



# EMPOWERING MARGINALIZED GROUPS - CONVERGENCE BETWEEN SBM AND DAY-NULM

March 2018

Deendayal Antyodaya Yojana-  
National Urban Livelihoods Mission



Ministry of Housing  
and Urban Affairs  
Government of India



एक कदम स्वच्छता की ओर



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**SHRI HARDEEP SINGH  
PURI**

Hon'ble Minister of State  
(Independent Charge)  
Ministry of Housing and  
Urban Affairs,  
Govt. of India,  
New Delhi

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# Foreword

The Government of India has been continuously driving convergence, between Ministries and Government schemes, to enable better utilization of resources for improving the lives of citizens.

The last three years have witnessed remarkable changes in urban India's development paradigm, with the implementation of two key missions, namely the Swachh Bharat Mission - Urban (SBM-U) and Deendayal Antyodaya Yojana - National Urban Livelihoods Mission (DAY-NULM). I believe that a convergence-based approach can expedite the achievement of these two national missions and drive the Government's efforts towards achieving holistic social development goals.

I am happy to release the document entitled "Empowering marginalized groups - Convergence between SBM and DAY-NULM", which will help in realising the synergies between the two missions and be instrumental in empowering Self-Help Groups (SHGs) by providing them employment opportunities in the growing sanitation and waste management sector.

I am sure, this convergence will go a long way in improving employment opportunities for the urban poor as well as our vision of a clean India by October 2, 2019.

Hardeep Singh Puri  
MOS (Independent Charge),  
Ministry of Housing & Urban Affairs,  
Govt. of India,  
New Delhi





**SHRI DURGA  
SHANKER MISHRA**

Secretary  
Ministry of Housing and  
Urban Affairs,  
Govt. of India,  
New Delhi

# Preface

I am glad to see the document “Empowering marginalized groups - Convergence between SBM and DAY-NULM” that has been brought out by the Ministry of Housing and Urban Affairs. The convergence guidelines showcase various sanitation related livelihood models which are fundamental towards achieving convergence between SBM -Urban and DAY-NULM.

I am confident that these convergence guidelines would be of immense help to the SHGs and marginalised communities in securing livelihood and betterment of their life. The models of community engagement and upgradation of their skills in sanitation related livelihoods will go a long way in promoting livelihood opportunities and cleanliness of urban areas.

I extend my warm appreciation to the whole team for drafting these guidelines and identifying models of possible convergence between SBM and DAY-NULM, which will contribute to the larger goal of reducing poverty and vulnerability of the urban poor and help in making India healthy, hygienic and liveable for all.

I wish all the states and cities, the very best in their endeavours towards a “Swachh Bharat”

Durga Shanker Mishra  
Secretary,  
Ministry of Housing & Urban Affairs,  
Govt. of India,  
New Delhi







**SHRI VINOD KUMAR  
JINDAL**

Joint Secretary & Mission  
Director  
Swachh Bharat Mission -  
Urban  
Ministry of Housing and  
Urban Affairs,  
Govt. of India,  
New Delhi

# Message

The Swachh Bharat Mission (SBM) launched on 2nd October, 2014 by the Hon'ble Prime Minister envisioned an India free from Open Defecation and with 100% scientific management of Solid Waste by 2nd October 2019. The Mission also envisaged creating an eco-system of related stakeholders, which would provide livelihood opportunities for marginalised sections of communities, helping the Mission to accelerate its progress towards Mission objectives.

Given the critical role that the informal sector and marginalised communities play in the entire sanitation and waste management value chain, the SBM Urban, as part of its implementation strategy, has been actively promoting the integration of this sector into the formal waste management value chain. In fact, formalisation of informal sector in the SWM value chain is one of the scoring parameters in the annual Swachh Survekshan survey conducted by MoHUA.

In the last few years, we have seen heartening examples of empowered self-help groups who have taken on the responsibility of managing their city's waste and converted them into zero-garbage and zero-waste cities. Pune, Ambikapur have emerged as lighthouse cities in this respect given the exemplary work done by SHG groups in this sector. It is also a fact that there are many more such examples across the country with equally heart-warming stories.

The Deendayal Antyodaya Yojana-National Urban Livelihoods Mission (DAY-NULM), also being implemented by the MoHUA aims to reduce poverty and vulnerability of the urban poor households by enabling them to access gainful self-employment and skilled wage employment opportunities, resulting in an appreciable improvement in their livelihoods on a sustainable basis, through building strong grassroots level institutions of the poor.

It is in this backdrop that the Ministry of Housing and Urban Affairs has developed guidelines titled "Empowering marginalized groups - Convergence between SBM and DAY-NULM", details out various entrepreneurial options and projects that can be taken up by self-help groups and marginalised communities to provide livelihood opportunities

I wish all the states and cities, the very best in their endeavours towards a "Swachh Bharat".

Vinod Kumar Jindal  
Joint Secretary & Mission Director- SBM -U,  
Ministry of Housing & Urban Affairs,  
Govt. of India,  
New Delhi





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**SHRI SANJAY KUMAR**

Joint Secretary & Mission  
Director  
Deendayal Antyodaya  
Yojana – National Urban  
Livelihoods Mission,  
Ministry of Housing and  
Urban Affairs,  
Govt. of India,  
New Delhi

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# Message

The flagship mission “Deendayal Antyodaya Yojana - National Urban Livelihoods Mission (DAY-NULM)” was launched in 2013. The objectives of the DAY-NULM are to reduce poverty and vulnerability of the urban poor households by enabling them to access sustainable self-employment and skilled wage employment opportunities.

The SBM-Urban Mission has created tremendous livelihoods opportunities through construction of Individual Households Latrines, Community and Public toilets in urban areas. The sanitation value chain so created needs skilled manpower for O&M, transport, treatment & disposal of waste.

DAY-NULM has the capacity to provide skilled workforce to fulfil the demand which has been generated in urban sanitation sector through SBM-Urban. A number of livelihoods can be created through convergence models identified by the SBM-Urban -NULM Convergence guideline.

I sincerely hope these guidelines titled “*Empowering marginalized groups - Convergence between SBM and DAY-NULM*” would help in enhancing the effectiveness and outreach of DAY-NULM in skill development and promote employment generation in the sanitation sector.

Sanjay Kumar,  
Joint Secretary & Mission Director- DAY-NULM,  
Ministry of Housing & Urban Affairs,  
Govt. of India,  
New Delhi



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## List of Abbreviations

ALF	Area Level Federation
CIG	Common Interest Group
CLC	City Livelihoods Centre
CLF	City Level Federation
CMC	Cuttack Municipal Corporation
CMMU	City Mission Management Unit
CRP	Community Resource Person
CSO	Civil Society Organisation
CT	Community Toilet
DAY-NULM	Deendayal Antyodaya Yojana - National Urban Livelihoods Mission
DPR	Detailed Project Report
DRCC	Dry Resource Collection Centre
EDP	Entrepreneurship Development Programme
EMI	Equated Monthly Instalment
EPF	Employee Provident Fund
ESI	Employee State Insurance
ESTP	Employment through Skills Training and Placement
FSSM	Faecal Sludge and Septage Management
GHMC	Greater Hyderabad Municipal Corporation
GIS	Geographical Information System
Gol	Government of India
GVMC	Greater Vishakhapatnam Municipal Corporation
GWMC	Greater Warangal Municipal Corporation
IEC	Information Education and Communication
IHHL	Individual Household Latrine
MCN	Municipal Council Nahan
MOHUA	Ministry of Housing and Urban Affairs
MoU	Memorandum of Understanding
MT	Metric Ton
NGO	Non-Government Organisation
NOS	National Occupation Standards
NSDC	National Skill Development Corporation
NSKFDC	National Safai Karamcharis Finance Development Corporation
NSQF	National Skills Qualifications Framework
O&M	Operation and Management
OD	Open Defecation
ODF	Open Defecation Free
ODF CC	Open Defecation Free Coordination Committee
PMC	Pune Municipal Corporation
PT	Public Toilet
QPs	Qualification Packs
RWA	Resident Welfare Association
SA	Shelter Associates
SBM-U	Swachh Bharat Mission - Urban
SCGJ	Sector Councils for Green Jobs
SEP	Self Employment Programme
SHG	Self Help Groups
SMMU	State Mission Management Unit
SUH	Shelter for Urban Homeless

SUSV	Support to Urban Street Vendors
SWM	Solid Waste Management
TCMC	Tiruchirappalli City Municipal Corporation
TF	Task Force
TSU	Technical Support Unit
ULB	Urban Local Bodies
WOW	Well-being Out of Waste
WSUP	Water and Sanitation for the Urban Poor

# 1 Introduction

One of the key objectives of the Swachh Bharat Mission - Urban (SBM-U) of the Ministry of Housing and Urban Affairs (MoHUA) is to make India free of open defecation, eradicate the practice of manual scavenging and achieve 100 per cent scientific management of municipal solid waste. This is through improving access of citizens to toilets (either individual or community toilets) and putting in place systems for collection, transportation, processing and disposal of municipal solid waste. Recent figures from the SBM-U website show that almost 44.56 lakh individual household toilets and 2.92<sup>1</sup> lakh community toilets and Public toilets have been constructed across the country. In addition, 23% of the total waste generated is being processed. The AMRUT Mission supports creation of infrastructure for treatment of waste water to ensure safe collection, treatment and disposal of waste water. With the creation of infrastructure under SBM-U, AMRUT and the Smart Cities Mission, there emerges a compelling requirement for developing human resources that support the operations, management, and maintenance of new sanitation and waste management infrastructure in a sustainable manner.

