board has notified sanitation service level benchmarks, at the least adhering to all conditions defined for SBM ODF+, in municipal bylaws (or equivalent, in absence of municipal administration) and published the same in atleast two dailies with wide reach.
- b) The city / town has sufficient mobile toilets/toilet facilities for use during occasions with large gatherings in a single area i.e. situations with high demand for toilets, where existing facilities may not be sufficient.
- c) All functional public and community toilets should be appropriately provisioned and well maintained, thereby, adhering to all the conditions as per CT-PT Cleanliness Scoring Matrix.
- d) For a city to be declared ODF+ all CT / PTs are to score the minimum qualifying marks.
- e) City has carried out structural audit of all such community/public toilets which are more than 15 yrs old and are in dilapidated condition and has carried out necessary repairs/ renovations / reconstruction on the basis of the findings of audit.
- f) The city has issued and notified fines against open defecators, and people urinating in open and has defined penalty / fine against concessionaires/maintenance authorities in-charge of community / public toilets in service contract (with respect to poor maintenance of such toilets).
- g) All Ward Councillors / Work Circle In-Charges/Engineers in the city / town have submitted their self- declarations regarding SBM ODF+ status
- h) Preliminary resolution has been passed declaring the city / town as SBM ODF+
- i) Above resolution has been publicly announced, in atleast two newspapers of wide circulation and readership, inviting public feedback / objection within 15 days of announcement
- j) Since no objections have been received within the stipulated time period / since objections and feedback received from the public have been addressed, a final resolution has been adopted by this office regarding SBM ODF+ status
- k) This final resolution has been communicated to the state government for further verification (if decided to be carried out).

Accordingly, (Name of city / town) is hereby declared SBM ODF+. MoHUA is now requested to carry out the "Swachh SBM ODF+ Certification" process for..... (Name of city / town).....

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

Phone Number:

Date

Seal:

**2. Format for declaration to be submitted by every Ward Councillor / Work Circle in- Charge or Engineer**

I, Ward Councillor / Work-Circle In-charge / Engineer of..... (ward / circle details),under (Name of ULB / Development Authority / Cantonment Board) do hereby declare that:

- a) All households that have space to construct toilet, have constructed one. Individual toilets are functional and well- maintained, with water availability.
- b) All occupants of those households that do not have space to construct a toilet have access to a functional community toilet within a distance of 500 meters.
- c) All public areas and commercial areas have functional public toilets within a span of 1 kilometer.
- d) While deciding the number of toilet seats and blocks, the city’s entire floating population has been considered.
- e) All residential societies with resident welfare associations (RWAs)/housing or Mohalla committees have toilet facilities within the society/colony premises for use by both male and female non-resident workers /staff i.e. any working population visiting the society /colony routinely or for extended hours / days at a time, and that these toilets are clean and usable at all times.
- f) All functional public and community toilets are appropriately provisioned and well maintained, and meet the mandatory conditions, as per CT-PT Cleanliness Scoring Matrix.

I further declare that I have formally submitted this declaration to the(Name of ULB / Development Authority / Cantonment board) for further necessary action.

.....

...  
(Signature, and Name of Ward Councillor / Work Circle In-Charge/Engineer)  
Phone Number:  
Date  
Seal:

## Annexure 1.3 ODF++ Declaration Formats

### 1. Format for declaration to be submitted by city/ town

I, ..... Mayor/ Chairperson/ CEO of (Name of ULB/development authority/ cantonment board) do hereby declare that:

