

822 INTA92

REGIONAL REFERENCE CENTRE
FOR COMMUNITY WATER SUPPLY AND
SANITATION (IRC)

INTEGRATED SCHEME OF LOW COST SANITATION
FOR LIBERATION OF SCAVENGERS

*DRAFT REPORT ON
THE TESTING OF THE
MONITORING AND EVALUATION SYSTEM
IN TAMIL NADU*

REGIONAL WATER AND SANITATION GROUP-SOUTH ASIA (RWSG-SA)
UNDP/WORLD BANK WATER AND SANITATION PROGRAM
NEW DELHI

SEPTEMBER 1992

822-INTA92-12202

ACRONYMS/ABBREVIATIONS

Am/Amb	Ambattur
Amt.	Amount
Appli.	Application
Benf.	Beneficiary
Conv.	Conversion
Cons.	Construction
EWS	Economically Weaker Sections
GOI	Government of India
Gu/Gud.	Gudiyatham
HH	Households
HUDCO	Housing and Urban Development Corporation
LCS	Low Cost Sanitation
M&E	Monitoring and Evaluation
MOUD	Ministry of Urban Development
Municip.	Municipality
Proj.	Project
Recov.	Recovered
RWSG-SA	Regional Water & Sanitation Group-South Asia (UNDP/World Bank)
Rn/Rani	Ranipet
SNA	State Nodal Agency
Tr/Tiru.	Tiruvathipuram
TUFIDCO	Tamilnadu Urban Finance and Infrastructure Development Corporation

Units prop.

Units Proposed

Units compl

Units Completed

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Integrated Scheme of Low Cost Sanitation for Liberation of Scavengers - Report on the Testing of the Monitoring and Evaluation System in Tamilnadu

I Introduction

1.01 The Ministry of Urban Development, Government of India, requested RWSG-SA to assist in the development of a Monitoring and Evaluation System for the Integrated Low Cost Sanitation Program. RWSG-SA proposed a system based on a quick study in Tamil Nadu (one town and the State level). The proposed system was presented to the conference of State Governments convened by GOI on 20 September, 1991. Based on the comments of the representatives of GOI and the State Governments at the conference, the M&E formats were revised and forwarded to MoUD for consideration on 24 September, 1991. An Interim Report on RWSG-SA's findings and recommendations were also forwarded on 9 October, 1991 to MoUD for review.

1.02 MoUD then proposed that RWSG-SA may test the system through pilot monitoring and trial evaluation in one or two States. MoUD also indicated that the results of the pilot trials could later be considered in a workshop of the implementing agencies for further developing the system.

1.03 In December, 1991, RWSG-SA agreed with MoUD that the system may be tested initially in Tamilnadu and the testing organized in consultation with the Commissioner of Municipal Administration, GOTN. Following discussions with CMA, it was agreed that:

- the testing will be done in four towns of Tamilnadu viz. Ambattur, Gudiyatham, Tiruvathipuram and Ranipet;
- TUFIDCO, already the nodal agency for the program in Tamilnadu, will be the participating agency for the testing;
- the testing will commence in June 1992.

1.04 The testing commenced in June 1992. The formats for the monitoring reports and concurrent evaluation were first pre-tested. The test evaluation was organized by CMA through selected officials of other municipalities. A training workshop on the evaluation exercise was organized by TUFIDCO with participation by RWSG-SA on 13 August, 1992 for the benefit of the evaluators. The test evaluation was conducted over the period 14-24, August 1992 and the completed formats were sent to RWSG-SA on 26 August for processing and analysis.

1.05 The results of the testing of the M&E system were presented to CMA, TUFIDCO, HUDCO and MoUD at Madras on 9 September, 1992 and their comments were taken into account while preparing this report.

II Monitoring Reports

Quarterly Monitoring Format

2.01 A consolidated reporting format for towns was designed, based on the reports sent to HUDCO. The advantage of the new format is that it is concise and in one page provides both physical and financial progress of the scheme. The format was designed in collaboration with TUFIDCO, and was tested in 4 towns. The proposed format is presented in Annex 1.

2.02 The monitoring proforma was designed with the intention of eliminating duplication of reporting at the Municipality level i.e. reporting to HUDCO and TUFIDCO separately.

Monitoring Indicators and Feedback Reports:

2.03 Based on the Quarterly Monitoring Proforma, four feedback reports will be prepared by TUFIDCO. These reports are presented below using the data from four towns for illustrative purposes.