The Deendayal Antyodaya Yojana-National Urban Livelihoods Mission (DAY - NULM) of the MoHUA aims to reduce poverty and vulnerability of the urban poor households. The Mission builds strong grassroots institutions of the poor, facilitates access to self-employment and skilled wage employment opportunities, resulting in an appreciable improvement in their livelihoods on a sustainable basis.

There is a need for convergence between the SBM-U and DAY-NULM to improve the quality of life of marginalised groups. This requires improving the entire sanitation value chain which includes collection/emptying, transportation, processing/treatment, and reuse/disposal. There is also a need to create an institutional framework for jobs as well as to create a skills ecosystem for the sanitation and waste management sector.

This is reflected in SBM-U guidelines wherein, while aiming for 100% scientific processing of municipal solid waste in all 4041 statutory towns by the end of the Mission period in October 2019, suggests the following.

**“....in their efforts to streamline and formalize SWM systems it shall be the endeavour of ULBs that the informal sector workers in waste management (waste pickers) are given priority to upgrade their work conditions and are enumerated and integrated into the formal system of SWM in cities”.**

One of the key objectives of the SBM-U is to eliminate manual scavenging. The Prohibition of Employment as Manual Scavengers and their Rehabilitation Act 2013 also provides assistance and measures for rehabilitation of people engaged in the work. Progressive rehabilitation of those dependent on scavenging/ unsafe sanitation work has to be planned simultaneously, through skill development programmes; recognising them and offering safer employment avenues so that they get suitably rehabilitated.



Picture 1:  
Sanitation/SWM SHGs  
in Greater Chennai  
Corporation

<sup>1</sup>- <http://www.swachhbharaturban.in/sbm/home/#/SBM> accessed on 1st March 2018



This guidance note suggests framework and models to converge efforts under DAY-NULM and SBM-(U), through promoting livelihoods options for women's Self-Help Groups (SHGs), informal workers, and other marginalised communities. These livelihoods opportunities exist along the sanitation and waste management value chains, such as collection and transportation of waste, processing and converting municipal solid waste to wealth (value added by-products), operation & maintenance of sanitation facilities, as well as management of resource centres under the ambit of SBM-U.

This note is meant for state governments and urban local bodies (ULBs) to adapt these models as per their local contexts. The next section details how the components of DAY-NULM i.e. Social Mobilization and Institutional Development (SMID), Employment through Skill Training & Placement (ESTP), and the Self Employment Program (SEP), can be dovetailed to upgrade and promote sanitation and waste management sector livelihoods.

The indicative financials for each of the convergence models are provided in Annexes. These models aim to increase income levels of SHG members and other marginalised groups, and also lead to higher aspirations among those who are currently working in the sanitation and waste management sectors.

The guidance note outlines how infrastructure and operational structures specific to each of the two missions may be utilised to achieve dual objectives.



Picture 2: Sanitation/SWM SHGs in their dress code in Vishakhapatnam

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**One of the key objectives of the SBM-U is to eliminate manual scavenging.**

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# 2 Framework for convergence

SHG members and others in need of sustainable employment could be employed in the city's solid waste management or sanitation related activities. Details of some suggested projects have been provided in further sections. In addition, these groups may be involved in activities that leverage

their local knowledge and social networks to strengthen the implementation and sustainability of SBM-U outcomes.

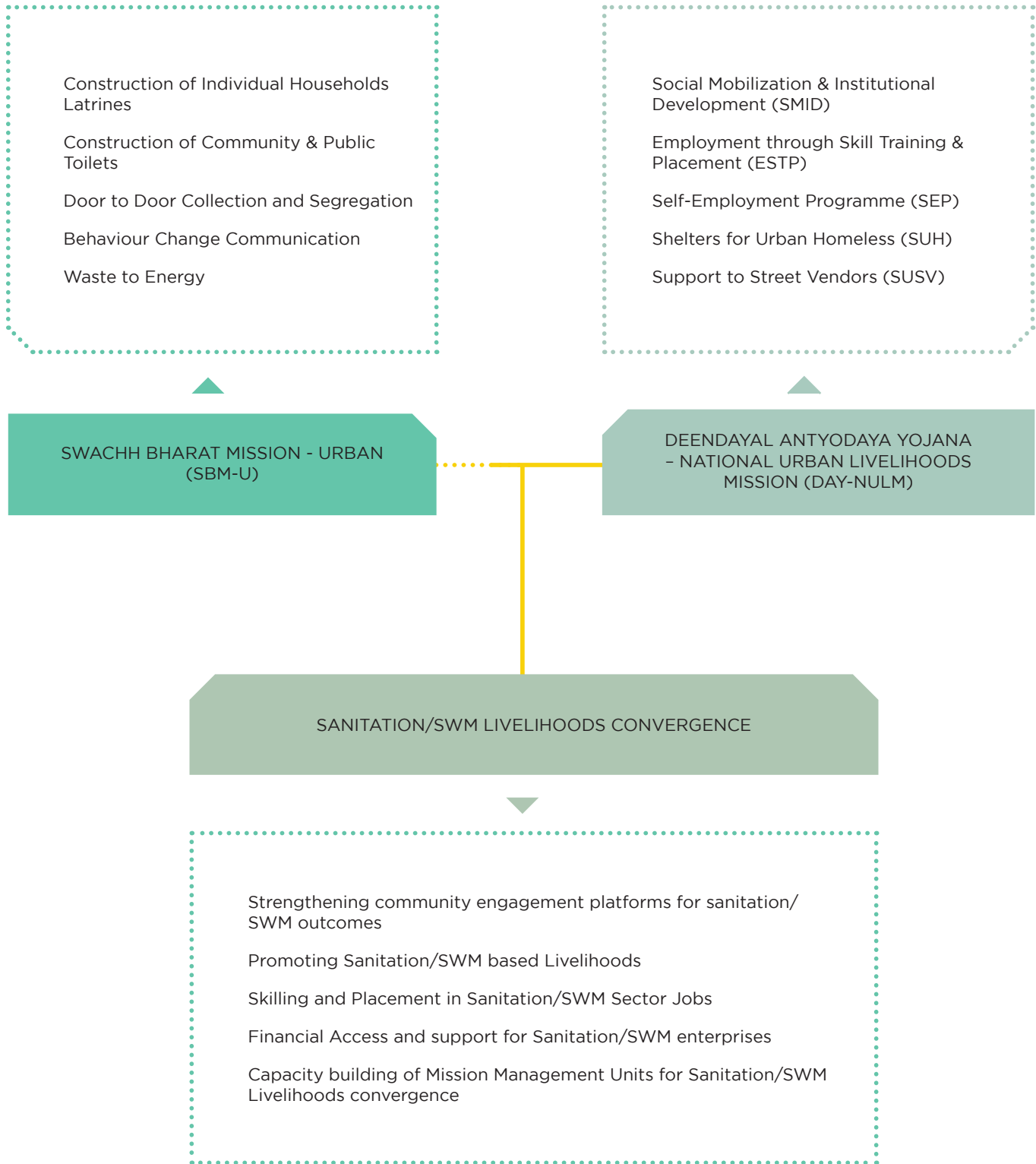


Figure 1: Framework for Convergence between SBM-U & DAY-NULM

## 2.1 Convergence through skills training

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To create a sustainable architecture for skill training and employment in sanitation and waste management, the relevant skills for job roles along the sanitation and waste management value chains should be established in the National Skills Qualifications Framework (NSQF). The skill gap studies which were done earlier by National Skill Development Corporations (NSDC) or Sector Councils for Green Jobs (SCGJ) may be referred and validated to understand the demand and supply scenario of skilled workers, skilling gaps in the existing workforce and recognition of skills of the informal workers in this sector.