1. Following sub-conditions have been met:

- a) All necessary conditions for SBM ODF+ (as per the SBM ODF+ protocol laid down by MoHUA) have been achieved.
- b) All functional CT/PT should be appropriately provisioned and well maintained, with all conditions as per CT/PT Cleanliness Scoring Matrix.
- c) All toilets (individual, community and public) are either connected to:
  1. Onsite containment systems with suitable secondary treatment;
  2. Septic tank effluent collected through drains (as interim measure) to STP or;
  3. Sewerage network leading to an STP.
- d) Sewer networks are maintained and operated as per norms<sup>6</sup> with all overflow/ leakage issues resolved within 6 hours (point to be removed if city does not have sewer network)
- e) All transmitted sewage is treated at a sewage treatment plant as per norms<sup>7</sup> (point to be removed if city does not have sewer network)
- f) Sewage/ Septage treatment facilities are operated and maintained as per norms<sup>8</sup>
- g) Treated dried sludge is disposed of at a designated site or diverted for appropriate recovery/reuse/(recovery/ reuse as per norms)
- h) No untreated sewage including faecal sludge & septage should be dumped into water body/open drains/open environment.
- i) Scheduled inspection of septic tanks and soak pits, through an institutionalized mechanism ensured for safe sanitation practice bi-annually. Septic tanks cleaned on demand basis
- j) All septic tank cleaning private service providers are registered with and licensed by ULB/ Development Authority/Cantonment Board, licensing and operations and are utilizing well-maintained mechanized equipment.
- k) The city has issued and notified fines against persons/desludging operators dumping untreated sewage including faecal sludge & septage in drains and / or open areas.
- l) II Ward Councillors/ Work Circle In-Charge or Engineers (as applicable)in the city/town have submitted their self-declarations regarding SBM ODF++ status.
- m) Preliminary resolution has been passed declaring the city/ town as SBM ODF++.

Accordingly, (Name of city / town) is hereby declared SBM ODF+. MoHUA is now requested to carry out the "Swachh SBM ODF++ Certification" process for..... (Name of city / town).....

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

<sup>6</sup> CPHEEO Manual on Sewerage and Sewage Treatment Systems, 2013 and CPCB norms or as amended by state PCB (CPCB norms for sewers - <http://cpcb.nic.in/industry-effluent-standards/>)

<sup>7</sup> ibid (CPCB norms for STPs - [http://cpcb.nic.in/uploads/Industry-Specific-Standards/Effluent/105-sewage\\_treatment\\_plants.pdf](http://cpcb.nic.in/uploads/Industry-Specific-Standards/Effluent/105-sewage_treatment_plants.pdf))

<sup>8</sup> ibid (CPCB norms for STPs - [http://cpcb.nic.in/uploads/Industry-Specific-Standards/Effluent/105-sewage\\_treatment\\_plants.pdf](http://cpcb.nic.in/uploads/Industry-Specific-Standards/Effluent/105-sewage_treatment_plants.pdf))

Phone Number:

Date

Seal:

**3. Format for declaration to be submitted by every Ward Councillor/Work Circle incharge or Engineer**

I, Ward Councillor / Work Circle in-charge/engineer of..... (ward/ work circle details), under(Name of ULB/ development authority/ cantonment board) do hereby declare that:

- a) All necessary conditions for SBM ODF+ (as per the SBM ODF+ protocol laid down by MoHUA) have been achieved.
- b) All toilets (individual, community and public) are either connected to:
  - 1. Onsite containment systems with suitable secondary treatment;
  - 2. Septic tank effluent collected through drains (as interim measure) to STP or;
  - 3. Sewerage network leading to an STP.

With regular emptying, treatment and/or safe disposal of septage from these toilets managed as per all the following conditions:

- i. No toilet of any kind is found to be discharging in open drains/land/water bodies
  - ii. Regular<sup>9</sup> and safe<sup>10</sup> emptying of faecal matter contained in onsite sanitation structures atleast once in 3 years, either by ULB/ Development Authority/ Cantonment Board or by licensed operators contracted by the respective administration/authority.
  - iii. Safe conveyance and treatment of all faecal sludge, whether at a faecal sludge treatment plant(FSTP) or nearby sewage treatment plant (STP) via co-treatment of septage with conventional wastewater/sewage or SWM treatment plant
- c) No discharging and/or dumping of untreated sewage including faecal sludge & septage in the open environment—water bodies, drains, open land, etc.

I further declare that I have formally submitted this declaration to the (Name of ULB/ development authority /cantonment board) for further necessary action.