2.04 Report I: Integrated Physical and Financial Progress Report

Town & Scheme Number	Units Prop	Units Compl.	% Units Completed	% Funds Released	% Proj. Time Elapsed
Amb 7582	2115	1115	53 %	36 %	80 %
Gud 7624	7773	2229	29 %	37 %	58 %
Rani 7619	1949	382	20 %	33 %	58 %
Tiru 7873	833	375	45 %	59 %	80 %
Total	12670	4101	32 %	38 %	69 %

2.05 This report will highlight the towns which are lagging behind in construction or in obtaining funds in relation to the time which has elapsed since the start of the work by the municipalities. Time elapsed is calculated as months since the project started divided by 24, which is the standard project period.

2.06 Report II: Construction Report Progressive upto June 1992

Town	Units :Prop. (1)	Appli. :Received (2)	Agreement : Executed : (3)	Units Compl (4)	% EWS :from (4)	: % Conv. :from (4)
Amb	: 2115	: 2115	: 1115	; 1115	: 100 %	: 100%
Gud	: 7773	: 3150	: 2000	: 2229	: 100 %	: 8%
Rani	: 1949	: 430	: 430	: 382	: 100 %	: NA
Tiru	: 833	: 390	: 390	: 375	: 100 %	: NA
Total	12670	6085	3935	4101	100 %	-

2.07 This report can be used to identify stages at which the scheme faces bottlenecks. In Amb and Gud for example, the gap between the number of applications received and agreements signed seems large. Explanations for such gaps may throw light on operational difficulties of the implementation agencies. The report also monitors the progress on two policy objectives, namely, serving the needs of the Economically Weaker Section (EWS) and the priority given to conversion of dry latrines.

2.08 Report III: Financial Report Progressive Upto June 1992 (Rs in lakhs)

Town & Scheme	Sanctioned Amt	Released Amt	Expendi- ture	Balance With Muncip
	Loan	Subsidy	Loan (%)	Subsidy (%)
Amb	: 42.93	: 16.15	: 50 %	: * 0 %
Gud	: 111.99	: 56.33	: 38 %	: 37 %
Rani	: 38.02	: 13.84	: 32 %	: 36 %
Tiru	: 18.80	: 6.67	: 62 %	: 60 %
Amounts	: 211.74	: 92.99	: 41 %	: 32 %
in Lacs	: 304.73	: 117.51	: 38 %	: 30 %
in (%)	: 100 %	: 38 %	: 30 %	: 8 %

* In Ambattur subsidy under another program was made available.

2.09 This report indicates the balance between the proportion of loan and subsidy amounts released to the towns. Since municipalities are more interested in the subsidy amount and often feel that loans are released while holding back the subsidy, this report is helpful in understanding the dynamics of fund release.

2.10 Report IV: Loan Recovery Report (Progressive upto June 1992) (Rs in lakhs)

Towns	Repayment Amt. Due	Amount Paid By Muncip	Amt. Recov. from Benf.	% Amount Recovered
Amb	: 1.209	: 1.209	: 0	: 0
Gud	: 2.169	: 2.169	: 0	: 0
Rani	: 0.591	: 0.591	: 0	: 0
Tiru	: 0.675	: 0.675	: 0	: 0
Total	: 4.644	: 4.644	: 0	: 0

2.11 This report will indicate whether the municipalities are defaulting on repayment. More important, the report will indicate how recovery from the beneficiaries is progressing by towns. The above illustrative table shows that no recovery has yet started from the beneficiaries. The reason is that the recovery process has just been initiated. In the next quarterly report recovery from beneficiaries is expected to be substantial.

Flow of Data and Report Preparation:

2.12 The quarterly Monitoring Proforma will be filled by each Municipality for the months up to June, September, December, and March and sent to the Nodal Agency (TUFIDCO) by the 15th of the following months. Data analysis and report preparation can be standardized, using the computer available at TUFIDCO or HUDCO. Data entry and report generation are expected to take 3 days, using one operator. No specialized computer skills are required for this task except a working knowledge of any Database software that is commercially available.

2.13 For the monitoring system to become effective, these reports will have to be discussed in the quarterly meetings convened by the Commissioner of Municipal Administration around the 20th of July, October, January and April. It is very important that: these meetings are held regularly on a fixed date; adequate time is provided for discussing the monitoring reports; and defaulters on reporting are suitably advised to ensure that the defaults do not recur. Further, at present, though the municipalities send quarterly reports, those are not checked for accuracy and consistency. Computerized analysis will highlight gaps and mistakes. These kinds of issues will have to be tackled first before reliable analysis can be expected from the system.

Feedback to Government of India (MoUD)

2.14 A Quarterly Feedback to GOI (MoUD) on the progress of the scheme in each State is proposed. The feedback will be provided by HUDCO, based on reports from State Nodal Agencies, by the end of July, October, January and April. It will consist of 6 sections, all presented in one page (using two sides). The first 4 sections will be the summaries of the four reports described earlier. Section 5 will give the financial flows between GOI, HUDCO, Nodal Agencies and Towns. Section 6 will show the time flow i.e. time taken for various activities before the start of the project. Format of this report is presented below.