Such skill gap study reference and validation shall ascertain (i) size and profile of the sanitation and waste management sectors (ii) stakeholder analysis of the sectors (iii) expected growth trends and investment flow in the sectors (iv) identification of skills in-demand in the sectors (v) estimation of workforce, both in the organized and unorganized sector (vi) specifications / job roles and major sourcing hubs for the workforce (vii) current skill set of the workforce and identification of the gaps, and (viii) anticipated changes in the employment patterns and future requirements along with technological innovations, trends

and drivers. Skill gap study can also diagnose enabling environment for entrepreneurship and also required skilled human resources in the sanitation and waste management sectors.

The key outcomes of the skill gap study would be the identification and development of the relevant National Occupational Standards (NOS) and Qualification Packs (QPs) in the sanitation and waste management sectors. The QPs developed in the process can be (i) nationally recognized for skill training purposes; (ii) eligible for government funding through skill development schemes; (iii) aligned to Government of India (GoI) mandated National Skills Qualification Framework (NSQF) and (iv) lead to creation of curriculum and facilitation of assessments for the courses being developed in the sanitation and waste management sectors. The required convergence with NSDC shall be initiated for the same, with job roles chalked out and job descriptions framed and conveyed to all City Level Federations (CLFs) and Area Level Federations (ALFs). Once finalised, these roles shall be released as a supplement or amendment to this document, to become a formal part of the convergence guidelines.

## 2.2 Convergence through social mobilization and institution building

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Self Help Groups (SHGs) and their federations are formed and mentored under DAY-NULM in order to enable urban poor communities to help themselves out of poverty and towards sustainable income generating livelihoods.

The amended DAY-NULM guidelines encourage the formation of SHGs of those from vulnerable occupations, such as rag pickers and waste pickers. These groups may include male members as well and are eligible for all benefits under DAY-NULM, such as revolving fund support, capacity building support, and interest subvention for loans, access to skills training and placement programs, as well as services through City Livelihoods Centres (CLCs).

Further, Area Level Federations (ALFs) and City Level Federations (CLFs) have sub-committees to focus on various issues relevant to the community. In many states, these federations have committees (comprising of office bearers of SHGs), who work on sanitation and solid waste management issues, particularly on awareness and cleanliness campaigns in line with SBM-U objectives.

In order to strengthen community engagement platforms for convergence with SBM-U, a set of guidelines would be developed, on formation and hand-holding support for common interest groups (CIGs) of marginalised groups. The groups would then be linked to skill training programs, discussed in the above section, as well as specially designed

loan products and Entrepreneurship Development Programs (EDP), discussed in the next section. City and State Mission management units would assign targets for formation of sanitation CIGs as per the local requirements and dedicate the requisite number of field personnel i.e. COs and ROs to provide handholding support to them.

City Livelihoods Centres (CLCs) established under DAY-NULM are another platform for convergence. CLCs connect service providers, such as plumbers, masons, carpenters, electricians, tailors, etc. to households seeking these services, thereby improving local access to services, as well as livelihoods opportunities in cities.

Persons working in sanitation or waste management, including those involved in toilet construction, private septic tank desludging operators, management of dry resource centres, etc. may register at the CLCs, so that neighbouring households may contact them easily, and the standards for service provision, safety etc. can be monitored. Persons from marginalised or vulnerable groups can be connected to skilling programs and other DAY-NULM provisions. Information about on-going government welfare programs can also be disseminated to these persons through the CLCs. This CLC registration mechanism would aid in finding skilled persons for construction of IHHLs, CT/PT blocks, and the operations and maintenance of sanitation and waste management infrastructure constructed under SBM-U.

## 2.3 Convergence through financial inclusion and self-employment

Access to financial products is critical to support economic growth and livelihood opportunities for marginalised groups. Some of the barriers that exist in promoting financial access include:

- Reluctance of banks to finance
- Information gap on source of credit / government schemes for marginalised segments
- Risky nature of micro and small-scale enterprises
- Gaps in business acumen of small entrepreneurs

The above challenges to providing financial access to enterprises in the two sectors, which are primarily of micro and small category, can be overcome to a certain extent through leveraging the scheme benefits available under DAY-NULM. Affordable means of credit can facilitate setting and scaling up of enterprises.

On-going programs under the Ministry of Social Justice and Empowerment can also be converged to improve financial access for persons working in these sectors, such as the subsidized finance options provided through National Safai

Karamcharis Finance Development Corporation (NSKFDC) particularly for sanitation workers.

The provision for EDP under SEP will serve to address the gaps in business skills of micro entrepreneurs. EDP covers basics of entrepreneurship development such as management of an enterprise, basic accounting, financial management, marketing, backward and forward linkages, legal procedures, costing and revenue.

## 2.4 Convergence through capacity building

The Mission functionaries of SBM-U and DAY-NULM may be apprised of the convergence models and guidelines as part of the integrated capacity building program, as well attend training sessions on convergence models.

Each state may constitute a Convergence Task Force, comprising of the State Mission Directors of DAY-NULM and SBM-U. This task force would ensure that Mission functionaries at all levels have assigned targets for convergence initiatives and regularly review the progress against these.

Several Civil Society Organisations (CSO), including NGOs, work in the areas of sanitation and waste management in

each State within particular or several cities. ULBs may engage these organizations for training workers and SHG members for SBM-U activities, as per local requirements and in accordance with the roles defined through the NSQF.

It is also known that persons from several of the disadvantaged or vulnerable groups may have trouble settling into the formal workforce or adjusting with the demands. The appointed CSOs may, therefore, also be given the responsibility of counselling, keeping track of adjustment issues, etc. through regular check-ins. These responsibilities must form part of the agreement with the respective ULBs.



Picture 3:  
SHG Members attending  
Capacity Building Training

# 3 Structure for convergence

The City Level Federations (CLF) of SHGs and the respective ULBs may work out the detailed division of responsibilities between them for the envisaged convergence; however, a structure of basic responsibilities that must be undertaken has been provided below.