.....  
(Signature, and Name of Ward Councillor/ Work Circle In-Charge/Engineer)

Date:

Seal:

---

<sup>9</sup> Regular emptying of containment systems and other such onsite sanitation systems is mandatorily done and is the responsibility of the ULB / Development Authority / Cantonment Board

<sup>10</sup> Persons involved are provided with and using personal protective equipment (PPE) and emptying equipment utilized is being utilized

#### 4. Format for self-declaration to be submitted by desludging operators

I, (Name), Director / equivalent of..... (Name and registered address of desludging entity) operating in (Name of ULB/development authority/ cantonment board)do hereby declare that we:

- a) Are registered with and licensed by ULB/ Development Authority / Cantonment Board
- b) Are contracted by the ULB / Development Authority / Cantonment Board to provide sludge/septage emptying services to households or community and/or public toilets (copy of contract agreement and details of households and/ or community/public toilets allotted by ULB/ Development Authority / Cantonment Board for providing services to, both in annexure)
- c) Utilise mechanized equipment to provide emptying services
- d) Use personal protective equipment (PPE) to provide mechanical emptying services
- e) Transport the emptied faecal sludge and septage to nearby faecal sludge treatment plant (FSTP) / sewage treatment plant (STP) with co-treatment facility / solid waste management (SWM) treatment plant with co-treatment facility (tick whichever applicable) (details of treatment facility in annexure) which is operated as per Central Pollution Control Board(CPCB)norms or as per amended norms by state PCB
- f) Do not dump untreated faecal sludge in the open environment—water bodies, drains, open land, etc.

.....

(Signature and Name of Director or equivalent of desludging operator)

Registered office address:

Phone number:

Date:

(Attach copy of contract agreement, details of households and/ or community/public toilets allotted by ULB/ Development Authority / Cantonment Board for providing services to, and details of treatment facility where faecal sludge/septage is being conveyed to).

## Annexure 1.4 Water+ Declaration Formats

### Format for declaration to be submitted by ULB/ Development Authority/ Cantonment Board

I, ..... Mayor / Chairperson / Commissioner / CEO of (Name of ULB /Development Authority / Cantonment Board) do hereby declare that all necessary conditions for SBM Water + (as per the SBM Water + protocol laid down by MoHUA) have been achieved, and:

- a) All functional CT/PT should be appropriately provisioned as well maintained, with all conditions as per the CT/PT cleanliness Scoring Matrix.
- b) Sewage released from all toilets in the ULB/ Development Authority/ Cantonment Board Area is being discharged into a sanitary outlet i.e. an underground sewer or a septic tank with soak pit or a twin pit latrine (TPL);
- c) In case the city does not have a sewer network or has partial sewer network, sewage including effluent from septic tank finding its way into stormwater drains is properly collected, conveyed and discharged into a STP or nearby sewer;
- d) The functional capacity of sewage treatment plant is sufficient to treat sewage through a decentralized or centralized treatment plant for atleast 70% of the current population of the town. The remaining 30% population (mainly in fringe area of the town) to ensure safe disposal of black and greywater through on-site sanitation systems or decentralized treatment systems;
- e) Further, septage from unsewered area is also being treated in the existing/ upcoming STP through co-treatment or at newly constructed STP cum FSTP. However, where FSTPs are existing, septage can be treated at the facility, provided STP is constructed as per above para in the city and no untreated used water is discharged into the environment.
- f) Sufficient number of vehicles (as per CPHEEO norms) with haulage capacity exists within the ULB to meet the requirement of emptying septic tanks and management of their contents at regular interval of 3 years for the area not covered under sewer network. This shall be monitored with the help of geo-tagging of the septic tanks in the ULB/ Development area/ Cantonment area;
- g) Towns adopting a cluster approach for treating their wastewater have also fulfilled all points (a) to (e) mentioned above;
- h) Adequate infrastructure for mechanized cleaning of sewers, manholes and septic tanks exists (as per CPHEEO norms) to include PPE and safety gears/equipment and SOPs are followed. Log for verification of manual entry in sewers/ septic tanks with soak pits with safety gears/ equipment and approval of competent authority, even in case of 100% sewerage and septic tank with soak pit should be maintained;
- i) 20% municipal treated wastewater is being reused after treatment at ULB level or in Development area or Cantonment Area viz. landscaping/ gardening, horticulture, agriculture, industrial use, cleaning roads, construction activity etc. The re-use of treated water within the jurisdiction of ULB is also acceptable;
- j) A schedule exists to repair, clean and desilt all municipal drains both pre and post monsoon (Supporting documentation needs to be maintained);
- k) Trash arrestor like bar screen, wooden mesh, etc. are placed before the outfall of the major drains which receive used water and a schedule exists to remove accumulated solids on a daily basis. In addition to this on primary drain, before outfall into a water body, there should be at

least two bar screens within 2 km before discharge point into the water body. Trash (solid waste, plastic, etc.) should not be visible in the drains at any point of length;