2.15

LOW COST SANITATION SCHEME
Quarterly Progress Report to GOI
From: Tamil Nadu

Section I: Integrated Physical and Financial Progress Report

# Town Sanct ioned	: Units Prop :	: Units Compl. :	: % Units Completed	: % Funds Released	: % Proj. Time Elapsed
4	: 12670	: 4101	: 32 %	: 38 %	: 69 %

Section II: Construction Report Progressive Upto June 1992

No. of Towns	: Units Prop. (1)	: Applica. : Received (2)	: Agreement: Executed (3)	: Units Compl (4)	: % EWS from (4)	: % Conv. from (4)
Total	12670	6085	3935	4101	100 %	-

Section III: Financial Report Progressive upto June 1992 (Rs in Lakhs)

No. of Towns	: Sanctioned Amt : Loan	: Released Amt : Subsidy	: Expendi: ture	: Balance With Municip	
	: Loan :	: Subsidy :	: Loan (%) :	: Subsidy (%) :	
Amounts	: 211.74	: 92.99	: 41 %	: 32 %	: 92.34 +25.17
(in Lakhs)	304.73	:	117.51	:	92.34 : 25.17
in Percent	100 %	:	38 %	:	30 % : 8 %

Section IV: Loan Recovery Report (Progressive upto June 1992)
(Rs in lakhs)

No. of Towns	Repayment Amt. Due	Amount Paid By Municip	Amt. Recov. from Benf.	% Amount Recovered
4	4.644	4.644	0	0

Section V: Financial Flow Report (Rs in lakhs)

Sanction Amount	Requested by SNA	Released to SNA	Released to Towns	Recovery from Towns (Prin + Int)
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Loan

Subsidy

###

Total

Section VI: Average Time Taken from Proposal to Work-Start

(Data in Months)

No. of Towns	Proposal to Sanction	Sanction to Fund Reqst	Fund Reqst. to Fund Release	1st Instl. to Start
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2.16 This table will be prepared based on the data available with TUFIDCO /HUDCO. To produce this summary, no additional data collection will be required. GOI may request data by towns, in cases where time taken between proposal and work-start is, say, more than one year.

III Concurrent Evaluation

Background

3.01 Concurrent evaluation of the Low Cost Sanitation Program was carried out in 4 municipalities in Tamil Nadu (Ambattur, Gudiyatham, Ranipet and Tiruvathipuram), using the evaluation instrument presented in Annex 2. The instrument was earlier designed, translated into Tamil and pretested in the field. The findings are presented in this report.

Study design

3.02 For the study 20 percent of the completed units were selected from files which contained the agreement form and completion certificate of each of the completed units. These files are arranged in the order in which payments were made to the NGOs. To select the sample, a systematic sampling procedure was followed of selecting every fifth form, starting with a random number between 1 and 5. The interviews were carried out by a team of one junior engineer and one statistical assistant from neighbouring municipalities.

3.03 The number of units completed as on August 15, 1992 and the number surveyed are shown in the table below.

	Units Completed	Units Surveyed
Ambattur	675	135
Gudiyatham	2300	447
Ranipet	382	76
Tiruvathipuram	375	75
Total	3732	733

3.04 Since the time required to complete one interview was 10 minutes, about 25 households could be easily completed in one day by a team of two investigators. Setting that as a standard, one team each was assigned to 3 municipalities (Ambattur, Ranipet and Tiruvathipuram) and 3 teams to Gudiyatham, to complete the data collection in one week.

3.05 A two-day training was organized at Madras by TUFIDCO. The training included introduction to the scheme and to the survey instrument, practical training in drawing sample and in beneficiary interview. The survey was started on August 17 and completed on August 24, 1992. Two officers from TUFIDCO supervised the survey teams. They revisited 5 per cent of the households interviewed by the survey teams.

Survey Findings

Number of Observations

3.06 Of the 733 households selected, 688 (93 %) could be contacted. Of the remaining, 26 were locked and 11 were not occupied because the owner had moved out or was building a new house. In one case the house was yet to be built. Only 8 (1 %) addresses could not be located. Most of them were from Ambattur town. In some cases, though the house was locked, the investigators could observe the unit. Therefore the number of units observed is slightly more than the number of interviews conducted, as shown below.

Numbers of Households interviewed and Units Observed

	Am	Gu.	Rn.	Tr.	Total
Total Sample	135	447	76	75	733
No. Interviewed	111	432	73	72	688
No. Units Observed	123	433	75	74	705

Findings from Interviews

3.07 Previous Latrine Facility. Out of 688 respondents, the majority (67%) reported not having any latrine facility before. This percentage varied from 98 % in Ambattur to 55 % in Gudiyatham.