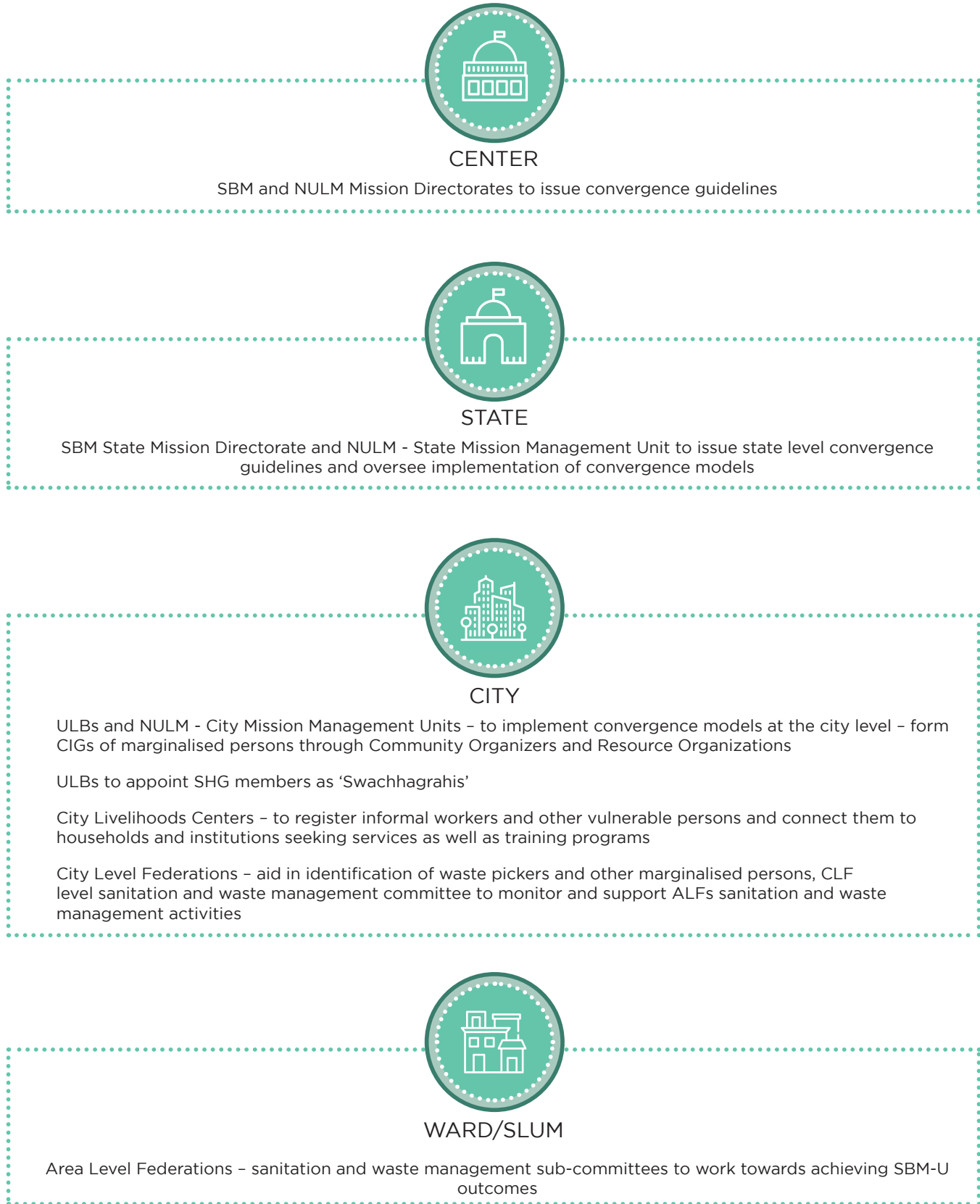


Figure 2: Structure of Convergence between SBM-U and DAY-NULM

## 3.1 Responsibilities of ULBs and CMMUs

### 3.1.1 Identification of vulnerable groups

Identification of existing waste pickers and other marginalised groups through local grassroots NGOs/ Unions or recent surveys (many cities would have initiated the process of identification and registration of waste pickers under the Swachh Survekshan survey or through any third-party surveys conducted by other government departments).

Issuing identity cards to identified waste pickers and other marginalised groups.

Registration of waste pickers at the City Livelihoods Centres (CLCs).

### 3.1.2 Skill training of marginalised groups and enterprises

Validation of city level skill gap analysis in terms of mapping existing informal workers, waste pickers, persons required for O&M of all public and community toilets, persons required for desludging operations of on-site systems for both existing and upcoming projects, persons required for managing resource centres through the CMMUs under DAY-NULM.

Preparation of DPRs for specific waste management projects wherein capital costs are funded through SBM-U central share and skilled workforce is provided through DAY-NULM.

Facilitating training and skilling of identified vulnerable groups as per the requirement.

Preparation of City Livelihoods Plan to explore the options of livelihoods and need to skilled human resources.

Conducting Recognition of Prior Learning (RPL) for informal workers as per the advisory issued by DAY-NULM in convergence with Pradhan Mantri Kaushal Vikas Yojana (PMKVY).



Picture 4:  
Women SHG members  
attending skill Training

### **3.1.3 Formation and handholding of CIGs of marginalised groups, and access to finance**

Formation of common interest groups of marginalised groups through Community Organizers/Resource Organizations.

Provision of all DAY-NULM benefits including revolving fund.

Appointment and training of Bank Mitras and Micro Enterprise Community Consultants to foster banking relationship and business advisory support.

Facilitate bank linkage and access to subsidized loans to the CIGs.

### **3.1.4 Recognizing CIGs and SHGs involved in sanitation and/or waste management work in ULB's service frameworks**

Identification of projects where ULB's own human resources may be insufficient or costs may be optimised by outsourcing activities to SHGs / CIGs and/or appointing SHG members as 'Swachhagrahis'. ULBs may allocate funds to SHGs/federations from the SBM-U budget for IEC activities, to carry out behaviour change activities for sanitation and waste-related outcomes.

Instituting agreements or MoUs with the concerned SHGs / CIGs, for applicable projects, with service level agreements, responsibilities and payment terms clearly defined.

Appointment of a CSO for devising and training of identified persons for projects or activities under SBM-U, as per the required skills; handling social counselling of vulnerable persons (including those with history of trafficking or abuse, etc.).

Amending existing contracts/including in upcoming contracts related to sanitation or waste management works, to ensure that a significant proportion of workers engaged by the ULB are SHG/CIG members.

### **3.1.5 Monitoring Mechanisms**

Setting up systems for monitoring convergence and ensuring safe sanitation and responsible waste management practices.

Regular monitoring regime for achieving ODF and sustenance of ODF by SHG members.

Regular monitoring regime for achieving segregation at source by SHG members.

Monitoring and hand holding support required for regular payment of loan instalments.

## **3.2 Responsibilities of City Level Federation & Area Level Federation**

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### **3.2.1 Appointment of Sanitation/Waste Management Community Resource Persons (Swachhagrahis)**

Each ALF to have a Sanitation/Waste Management Community Resource Person (CRP), to track and oversee day to day activities related to sanitation and waste management; CRP to be appointed as Swachhagrahi by respective ULB and the appointment to be notified/announced publicly to residents.

CRP can be the single point of contact for the target groups, responsible for administration, coordination, oversight and banking relationship.

CRP can track continued employment of persons tagged to specific projects, manage issues of attrition (if any) identify mismatch in terms of aspirations and actual jobs assigned, manage notions of certain types of work, foster sense of responsibility for the work assigned, handle counselling in coordination with the appointed CSO.

### **3.2.2 Constituting of Sanitation/Waste Management Sub-Committees**

Sanitation/Waste Management sub-committees may be formed/ strengthened at each ALF, in addition to sub-committees for social security, community-based loan recovery etc. that are constituted at the ALF.

These sanitation sub-committees would monitor sanitation and waste management related activities such as promoting construction of IHHLs, elimination of OD spots, organizing awareness campaigns, promoting waste segregation, etc.

### 3.3 Livelihoods for identified vulnerable groups

One of the key principles of the DAY-NULM is to be inclusive in terms of livelihoods generation. The SBM-U guidelines emphasize on particularly focusing on the needs of disadvantaged and vulnerable groups such as informal waste pickers, manual scavengers, informal workers,

differently-abled, transgender persons, etc. It is important that access to alternative livelihoods is provided to those currently working in the sanitation and waste management sector, along with the opportunity to upgrade their livelihoods within the sector.

#### 3.3.1 Livelihoods alternatives for vulnerable groups

Enrolment in skill training programs under DAY-NULM across sectors, with provision of a special stipend for vulnerable groups.

Access to entrepreneurship development training and subsidized loans to start their own enterprises.

#### 3.3.2 Livelihoods up-gradation for vulnerable groups

The areas (not limited to) where livelihoods of identified vulnerable groups could be upgraded are as follows.









Swachh  
Maly Lina

SWACHH शहर पुणे शहर



A woman with dark hair pulled back, wearing a blue short-sleeved button-down shirt. She has a red bindi on her forehead and is wearing gold jewelry including earrings and a necklace. The shirt has a pocket with the text 'SWACHH शहर पुणे' and a logo of a person on a horse. The background is a corrugated metal wall.

# Annexes

## MODEL 1 Desludging of on-site sanitation systems by SHG members

The objective of the projects described below is to provide a livelihood option to SHG members and provide an upgraded source of livelihood to identified manual

scavengers or marginalised community who currently have to indulge in unsafe/manual desludging practices.

### Case of SHG operated desludging services, Cuttack, Odisha<sup>2</sup>

Like in most cities, the task of desludging on-site sanitation systems such as septic tanks were undertaken by private Vacu-Tug<sup>3</sup> operators who charged exorbitant prices for desludging services. Cuttack is an old town that has houses in the inner core of the city in narrow lanes facing issues of access by large sanitation vehicles. This necessitated manual emptying of pits/septic tanks.

In order to make desludging services affordable for its citizens and to eliminate manual emptying, the Cuttack Municipal Corporation (CMC) added new vacuum emptier vehicles to its existing fleet. The Odisha Faecal Sludge and Septage Management (FSSM) -Technical Support Unit (TSU) led by Ernst & Young initiated the process of federating identified sanitation workers into SHGs. The basic objective was to prevent manual scavenging,

providing alternate source of livelihood and ultimately increasing mechanical emptying.

The FSSM program assessed the primary requirement of such desludging, conducted meetings, discussed business models and then recommended this sanitation worker SHG to the ULB with a request that they engage this SHG into their ongoing desludging operations. The team conducted several meetings with the community, municipal authority and the state government to seek support for this initiative. The DAY-NULM team in the city also assured to register this sanitation workers SHG group and assist them with sourcing service requests. The CMC has provided one Vacu-tug machine to the SHG for desludging operations. The CMC is also considering engaging women SHGs in O&M of community and public toilets.