- l) Municipal drains receiving used water are well maintained, continuous and connected to each other and do not peter out in an unplanned way. It should be connected to disposal system. No untreated used water should be directly disposed of into waterbodies;
- m) All machineholes are covered to avoid any accident and garbage dumping. Further no overflow from conveyance system and machinehole is observed;
- n) Sewers and machinehole are being cleaned at least once in a year as routine maintenance. However, the same shall also be cleaned at any time based on the hotspot identified and complaint received (Supporting documentation needs to be maintained);
- o) Operation and Maintenance costs of sewer networks/ STPs/ FSTPs are being recovered through dedicated revenue streams like user charges, sale of by product and conservancy tax (part of property tax) etc., to ensure sustainability of assets. Those cases will also qualify where State/ ULB has entered into a long-term agreement with a private party for sustainable O&M of assets; however, those cases of case-to-case O&M funding from State/ 15th Finance Commission Grants which are not tied on long term basis will not be accounted under revenue generation by ULB.
- p) Complaint redressal mechanism such as 14420 helpline and Swachhata app used for complaints pertaining to choking and leakage of sewers/ water logging, septic tank cleaning, uncovered machineholes, drain cleaning - are being addressed within SLA;
- q) All industrial establishments, construction sites (more than 20,000 sq.mt.), situation within municipal limits is adhering to all conditions outlined in the SBM Water+ protocol;
- r) More than 80% of citizen complaints pertaining to sewage overflow has been resolved quarterly;
- s) 90% efficiency is maintained for collecting charges for sanitation services provided to citizen;
- t) Preliminary resolution has been passed declaring the ULB/ Development area/ Cantonment Board as Water+;
- u) Above resolution has been publicly announced, in atleast two newspapers of wide circulation and readership, inviting public feedback/ objection within 15 days of announcement;
- v) Since no objections have been received within the stipulated time period / since objections and feedback received from the public have been addressed, a final resolution has been adopted by this office regarding SBM Water + status;
- w) This final resolution has been communicated to the state government for further verification (if decided to be carried out).

Accordingly..... (Name of ULB / Cantonment board/ development authority) is hereby declared SBM Water+. MoHUA is now requested to carry out the "Swachh Certification for SBM Water +" process  
for (Name of ULB/town/cantonment board/ development authority).

.....  
(Signature, and Name of Mayor / Chairperson /Commissioner / CEO/ Commanding Officer/  
Designated City Engineer)

Date and Seal:

## 2. Format for declaration to be submitted by every Ward Councillor/ Ward engineer / Work circle in-charge

I, Ward Councillor/Ward Engineer / Work Circle In-Charge of(ward / workcircle details), under(Name of ULB / development authority / cantonment board) do hereby declare that:

- a) All functional CT/PT should be appropriately provisioned as well maintained, with all conditions as per the CT/PT cleanliness Scoring Matrix. Each toilet shall score atleast minimum marks for qualifying for certification under Water+.
- b) Sewage released from all toilets in the ULB/ Development Authority/ Cantonment Board Area is being discharged into a sanitary outlet i.e. an underground sewer or a septic tank with soak pit or a twin pit latrine (TPL);
- c) In case the city does not have a sewer network or has partial sewer network, sewage including effluent from septic tank finding its way into stormwater drains is properly collected, conveyed and discharged into a STP or nearby sewer;
- d) The functional capacity of sewage treatment plant is sufficient to treat sewage through a decentralized or centralized treatment plant for atleast 70% of the current population of the town. The remaining 30% population (mainly in fringe area of the town) to ensure safe disposal of black and greywater through on-site sanitation systems or decentralized treatment systems;
- e) Further, septage from unsewered area is also being treated in the existing/ upcoming STP through co-treatment or at newly constructed STP cum FSTP. However, where FSTPs are existing, septage can be treated at the facility, provided STP is constructed as per above para in the city and no untreated used water is discharged into the environment.
- f) Sufficient number of vehicles (as per CPHEEO norms) with haulage capacity exists within the ULB to meet the requirement of emptying septic tanks and management of their contents at regular interval of 3 years for the area not covered under sewer network. This shall be monitored with the help of geo-tagging of the septic tanks in the ULB/Development area/ Cantonment area;
- g) Towns adopting a cluster approach for treating their wastewater have also fulfilled all points (a) to (e) mentioned above;
- h) Adequate infrastructure for mechanized cleaning of sewers, manholes and septic tanks exists (as per CPHEEO norms) to include PPE and safety gears/equipment and SOPs are followed. Log for verification of manual entry in sewers/ septic tanks with soak pits with safety gears/equipment and approval of competent authority, even in case of 100% sewer and septic tank with soak pit should be maintained;
- i) 20% municipal treated wastewater is being reused after treatment at ULB level or in Development area or Cantonment Area viz. landscaping/ gardening, horticulture, agriculture, industrial use, cleaning roads, construction activity etc. The re-use of treated water within the jurisdiction of ULB is also acceptable;
- j) A schedule exists to repair, clean and desilt all municipal drains both pre and post monsoon (Supporting documentation needs to be maintained);
- k) Trash arrestor like bar screen, wooden mesh, etc. are placed before the outfall of the major drains which receive used water and a schedule exists to remove accumulated solids on a daily basis. In addition to this on primary drain, before outfall into a water body, there should be at least two bar screens within 2 km before discharge point into the water body. Trash (solid waste, plastic, etc.) should not be visible in the drains at any point of length;