Table 1: Reported Previous Latrine Facilities by Towns

Previous Facility	TOWNS				Total
	Am	Gu	Rn	Tr	
None	109 (98%)	230 (55%)	56 (77%)	65 (90%)	460 (67%)
Dry	1	194	16	6	217
No Response	1	8	1	1	11
Total	111	432	73	72	688

3.08 The proportions of new constructions and conversions proposed in each town and the proportions found by the survey are shown below (Table 2)

Table 2: Conversions Proposed and Found in the Survey

	Towns				Total
	Am	Gu	Rn	Tr	
% conversion					
Proposed:	100%	44%	32%	22%	50%
Observed:	2%	45%	23%	10%	33%
% Units* Complete :	53%	27%	21%	45%	32%

* Source: Quarterly Monitoring Report by Municipalities

3.09 In Ambattur, all units are supposed to be conversions but the survey data showed otherwise. This discrepancy may be because of different interpretations of terminology. As far as the survey is concerned, if the respondent reported having a dry latrine

earlier, it was classified as a conversion, even if a new unit was actually constructed. However, it appears that in some municipalities, this is classified as new construction. Therefore, the discrepancy noted may be an artifact of the definitions used and needs to be verified.

3.10 Extent of Use and Non-Use of Completed Units. Overall, about 4 % of the households reported not using the newly constructed units. This percentage varied from 0 in Tiruvathipuram to 16 in Ambattur. Two of the main reasons mentioned for not using the facility were poor quality of construction and inappropriate location of the unit. By inappropriate location, the respondents meant location too close to water source, or that the water table was high. Three families in Gudiyatham were using the unit as a living room because of this reason. In general, however, the incidence of "non use" was found to be low.

Table 3: Per cent Units in Use with Reasons for Non Use

	Towns				Total
	Am	Gu	Rn.	Tr.	
HH interviewed	111	432	73	72	688
Units in use	95	422	69	72	658
Units not in use	16	10	4	0	30
% Not Used	14%	2%	5%	0%	4%
Reasons for Non Use:					
No door	4	-	-	-	4
Damaged	3	-	-	-	3
Poor quality	4	-	-	-	4
Wrong location	4	3	1	-	8
Does not like	-	-	2	-	2
Not functioning	-	-	1	-	1
House not built	-	2	-	-	2
No reason	1	5	-	-	6

3.11 Number of users Per Unit. Among the households reported using the unit, 68 per cent reported that the number of users was 1 to 5, and 32 percent reported 6 to 10 users. Table 4 shows the distribution of family sizes found in the survey and that assumed in the project proposal.

Table 4: Unit Size Requirement (in per cent) found in the Survey and assumed in the Project Proposal

Towns					
Sizes	Am	Gu	Rn	Tr	Total
1 - 5					
Survey	76 %	68 %	62 %	67 %	68 %
Proposal	100 %	49 %	85 %	48 %	63 %
6 - 10					
Survey	24 %	30 %	38 %	32 %	30 %
Proposal	0 %	51 %	13 %	52 %	36 %
11 - 15					
Survey	0 %	2 %	0 %	1 %	2 %
Proposal	0 %	0 %	2 %	0 %	1 %

3.12 Although there was a reasonable match between the number of users originally proposed and actually observed on an overall basis, the gaps are higher in certain towns and these could cause problems in the future. For example, a good proportion of the latrines in Ambattur and Ranipet seem to be underdesigned and there is likelihood of the pits getting filled up faster. The other two towns seem to have overdesigned a good proportion of the latrines and these could have implications for cost.

3.13 Who Uses. In a majority of the households (65 %), all members were reported to be using the unit. In 18 per cent of the households, only the adults were the users. There were some variations between the towns, as shown in Table 5. If all people do not use the facility, there are implications for town sanitation. There is need to create greater sanitation awareness to secure full benefits of the Program.

Table 5: Per cent Distribution of Households by "Who Uses"

Who Uses	Am 95	Gu. 422	Rn 69	Tr 72	Total 658
All	9	73	81	83	66
Only Adults	86	9	0	0	18
Only Females	3	13	17	17	12
Only males	1	1	0	0	1
Only Children	1	0	0	0	0
No. Response	0	4	2	0	3
TOTAL	100	100	100	100	100

3.14 Users' Knowledge about Maintenance. Among the households interviewed, 43 per cent reported that they were taught about maintenance, but only 11 per cent reported that they were given instruction booklets. Only 20 per cent reported that they were told to pour 1-2 litres of water to flush the excreta. The majority reported that they were pouring 3-4 litres or even more. 66% of the respondents knew which pit was in use. However, differences were found among towns as shown in table 6.