### Case of engaging SHGs as ODF committees in Vishakhapatnam<sup>4</sup>

The Greater Vishakhapatnam Municipal Corporation (GVMC) in collaboration with Water and Sanitation for the Urban Poor (WSUP) has constituted a ward level Open Defection Free Coordination Committee (ODF CC). The importance of a ward-level coordinating mechanism was confirmed in Vizag by the issue of a Circular by GVMC requiring its formation in every ward. Each committee is convened by the ward Sanitary Inspector and has 16 members.

The ward ODF CCs consists of elderly women who are also members of the SHGs. As highly respected members of the local community, elderly women have the standing required to influence the behaviours of those around

them. In recognition of this position, they were identified as potentially powerful agents of change in persuading households to invest in toilets and stop practicing OD in their neighbourhood.

ODF CC has become a key vehicle for informing households about the subsidy provided under SBM for the construction of Individual Households Toilets (IHHTs). Other activities they perform include visiting OD hot spots to interact with community members practicing OD; conducting IEC programmes; speaking during SHG and other community meetings; and bringing influence to bear on family members practicing OD through household visits.



Picture 6:  
ODF Committee and  
SHG Meetings in  
Vishakhapatnam

<sup>2</sup> - Case study on Cesspool operation by SHGs was documented by TSU – FSSM, by EY, Odisha

<sup>3</sup> - Cesspool cleaning equipment comprising of a vacuum tank, with a long pipe mounted on a truck

<sup>4</sup> - A Ward-by-Ward Approach for Eliminating Open Defection: Experience from Vishakhapatnam, Andhra Pradesh, Capacity Building for Swachh Bharat Mission – Urban, Technical Support to USAID - GoI Knowledge Partnership Project

# ANNEX 2

## Enhancing sanitation and waste management based livelihood opportunities through financial inclusion

The objective here is to provide credit facilities to the urban poor for setting and scaling up of the sanitation or waste management enterprises.

### MODEL 2 Direct approach model for financial inclusion

Under this model, SHGs working in these sectors apply for loans under DAY-NULM to the ULB through the Task Force (TF). The TF recommends the loan to the Bank. The concerned bank then provides loan to the beneficiary. The

bank can submit borrower data to DAY-NULM for interest subvention benefit. Subvention is then credited directly to the account of the beneficiary under DAY-NULM (web portal for interest subvention).

### MODEL 3 Mission accelerated loan model for financial inclusion

The State DAY-NULM Mission and the concerned bank can sign MoU with the objective of increasing bank linkages for sanitation and waste management with SHGs/ Common Interest Groups. Under the MoU, the role of State Mission would be to provide support to the bank for linking sanitation or waste management enterprise SHGs/ CIGs with the bank, hand holding for the loan application process, documentation and recovery. The bank can provide training and awareness support to the mission staff on bank

processes and requirements. The State Mission can facilitate appointment of a Micro Enterprise Community Consultant (MECC) from within the CIG (SHG) to coordinate with the group. Funds required for any equipment or machinery are procured through bank loan. The ULB and the bank sign a bipartite agreement. A portion of the service fee payable to the beneficiary is paid directly by the ULB to the bank for Equated Monthly Instalment (EMI) repayment. Interest subvention is provided by DAY-NULM to the beneficiary.

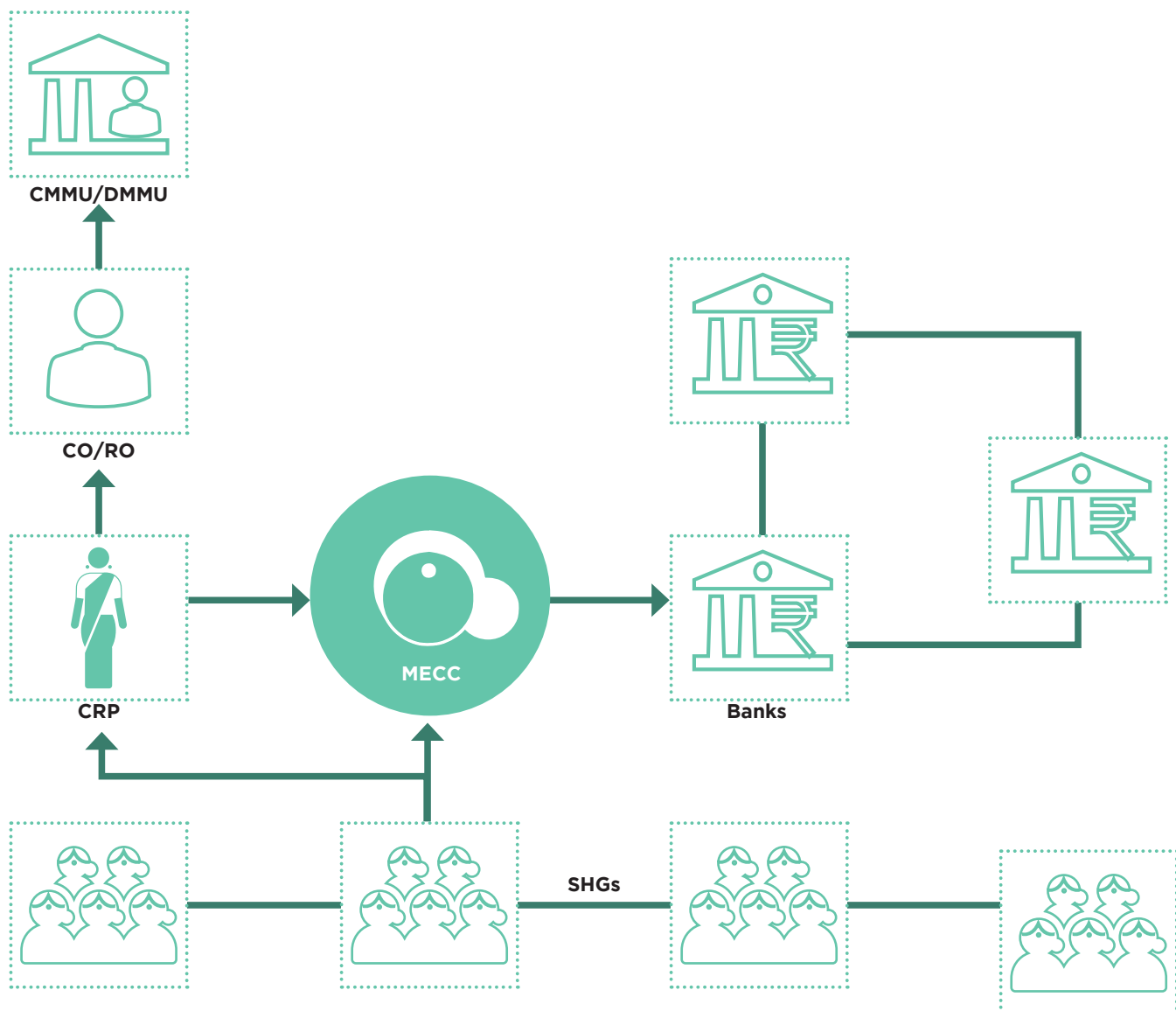


Figure 3: Mission Accelerated Model for Financial Inclusion

## MODEL 4 Bipartite agreement model for financial inclusion

The ULB provides guaranteed work contract to the sanitation or waste management SHGs/CIGs. Funds required for machinery / working capital are procured through bank loan. The ULB and bank sign a bipartite agreement. A portion of the service fee payable to the

beneficiary, is paid directly by the ULB to the bank for Equated Monthly Instalment (EMI) repayment. Interest subvention is provided by DAY-NULM to the beneficiary. Refer to figure below for the process.