- l) Municipal drains receiving used water are well maintained, continuous and connected to each other and do not peter out in an unplanned way. It should be connected to disposal system. No untreated used water should be directly disposed of into water bodies;
- m) All machineholes are covered to avoid any accident and garbage dumping. Further no overflow from conveyance system and machinehole is observed;
- n) Sewers and machinehole are being cleaned at least once in a year as routine maintenance. However, the same shall also be cleaned at any time based on the hotspot identified and complaint received (Supporting documentation needs to be maintained);
- o) Operation and Maintenance costs of sewer networks/ STPs/ FSTPs are being recovered through dedicated revenue streams like user charges, sale of by product and conservancy tax (part of property tax) etc., to ensure sustainability of assets. Those cases will also qualify where State/ ULB has entered into a long-term agreement with a private party for sustainable O&M of assets; however, those cases of case-to-case O&M funding from State/ 15th Finance Commission Grants which are not tied on long term basis will not be accounted under revenue generation by ULB.
- p) Complaint redressal mechanism such as 14420 helpline and Swachhata app used for complaints pertaining to choking and leakage of sewers/ water logging, septic tank cleaning, uncovered machineholes, drain cleaning - are being addressed within SLA;
- q) All industrial establishments, construction sites (more than 20,000 sq.mt.), situation within municipal limits is adhering to all conditions outlined in the SBM Water+protocol;
- r) More than 80% of citizen complaints pertaining to sewage overflow has been resolved quarterly;
- s) 90% efficiency is maintained for collecting charges for sanitation services provided to citizen;

I further declare that I have formally submitted this declaration to the ..... (Name of ULB /..... (Signature, and Name of Ward Councillor / Ward Engineer/ Work Circle In-Charge/Engineer) development authority / cantonment board) for further necessary action.

Date:

Seal:

## Annexure 2: Procedure for Conducting Sanitation Household Level Surveys

### 1. Background

After reviewing methodologies and sample sizes used by various survey institutions in the country, it is decided that **the responsible agency would collect 5 samples per ward. The estimated total sample size (max.) would be ~ 462,864.** This involves conducting 5 individual household latrine (IHHL) inspections in each ward. **In each ward 5 samples will be taken at different places to adequately randomize it.** Such randomized sampling across all city wards will provide statistically valid results with a 95% confidence level and a  $\pm 5\%$  margin of error, and will also help to establish some baseline ground-level data. **Details are given below;**

### 2. Sampling Design

**Urban Sanitation Sample Size at State-level:**

Total no. of States	No. of ULBs	No. of wards	Total. No. of households	No. of Samples per ward	Total no. of Sample
35	4,900+	92,374	7,76,66,196	5	4,62,864

Detailed worksheet is given at **Table 1**

#### 2.1. Sample Size

Each ward must have **five samples collected**, regardless of the ward size. In total, the survey will **cover 92,374 wards and gather data from 462,864 households (max).** The sample size is determined based on a 95% confidence level and a 5% margin of error, ensuring statistical reliability for the entire population.