Table 6: Users' Knowledge of Proper Use of the Unit.

% Users Reported Being:	Am 111	Gu 432	Rn 73	Tr 72	Total 688
a. % Taught Maintenance	79	17	86	100	43
b. % Given instru booklet	68	0	0	0	11
c. % Told to Pour					
1-2 lit. water	9	13	27	79	21
3-4 lit water	66	44	66	20	47
5-6 lit water	3	24	0	1	16
not told	22	19	7	0	16
d. % Know which pit in Use	88	60	49	82	66

Greater attempts at education of the people is indicated.

3.15 Users' Knowledge about the Loan Scheme. Questions related to loan amount and repayment scheme must be interpreted cautiously because in most cases the respondents were not the beneficiaries but their family members, usually the wife. Therefore the responses are likely to be an under estimate of the actual knowledge level among the beneficiaries.

Table 7. Respondents' Knowledge Level About Loan Scheme

% Respondents Reporting.	Am 111	Gu 432	Rn 73	Tr 72	Total 688
a. Loan Scheme Explained	86%	50%	55%	93%	61%
b. Knew Repayment Amount	86%	19%	12%	0%	27%
c. Received Demand Notice	14%	70%	66%	4%	53%
d. Said Repayment Difficult (Among those said "yes" to a)	15%	21%	30%	33%	22%

3.16 Only 27 % of the respondents quoted some repayment amount, which varied from Rs. 30 to 70 per year. Most respondents were vague about the repayment amount which can be explained by the fact that in many cases the respondents were not the direct beneficiaries. Difficulties expressed about repayment were not related to the amount required to be repaid but to the feeling of poverty in general. In Tiruvathipuram, for example, no one knew the repayment amount but 33 percent said repayment will be difficult.

3.17 The very low percentage of households receiving demand notices in Ambattur and Tiruvatipuram was confirmed by the program officers. Indeed, in these towns demand notices were being issued only recently. In Ranipet, on the other hand, though the majority reported knowing about the loan scheme and having received the demand notice, very few knew the repayment amount. According to those who supervised the survey, this anomaly could be because many people in Ranipet believed that it was a really a grant scheme. Remarks to that effect were often made to the investigators. How

such an impression could have been formed, needs to be pursued.

3.18 Satisfaction with Construction. Over 93 per cent of the respondents expressed satisfaction with the construction. Only 5 per cent expressed dissatisfaction, and their reasons are given in Table 8.

Table 8: Per cent Satisfied with Construction and Reasons for Dissatisfaction

	Am 111	Gu 432	Rn 73	Tr 72	Total 688
Satisfied with Construction					
Yes	88 %	93 %	97 %	96 %	93 %
No	9 %	4 %	3 %	4 %	5 %
No Response	3 %	3 %	0 %	0 %	2 %

b. Reasons for dissatisfaction:

	Number	Per cent
1. Not built properly	4	12 %
2. Poor quality	5	16 %
3. Wrong location	2	6 %
4. No door	8	25 %
5. Roof leaking	1	3 %
6. Not comfortable	1	3 %
7. Not functioning	3	3 %
8. No response	10	32 %
Total	34	100 %

3.19 Functional Problems with the Unit. Only in 2 per cent of the units (16), problems like clogging and odour were reported. But most of those problems (13) had not been reported to any one and no attempt was made to solve the problem.

Table 9: Incidence of Functional Problems by Towns

	Am	Gu	Rn	Tr	Total
No. of Units	111	432	73	72	688
a. No. With Problem	7	7	2	0	16
Specific Problems:					
Clogging	4	7	2	0	13
Odour	3	2	0	0	5
Other	4	0	0	0	4
b. Problem reported to:					
Municipality	0	1	0	0	1
NGO	1	0	0	0	1
No one	6	6	1	0	13
c. Was Action taken?					
Yes	0	0	1	0	1
No	7	7	1	0	13

Findings based on Observation

3.20 Units in Use. A total of 705 units were observed of which 663 (94 %) appeared to be in use. This observation by the investigators agreed with the beneficiary reporting in 99 per cent of the cases.

Table 10: Number of Units Observed and % in Use By Town

	Am	Gu	Rn	Tr	Total
Units Observed	123	433	75	74	705
% Appeared in Use	76%	97%	91%	100 %	94 %

3.21 Evaluation on Selected Technical Specifications. Each unit was evaluated on 6 parameters such as distance from drinking water source, distance between two pits, etc. Data presented in table 11 shows that except for "roof extending over the door" and minimum distance between two leach pits, all other criteria were met adequately in statistical terms.