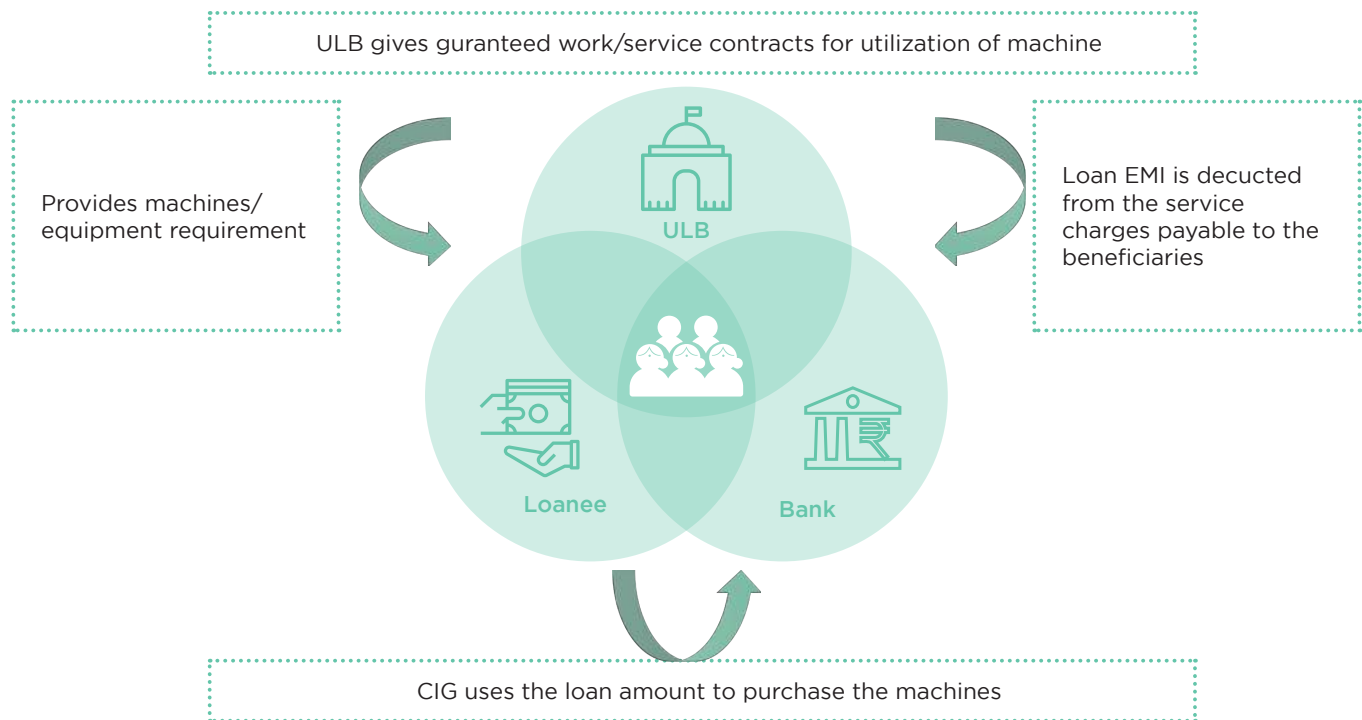


Figure 4: Model for bi-partite agreement between ULB and Banks

## MODEL 5 Tripartite agreement model for financial inclusion

The ULB provides work contract to the sanitation or waste management Common Interest Group. National Safai Karamcharis Finance Development Corporation (NSKFDC) or similar institution provides refinance to bank for providing loans to sanitation or other workers. Funds required for machinery / working capital are procured

through bank loan. NSKFDC and the Bank sign a bipartite agreement. The ULB, loanee and the Bank sign a tripartite agreement. A portion of the service fee payable to the beneficiary is paid directly by the ULB to the bank for EMI repayment.

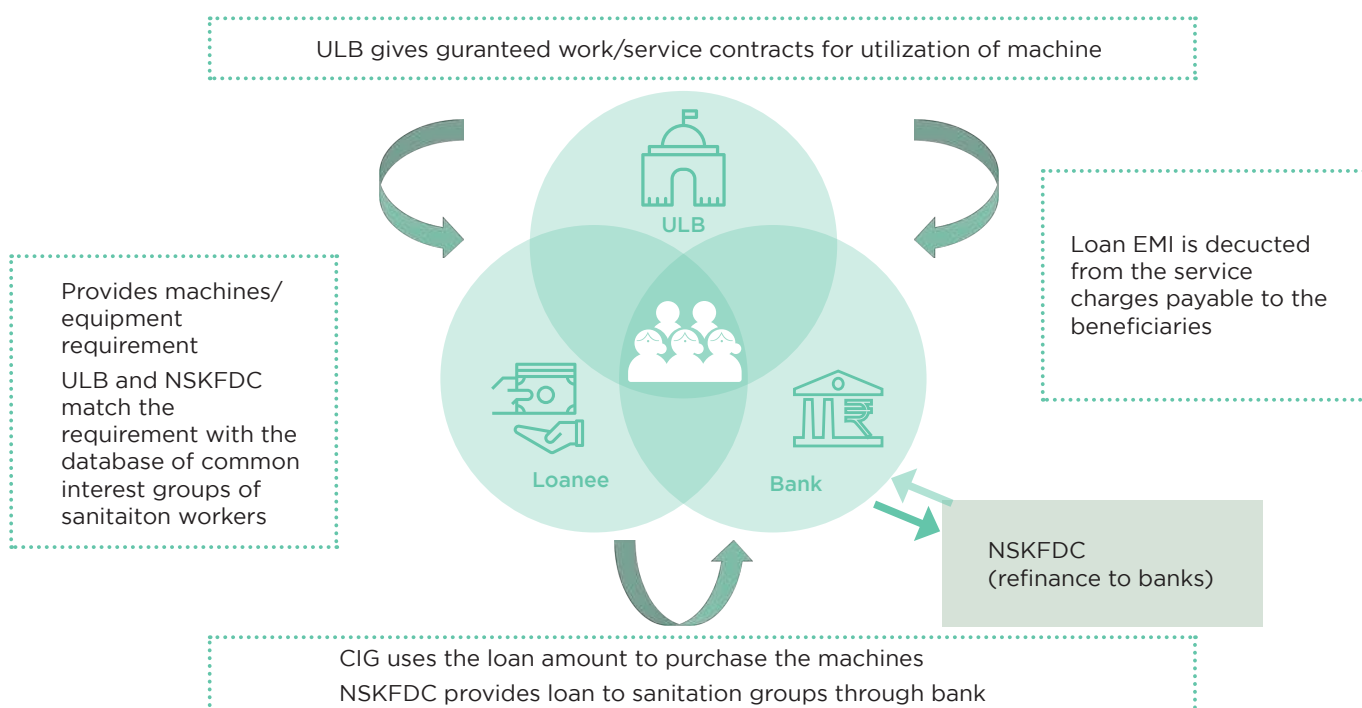


Figure 5: Model for the tri-partite model between ULB, SHGs and Bank with NSKFDC as refinancing agency

**MODEL 6** **Setting up dry waste/resource segregation centres**

The project would involve setting up dry resource (waste) segregation centres by the concerned Urban Local Body. Local women SHG members would be trained to retrieve valuable recyclables from the dry waste (potential resource) and make them available (after required processing) to respective industries. The initiative would help generate employment for the SHG members and create sustainable livelihood options for them. The SHG members would collect the dry waste from allotted households and bring it to the Dry Resource Collection Centres (DRCC) in order to segregate and sell the dry recyclable waste to recyclers. The project would necessitate setting up of equipment's

such as optical sorting equipment, conveyer belt, screens, compressors, etc.

Approximately 70- 80% of the dry waste can be recovered for sale to recyclers, 10-15% of the balance can be converted to RDF and sold to cement plants, while the remaining 10-15% which is mostly inert waste, can be sent to landfills.

**Fund requirement and financing**

While the capital expenditure for setting up the dry waste resource centres can be met from SBM Urban's central share of 35% of solid waste management project, the SHG members who would operate and maintain the centres

can be trained under DAY-NULM, and their income can be augmented from the funds generated by the sale of recyclable waste. An indicative fund requirement is given below:

- Land (to be provided by ULB)
- Size of land: 2300 sq. metre (for handling dry waste of approx. 20 MT/day)
- Capital expenditure for setting up the necessary equipment: approx. Rs. 1.5 crores
- Operating expenditure (including daily human resources of 45 persons): approx. Rs. 15-17 lakhs per month, which can be met partly from sale of recycled waste and the balance from local CSR partnerships, working capital loans etc. till such time that the project becomes self-sustaining

**Case of SHGs running dry waste segregation centers, Warangal, Telangana<sup>5</sup>**

This initiative has ensured waste segregation at the household level and has established a value chain for its processing. This flagship initiative which was in line with the Swachh Bharat Mission was launched in seven cities in Telangana state including Warangal. In a joint venture between the Greater Warangal Municipal Corporation (GWMC) and ITC's Well-being out of Waste (WoW) initiative, 18 Dry Resource Collection Centres (DRCCs) were set up in the GWMC area.



Picture 7:  
SHGs engaged in Solid  
Waste Collection,  
Segregation



Picture 8:  
SHGs engaged in Solid  
Waste Collection,  
Segregation

<sup>5</sup> - Based on a documentation for e-learning tutorial for SBM (Urban) by Urban Management Centre

Each of these DRCCs are managed by SHGs. The model is based on collection of segregated waste at source by the waste collectors of the Municipal Corporation. The ULB allows its waste collectors to sell the recyclable waste and earn additional money. This has also incentivised the waste collectors to urge the households to segregate waste at source.