However, based on past participation trend of ULBs in the certification process, *around 4000+ ULBs are expected to participate in ODF, ODF+, ODF++ & Water+ certification. Accordingly, the expected sample size may be in the range 3-4 lakhs.*

#### 2.2. Sampling Framework

The survey will encompass all cities and wards within each state. The selected agency must ensure that the household samples are evenly distributed across all wards, following a **systematic random sampling (SRS) technique** i.e., for example: the different category samples may be collected across the ward from **residential (affluent, middle and lower), commercial (market area), and slum** areas within each ward. This ensures representative samples drawn from within the town. In case IHHL in market area or slum is not available, in a particular ward, then these samples may be mapped in residential areas only and like that.

### 3. Responsibilities of the Selected Agency

#### 3.1. Data Collection

The agency will conduct surveys using structured questionnaires focusing on the aspect of sanitation. The survey should include questions as outlined in table below.

Particulars to be captured by Third Party	
<b>Household Details</b>	
Name of State/UT	
Name of District	
Name of ULB	
ULB Code	
Name of head/owner of the household	
Detailed address	
Contact no. (to the extent can be collected)	
<b>Availability of Toilet</b>	
Is IHHL available within premises?	(Yes/No)
If Yes, how outlet of toilet is connected to discharge sewage (If answer is Yes, select the relevant option, out of options given below)	
a) Sewer network	
b) Septic tank with soakpit	
c) Septic tank without soakpit, connected to an open drain	
d) Septic tank without soakpit, connected to a closed drain	
e) Twin pit	
f) Single pit	
Attach geo-tagged (with lat, long) photos of outlet of toilet as selected in the above options	
<b>In case toilet is not available within premises mention whether connected to shared CT</b>	(Yes/No)
<b>Remarks if any</b>	

#### 3.2. Data Collection Techniques

- **Surveys will be conducted through face-to-face interviews** with households by trained enumerators. Each enumerator must adhere to the structured questionnaire, as above, to ensure consistency and accuracy in data collection.

Table 1

## Detail Urban Sanitation Sample Size at State-level (Maximum)

S.No	State/UT Name	No.of wards	No. of HHs as per Census 2011	5 no. of sample per ward
1	A&N ISLANDS	24	33390	380*
2	ANDHRA PRADESH	3826	3591413	19130
3	ARUNACHAL PRADESH	488	91445	2440
4	ASSAM	1024	793340	5120
5	BIHAR	4566	2528750	22830
6	CHANDIGARH	35	234033	384*
7	CHHATTISGARH	3255	1300288	16275
8	D&D and DNH	43	50061	382*
9	DELHI	293	2654011	1465
10	GOA	225	97405	1125
11	GUJARAT	1387	5857106	6935
12	HARYANA	1664	1909607	8320
13	HIMACHAL PRADESH	586	192788	2930
14	JAMMU AND KASHMIR	1098	541807	5490
15	JHARKHAND	925	851730	4625
16	KARNATAKA	6993	7114633	34965
17	KERALA	3533	2058935	17665
18	LADAKH	26	6568	363*
19	MADHYA PRADESH	7587	4043376	37935
20	MAHARASHTRA	6660	10731007	33300
21	MANIPUR	303	128817	1515
22	MEGHALAYA	89	77515	445
23	MIZORAM	205	148933	1025
24	NAGALAND	209	148179	1045
25	ODISHA	2035	1330927	10175
26	PUDUCHERRY	126	177121	630
27	PUNJAB	3168	2091792	15840
28	RAJASTHAN	8484	3410688	42420
29	SIKKIM	51	34192	380*
30	TAMIL NADU	12628	8468409	63140
31	TELANGANA	3618	3400882	18090
32	TRIPURA	334	151510	1670
33	UTTAR PRADESH	13467	7822793	67335
34	UTTARAKHAND	1225	613288	6125
35	WEST BENGAL	2194	4979457	10970
	<b>Grand Total</b>	<b>92,374</b>	<b>7,76,66,196</b>	<b>4,62,864</b>

\*Number of samples slightly enhanced in case of 5 small States/UTs to make their data also statistically valid, at individual State/UT level.



सत्यमेव जयते

आवासन और शहरी कार्य मंत्रालय  
भारत सरकार

MINISTRY OF HOUSING AND  
URBAN AFFAIRS  
GOVERNMENT OF INDIA



एक कदम स्वच्छता की ओर