3.22 However, the criterion of distance from drinking water source needs to be satisfied 100% because of the possibility of pollution of drinking water. In fact, drinking water samples in the relevant households need to be tested for pollution.

3.23 The shortfall in the distance between the two pits was usually very slight, between .1 - .2 meters. One unit was found in Gudiyatham, where only one pit had been constructed.

Table 11: Per cent Units Meeting Selected Technical Specifications

Units Observed	Towns				Total
	Am	Gu	Rn	Tr	
	123	433	75	74	705
- Drinking Water Source More than 10 mtrs.	89%	94%	100%	81%	93%
- Distance between Pits More than 1 meter	100%	58%	6%	18%	66%
- Leach Pit Top Covered	100%	100%	100%	100%	100%
- Leach Pit Sides Filled	100%	100%	100%	100%	100%
- Roof Extended Over the Door by 6"	1%	2%	1%	15%	3%
- Rain /Washing Water not Likely to enter	98%	94%	100%	99%	95%

Table 12 : Material used for Construction of Pits:

	Am	Gu	Rn	Tr	Total
Bricks	100 %	0%	0	73%	20%
Rings	0%	100%	100%	27%	80%

3.24 Cost of Evaluation and Follow-up. The expenses on conducting the concurrent evaluation in the four towns is not likely to exceed Rs 5,000 according to the State nodal agency. The expenses are very reasonable and should enable similar evaluations being organized in the other project towns. Frequent in-house and economical evaluations of this nature can yield valuable and timely data for rectification of deficiencies promptly. Also, lessons will be learnt for better planning and implementation in future.

3.25 Technical Supervision. In this evaluation, it was not possible to do a fuller technical evaluation of the completed units, due to practical difficulties. Thus, opening of the pit covers would have been worthwhile to check the construction efficiency and conformity to designs. This would however have required considerable time and effort, besides considerable inconvenience to the users if the covers got broken in the process. This underscores the need for adequate technical supervision during the construction stage itself. The technical staff of municipalities should, for example, ensure that the correct designs are followed by the NGOs, and that the quality of the materials used and construction quality in general are satisfactory. TUFIDCO and HUDCO technical staff could continue to double-check on the quality of constructions during the course of their inspections.

INTEGRATED LOW COST SANITATION PROGRAM
MONITORING PROFORMA

REPORTING MONTH

Municipality _____ Sch.No. _____ Category _____

Program Initiated _____ Proposed Date _____ Sanction Date _____

Sanctioned Units Total _____ Conversion _____ New Constn. _____

I. PRE-CONSTRUCTION

User	Proposed Units	Number Identified	Application Received	Agreement Executed
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5/6

10

15

TOTAL _____

II. CONSTRUCTION PROGRESS

	Target this month	Completed this month	Target Cumulative	Completed Cumulative	Under Construction
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New Constn.

Conversion

TOTAL _____

III. CONSTRUCTION DETAILS (CUMULATIVE)

Type	<u>5/6 User</u>		<u>10 User</u>		<u>15 User</u>	
	Conver.	New Cons.	Conver.	New Cons.	Conver.	New Cons.
Within Premises						
Under Footpath						
Under Road						
Water Logged						
Sewer Main						
Total						

IV. FINANCIAL REPORT

RECEIPT

	Loan	Subsidy	Beneficiary	Total
Sanctioned				
Received this month				
Received total				

V. EXPENDITURE

Total This Month	Cumulative	Advance Paid to NGO	Balance with Municipality

VI. LOAN RECOVERY STATEMENT

Period	Loan Due	Amount	Amount Municipality	Paid by	Amount Beneficiary	Recovered from
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Cumulative

**INTEGRATED LOW COST SANITATION PROGRAM
Concurrent Evaluation Proforma**

State :
 Municipality :
 Serial Number :
 Name of Beneficiary :
 Address :
 Category : EWS / LIG / MIG / HIG
 Size : 5-6 / 10 / 15
 Date of Agreement :
 Completion Date :
 Respondent : beneficiary / Wife / Adult

1. What sanitation facility did you have earlier: None / Dry
2. For how many months have you used the new toilet?
- 3.(a) Are you currently using the toilet Y / N
 (b) If 'Not' using, Why?
4. How many persons use it regularly?
5. Who uses it: All/Males/ Females/ Children/
- 6.(a) Were you taught maintenance? yes / no
 (b) Do you have an instruction booklet? yes / no
 (c) How much water do you pour after using the toilet? (convert answer to litres)
 (d) Did anyone in the family supervise the construction? yes / no
- 7.(a) Do you know the Loan and Repayment scheme? yes / no
 (b) If 'yes' what is your repayment amount?
 (c) Have you received demand notice? yes / no
- 8.(a) Is there any difficulty in repaying the loan yes / no
- 9.(a) Are you satisfied with the construction of units? yes / no
 (b) If no, why?