Additionally, SHG members were trained by ITC on educating households on segregation of waste. SHG members interact with citizens to make them aware about the benefits of segregation as well as to train them in the specifics of waste segregation.

The SHGs operating the DRCCs purchase the dry waste from the workers at a pre-determined rate.

Watch a short film on this initiative on SBM e-learning portal: <https://swachbharat.cloudapp.net/home/course/173?lessonid=00001233>



The SHG members further segregate the dry waste at the DRCC into specific groups or value grades such as paper, carton boxes, milk packets, etc. for further recycling.

SHGs are equipped, with the below training, to manage and operate the DRCC on a sustainable model. The following training is imparted to SHG members by ITC:

- Deployment of human resources for handling and processing of waste.
- Book keeping, Stock maintenance, fund management, Working capital management, Costing and Preparation of P&L statement.
- Management of DRCCs - Buying, sorting, baling, loading, transportation and selling the dry resource like paper, plastic, metal, glass and other recyclables.
- Health, Safety and Environment training.

### Case of waste pickers federation leading to door-to-door waste collection & segregation, SwaCH, Pune, Maharashtra

The SWaCH Seva Sahakari Sanstha Maryadit, Pune was authorised by the Pune Municipal Corporation (PMC), through a MoU, to collect segregated waste from households and commercial establishments by charging a user fee, and to deposit the waste in PMC's secondary bins or designated collection points. The MoU authorised waste collectors to retrieve and sell recyclable waste and retain the earnings. In 2015, SWaCH provided waste collection services to nearly 4 Lakh households in Pune, covering

60% of PMC's geographical area (122 out of 144 municipal wards). 2,300 waste pickers are members of SWaCH and provide door-to-door waste collection, housekeeping, facility management and local waste processing services to more than 4 Lakh households and several institutions in the city. Each team of two waste collectors collect segregated waste from 300-400 households, offices or commercial establishments in separate bins using manual pushcarts.



Picture 9: Swachh Waste Collectors engaged in household waste collection





Picture 10:  
Swachh Waste Collectors  
engaged in household  
waste collection

The waste collectors sort the dry waste in sorting sheds provided by PMC or in areas designated by Resident Welfare Associations (RWAs) and retrieve recyclables such as paper, glass and plastic. The waste collectors work for an average of 4 hours a day and are entitled to a weekly holiday. The waste pickers collect monthly user charges ranging from Rs. 10 to Rs. 40 per household for waste collection. The PMC partially subsidizes the cost of collection from slums to the tune of Rs. 5 per household per month. SWaCH members also enter into private service contracts with RWAs and institutions to compost the wet waste on site and provide allied housekeeping services. SWaCH members pay 5% of their monthly earnings to the cooperative towards the cost of management staff, logistics

and overheads. The PMC also provides an operational grant to SWaCH for a period of five years to cover initial management costs, and welfare benefits to all waste picker members of SWaCH.

Watch a short film on this initiative on SBM e-learning portal: <https://swachhbharat.cloudapp.net/home/course/33?lessonid=00001083>



### Financial overview of PMC-SWaCH initiative

The financial contribution by SWaCH and PMC (as outlined in the MOU) towards supporting the door-to-door collection service in Pune is provided in the table below:

The waste collection cost to PMC per household per month amounts to Rs. 4.38 which is significantly lower than the cost of providing door-to-door collection service in any other city in India.

Component	Funding Source	Annual contribution (INR)
SWaCH Towards supporting livelihood of waste Pickers including 5% towards operational/ management expenses of SWaCH	Collection of User Charges from 4 Lakh households (Rs. 10-40 per household per month)	14,40,00,000
PMC Operational and administrative expenses of SWaCH including training and community awareness initiatives	Operational Grant by PMC (only for five years)	1,64,00,000
Cost of waste collection from slum households	Subsidy of INR 5 by PMC for 28,000 slum households	16,80,000
Welfare Benefits to waste pickers	INR 7,000 per waste picker per year	1,61,00,000

## Case of setting up bio-methanation plants for wet waste and dry resource collections centres for dry waste

The project would involve the ULB contracting waste pickers to collect segregated waste from households (which would have been provided with blue and green bins by the ULB). A garbage collection tricycle can be given to a team of two waste pickers for ease of carrying out the operations. The wet waste collected will be transported to the nearest biomethanation plant where it is converted into electricity which can be used for municipal street lighting. The dry waste will be brought to designated dry waste collection centers where it will be segregated further into various items before being sold to recyclers in nearby areas.

The ULB will charge a fixed user fee from all households for the waste collection services provided by the ULB.

It is expected that a waste picker would be able to cover 250 households/day thereby collecting 375 Kgs of waste per day (assuming an average of 5 people per household and per capita waste generation of 0.3 Kg/person/day). Assuming 25% of this is saleable dry material and 60% is saleable wet material, a team of 2 waste pickers would be able to sell 94 Kgs of dry waste in the market and 225 Kgs. of wet waste to the biomethanation plant.

### Fund requirement and financing for bio-methanation

All capital costs incurred for the collection and transportation of waste including purchase of garbage collection vehicles, sheds for storage of waste collected, etc. can be borne by the ULB initially, out of SBM-U's

central share of 35% of solid waste management project. The ULB can set up the bio-methanation plants themselves or through a PPP arrangement.



Picture 11:  
Waste pickers collect  
segregated waste from  
households on a tricycle

## Case of SHGs running dry waste segregation center, Ambikapur, Chattisgarh

An innovative solid waste management model pioneered by Ambikapur city in Chhattisgarh involves SHG members to effect 100% segregation of the 45 MT waste produced by the city daily, under the Swachh Ambikapur Mission.

As a result, the earlier expenditure on solid waste management, which ran to nearly Rs. 1.3 crores per annum, has now come down to approximately Rs. 37 lakhs per annum. The SHG members are engaged by the Ambikapur Corporation for door-to-door collection of segregated waste and further recovery of the dry waste at the waste recovery centres, known as Solid and Liquid Resource Management (SLRM) centres.

SHG member women are now earning salaries of nearly Rs. 60,000 per annum (Rs. 5000 per month) as honorarium from the ULB, in addition to Rs. 3000 – 3500 per month

that they earn from the sale of dry waste from their waste resource recovery centres.

This initiative has also helped Ambikapur being awarded the cleanest city in Swachh Survekshan 2017, in the category of cities with less than two lakh population.

In the state of Chhattisgarh, the Ambikapur Model is being rolled out to is now being rolled out across 165 ULBs involving 6500 SHG women who are keen to work with the ULBs on this waste recovery model.

Watch a short film on this initiative on SBM e-learning portal: <https://swachhbharat.cloudapp.net/home/course/132?lessonid=00001190>



Picture 12: Women SHGs engaged in waste segregation,



Picture 13: Health checkup program for SHGs members



Picture 14: Women SHGs engaged in waste collection

## 4 Livelihood opportunities through service contracts by ULBs

### MODEL 7 Basic cleaning services provided by SHGs on behalf of ULB

The project would involve women SHG groups taking charge of basic cleaning activities of their slum communities and neighbouring RWAs on behalf of the ULB, on contract basis. The respective ULB would procure hand-held litter pickers and other equipment and provide these to women SHGs

(to be distributed through ward level SHG federations) to operate them for cleaning and sweeping their allotted slum areas, and neighbouring RWA premises, and bring the collected waste to the nearest transfer station.

#### Fund requirement and financing

The capital expenditure can be met from SBM-Urban's central share of 35% of solid waste management project,

which would be with the respective ULB. An indicative fund requirement is given below.

- Litter pickers to be provided by ULB, at an approximate cost of Rs 10 lakhs per machine.
- The SHG members can charge a nominal fee from each RWAs to generate a monthly income from this activity.

#### Case of SHGs getting a street cleaning contract from the ULB in Hyderabad (GHMC)<sup>6</sup>

In 2012, the Greater Hyderabad Municipal Corporation (GHMC) decided to change its outsourced street sweeping system wherein contractors were given the responsibility of sweeping the city's streets, by instead offering the sweeping contracts to seven-member SHGs. GHMC offered to pay each member INR 6,700 per month plus EPF and ESI contributions amounting to INR 1,000 per month. In

order to work in this area, SHGs register with GHMC and receive a contract, with group and bank accounts being opened thereafter and salaries being remitted directly into these accounts. This system allows for transparency and fairness in the pay for people working on the contracts. It also allows for the civic body to save on contractors' margin and service tax.

#### Case of SHGs being involved in waste collection from slum areas<sup>7</sup>

Karnataka as a state has adopted the approach encouraging ULBs to involve SHGs, RWAs and other such groups in the collection and transportation of segregated waste in communities. Many ULBs have thus incorporated the same to some extent. In particular, the town of Tarikere in Chikkamagaluru district included these services, i.e. outsourcing/privatisation of waste collection, in its Solid Waste Management action plan as far back as 2006. For the activity officially titled "Waste Collection in Slum Area", the Municipal Council's plan was to distribute 40 litre

HDPE bins to slums, which SHGs would then monitor and be responsible for the collection of waste from. The ULB estimated the number of pushcarts and dustbins required, the number of groups required for waste collection, as well as the number of people residing in the slums to be covered and provided the required equipment to the groups. The work of actual collection of waste from slum colonies was given to pourakarmikas (contract workers) whereas SHG members were responsible for physical collection of waste from non-slum areas.

#### Case of ULBs outsourcing street sweeping to the city livelihoods center, Nahan, Himachal Pradesh<sup>8</sup>

The City Livelihoods Centre (CLC) at Municipal Council Nahan (MCN), Himachal Pradesh was established in September 2016. The CLC is registered under the Societies Registration Act 1860. The MCN, supported the CLC in deploying its managers, a computer operators and supporting staff and also helped in preparing a plan of action for mobilising funds to make the CLC self-sustainable. As part of the SMID component under DAY-NULM, the MCN had identified workers living in Valmiki bastis and in another few settlements in the city. These workers were earlier engaged by a private contractor that was contracted by the MCN for its street sweeping activities. But they were exploited, not ensured sustained work and not provided with social security benefits such as Provident Fund (PF).

sweepers were provided trainings on financial literacy, behaviour change communication, health and sanitation with the help of the RBI, Lead Bank, NGOs and other stakeholders. The CLC charges the MCN a monthly fee of Rs. 50,000. This initiative saw an increase in the monthly remuneration of the sweepers. Looking at the success of this initiative, the neighbouring town of Paonta Sahib also requested Nahan CLC to initiate similar work in their city. The Nahan CLC has enrolled 72 sweepers in Paonta Sahib and rolled out street sweeping activities in this city too.

Against the above backdrop, the Nahan CLC engaged with the groups, enrolled them into the CLC and obtained the street sweeping contract from the MCN. The initiative has been a win-win situation for both the MCN which has been ensured of good work as well as for the sweepers who are ensured sustained and transparent wages. The CLC appointed 57 of the sweepers in Nahan. The registered

Over the past 8-9 months of operation, the CLC, Nahan has earned around Rs 7.5 lakh, making the CLC financially sustainable. The CLC Nahan is now exploring other activities in which they can get work order/contract from other government departments. Recently the CLC - Nahan has also initiated the registration of workers for other services. The key service providers registered with CLC - Nahan include welders, tuition teachers, masons, sweepers, electricians, plumbers, drivers, painters etc. The CLC- Nahan is developing a database of various service providers and the related institutions.

<sup>6</sup> - <http://www.news18.com/news/india/ghmc-spikes-sweeper-contracts-437147.html>

<sup>7</sup> - [http://www.tarikeretown.mrc.gov.in/sites/tarikeretown.mrc.gov.in/files/PDF/swm\\_action\\_plan.pdf](http://www.tarikeretown.mrc.gov.in/sites/tarikeretown.mrc.gov.in/files/PDF/swm_action_plan.pdf)

<sup>8</sup> - CLC case study is documented by Urban Management Centre in collaboration with Municipal Council, Nahan, Himachal Pradesh

**MODEL 8 Converting community and public toilets into sustainable assets**

The objective is to ensure that community and public toilets to be self-sustainable and there is improved cost recovery from these facilities.

The model would involve women SHG groups or of common interest groups (CIGs) taking charge of existing community toilets and converting them into multi-purpose units, with convenience stores or water ATMs

**Fund requirement and financing**

The capital expenditure for constructing these multi-purpose units can be done by ULB themselves or on a PPP mode (ULB provides land and advertisement rights to the concessionaire, who undertakes the actual construction).

or ATMs or mobile recharge stations, etc. to improve their financial sustainability and also aid monitoring and their use. Additionally, the SHG groups can be trained to take up the monthly O&M responsibility for the toilets to ensure that they are functional and regularly used. SHGs would be encouraged to charge some nominal user fee from community members to keep the community toilets running, which could become a source of revenue.

DAY-NULM funds may be used to train and make available the skilled workforce. The ULB/concessionaire can outsource the monthly O&M of the facility to local SHG groups.

**Case of public and community toilets run by SHGs, Tiruchirappalli, Tamil Nadu<sup>9</sup>**

In an initiative launched by NGO Gramalaya in Tiruchirappalli, Tamil Nadu in 2000, women in slums were mobilised into SHGs to be involved in the building and/or renovation of 25 community toilets and child-friendly toilets in the slums. As part of the initiative, SHG members were responsible for the overhaul as well as the management of the toilets on a pay-and-use basis.

Some community toilets are 'sanitary complexes' with designated areas for bathing and washing. Each toilet facility received its water supply from the Tiruchirappalli City Municipal Corporation (TCMC) and also had a bore well provided by the corporation. The corporation waived the electricity charge for the pumping of water for the initial few years of the toilets' operations. After this time, the tariff for these community toilets was levied at the lower domestic rate and not the commercial rate.

The success of the initiative, specifically of the women managing and maintaining the community toilets, led to the construction of community toilets in all 211 approved slums of the city (in 2011). The SHGs were managing 100 toilets on a pay-and-use model. Each Sanitary health education

Watch a short film on this initiative on SBM e-learning portal: <https://swachhbharat.cloudapp.net/home/course/69?lessonid=00001144>



(SHE) team and associated SHGs took responsibility for the toilet on a rotation basis. SHE members and SHG members would take turns to be seated outside the toilet complexes managed by SHGs, selling tokens to users. The caretaker for the day worked on an 8 to 12-hour shift. They engaged women cleaners and guards for their services, the cleaner working two to three times a day at the toilet. The collection from the user charges was used to pay electricity bills, cleaner's salary, guard's salary and other expenses such as repairs. The typical user charge varied from 50 paise to Rs. 1 per use, with children, the elderly and physically-challenged having free access. The accounts were kept by SHGs and audited by the corporation.



Picture 15: SHGs in Tiruchirappalli Engaged in Operation and Maintenance of Community toilets

<sup>9</sup> - Based on a documentation for e-learning tutorial for SBM (Urban) by Urban Management Centre

## MODEL 9 Financing of individual household toilets

The project would involve women SHGs contributing towards the construction of individual toilets in households in their community. Access to a functioning individual household level toilet is crucial for improved quality of life for the urban poor. For each toilet, the ULB can provide Rs. 4,000 (offered under Central assistance for individual toilet

construction under SBM-Urban) plus the amount specified by the respective state for its share of construction per IHHL, and the balance amount required for toilet construction may be met through the SHG federations' corpus funds/ internal loans etc.

### Case of 'One Home One Toilet' initiative by SHGs, Pune

Under the Swachh Bharat Mission, Shelter Associates has facilitated the building of 20,000 plus individual toilets in Pune. Shelter Associates, a not for profit organisation based in Pune with help of SHGs promotes the vision of "One Home One Toilet" as a solution to the problem of urban sanitation. The model of "One Home One Toilet" has two essential components- Spatial mapping and door step material delivery. Shelter Associates creates a map which identifies all the basic infrastructure facilities in the slums, this includes, drainage lines, condition of the house, open defecation spots, community toilets, water facilities, etc. Samitis are formed in each of the settlements and these Samitis consist of the women staying in the community who monitor the toilet construction and can negotiate with the local councillors for any of their development needs. This

demand for individual household latrines has generated employment for the masons in the community. Instead of fetching for job work elsewhere, the masons build toilets within their community. This also ensures that the quality of construction is maintained.

Watch a short film on this initiative on SBM e-learning portal: <https://swachhbharat.cloudapp.net/home/course/84?lessonid=00001150>



Picture 16:  
Individual household toilets  
in Pune supported by Shelter  
Associates, Pune



For more info, write to [info@umcasia.org](mailto:info@umcasia.org)



Deendayal  
Antyodaya  
Yojana-  
National Urban  
Livelihoods  
Mission



Ministry of Housing  
and Urban Affairs  
Government of India