10. a) Does the Unit have any of the following problems?

clogging	yes / no
odour	yes / no
other	yes / no

b) If yes, who did you complain to:

Municipality/
NGO/
Private/
No one

c) Was any action taken to solve problem?

yes / no

Interviewer to Inspect the unit and answer

11. Where is the unit Located:

1. Within premise 2. Inside house 3. Outside premise

12. a) Is the source of drinking water
less than 10 metres from the leach pit

yes / no

b) If yes, Specify source and distance

13. Is the junction chamber paved with cement
from inside?

yes / no

14. Are leach pits separated by more than 1 metre?

yes / no

15. Is the pit top covered with a slab?

yes / no

16. Are the leach pit sides filled with soil?

yes / no

17. Does the roof extend over the door by 6"?

yes / no

18. Is the rain water or washing water likely
to enter the pits?

yes / no

19. What was used to construct the pit?

bricks / rings

20. Does the respondent know which leach pit is
functional?

yes / no

21. Does the unit appear used?

yes / no

Date :

Name of Investigator:

Draft Model By-Laws for Regulating the Construction, Operation, Maintenance and Control of Latrines

In exercise of the powers vested under Section _____ of _____ (State) Municipalities Act _____ (year), the Municipal Board of _____ (Town) hereby makes the following by-laws for regulating the construction, maintenance and control of water-flush latrines within its areas.

BY-LAWS

1 Short Title, Extent and Commencement

- (i) The By-Laws may be called the _____ (town) Municipal Board Latrine by-laws.
- (ii) They shall extend to the whole of Municipality of _____
- (iii) They shall come into force after three months from the date of their publication in the Official Gazette.

2 Definitions

- (i) "Municipal Board" includes Municipal Corporation, Municipal Council, Town Area Committee, Notified Area Committee and Nagar Panchayat.
- (ii) "Executive Officer" includes Commissioner, Chief Officer and Secretary.
- (iii) "Latrines or "Privy" means a place set apart for defecation together with the structure comprising such place, the receptacle therein for human excreta and the fittings and apparatus, if any, connected therewith, and includes a dry latrine and a water-flush water-seal latrine.
- (iv) "Dry Latrine" means a latrine in which human excreta are discharged into any type of receptacle e.g. bucket etc. or otherwise and required to be removed by human agency.
- (v) "Waterseal latrine" means a latrine with a minimum water-seal of 20mm in which excreta is pushed in or flushed by water and not required to be removed by human agency. The types, designs and specifications of various kinds of water-seal flush latrines shall be as given in the schedule of these by-laws or as may be prescribed by the State Government from time to time.

3 Preparation of Register Regarding Latrines

The Executive Officer shall prepare and maintain a register of House-holds containing information about the existing position of latrine facilities, their types and number of users etc. where such facilities exist, in such form as may be prescribed. For collecting necessary information in this regard, the Executive Officer may, by requisition require the owner or occupier to furnish the same within the period specified therein who shall be bound to furnish such information.

4 Construction of New Latrines

After coming into force of these by-laws:

- (i) Any latrine that may be constructed by any person shall be of water-seal type, conforming to the types, designs and specifications prescribed in the by-laws;
- (ii) every person, who builds or rebuilds a residential building, shall provide at least one water-seal latrine in it;
- (iii) every house-hold shall have at least one water-seal latrine and in case the number of users within a house-hold exceeds 10, it shall have at least two latrines; and
- (iv) no building plan of any type of construction or alterations or additions to a building shall be sanctioned and no building shall be deemed to have been completed and fit for human occupation unless provision is made for a water-seal latrine and the dry latrine, if any, is dismantled; but if the number of users in the house-hold exceeds 10, at least two water-seal latrines shall be provided.

5 Location of the Units

- (i) No leaching pit for disposal of excreta shall be located within a radius of 8 m from the existing hand pump or well unless special precautions to the satisfaction of the Executive Officer are taken. However, in soils with grain sizes less than 1 mm and where maximum ground water level through out the year is more than 2 m below the pits, the leaching pits can be located at 3 m distance from drinking water sources;
- (ii) leaching pits shall be located within the premises of the building where the latrine is proposed to be constructed new or converted; where it is not possible, the pits can be located under the foot-path, road or street. The final authority to determine this feasibility shall be of the Municipal Board and its decision shall be final and binding. Permission to build the leaching pits under the road, street or foot-path shall be given only by the Executive Officer or by the person authorised by him when he is fully satisfied that it is not feasible to construct these pits within the premises of the building; and

- (iii) in case the leach pits are located under the road, street, or foot-path, the invert level of the pipe connecting the latrine pan with the pit shall be least 1.1 m below ground level or below the bottom of the water main existing within a distance of 3 m from the pits whichever is more.

6 Phased Latrine Programme

The Municipal Board shall make out a reasonable time-bound phased programme requiring the owners or occupiers of house-holds to convert the existing dry/bucket latrines to water-seal units and to provide water-seal latrines in all the premises in different wards.

7 Notice for Construction/Conversion of Latrine

The Executive Officer shall issue a notice in writing to the owner or occupier to provide a water-seal latrine or latrines in the premises with no latrine, or an additional unit or units in house-holds with inadequate number of latrines and or to convert the existing dry latrine into a water-seal one as per prescribed specifications within 3 months from the date of service of notice. The period of 3 months may be extended by the Executive Officer at the request of the owner or the occupier if sufficient reasons justifying the grant of such request are shown, provided that the total period shall not exceed six months in aggregate from the date of service of such notice.

In case due to space constraint it is not feasible to convert or build a new latrine as specified in the schedule of these by-laws, the owner or occupier shall inform the Municipal Board about it but to determine the aforesaid feasibility, the final authority shall be the Municipal Board and the decision of the Board shall be final and binding on the owner or the occupier of the building.

8 Licensed Contractors for Construction of Water-Seal Latrines

The Municipal Board shall issue licences to technicians, contractors and plumbers in sufficient number (who are trained and in the opinion of the Municipal Board, competent to undertake the work of construction of water-seal latrines conforming to the prescribed specifications, types and designs, etc.) on payment of a licence fee of Rs.25 and the Municipal Board shall maintain a register thereof for the convenience of the persons constructing water-seal latrines.

No other person except the licensed contractors shall be allowed to construct water-seal latrines. An agreement shall be executed between the Municipal Board and the licensed contractor laying down the relevant terms and conditions; and necessary security money shall have to be deposited with the Municipal Board.

9 Application and Other Procedures

- (i) The person desirous to convert or construct a latrine shall submit an application on the prescribed form to the Municipal Board for sanction giving all necessary

details about the type, design and specifications of the latrine proposed to be constructed and also give the location of latrine, leach pits, etc. The licensed contractor will assist him in submitting the application and getting it sanctioned. In case the application and proposal are found in order, the sanction will be accorded by the Municipal Board and a copy of the list of materials to be used and specifications of the work will be given to the applicant provided the applicant is constructing a pour-flush water-seal latrine with twin leach pits;

- (ii) if a person who wants to convert existing dry, earth, bucket or borehole latrine or build a new water-seal pour-flush latrine with on site excreta disposal is desirous to take the financial assistance for it, he will execute an agreement with the Municipal Board as per the scheme of financial assistance to the householders notified by the Municipal Board. The financial assistance will be in the shape of loan or a mix of loan and grant. The criteria for determination of grant element and the terms and conditions for giving the financial assistance and loan recovery with interest shall be as notified by the Municipal Board or the State Government from time to time;
- (iii) the licensed contractor shall construct the sanctioned latrine as per the prescribed design, drawing and specifications to the satisfaction of the Municipal Board and the owner or the occupier of the house;
- (iv) after the contractor submits the completion certificate of building the latrine, and the Municipal Board and the owner or the occupier of the building being satisfied with the construction, payment will be released to the contractor by the Municipal Board. The owner or the occupier of the building will be given detailed instructions and guidance apart from a pamphlet giving instructions and guidelines regarding its use, operation and maintenance.
- (v) the latrine constructed shall be provided with a superstructure with proper ventilation. If there is a scheme for giving financial assistance for constructing a superstructure, the person who constructs the latrine will be given financial assistance on execution of an agreement on terms and conditions as specified by the Municipal Board, provided funds are available with the Municipal Board;
- (vi) a person who builds or rebuilds a house shall not be given any financial assistance by the Municipal Board for constructing a latrine; and
- (vii) the person who has obtained a loan for constructing a latrine or superstructure shall repay the loan with interest in instalments determined by the Municipal Board under the financial assistance scheme, regularly. In case of default, the following measures will be taken for recovery:
 - a) Rate of interest from the date the last loan instalment paid to the date of repayment or outstanding due loan amount shall be enhanced by at least 5% above the current bank loan interest.

- b) Recovery of loan dues with penal interest in case of default will be effected by means of distraining of the goods of the defaulter as is laid down for the recovery of tax in Section _____ of the Municipal Act _____ or through the District Magistrate as arrears of land revenue.
- c) The water pipe connection, if the defaulter has in the house, may be disconnected.
- d) Recovery will be effected from the tenant who will recover it from the rent paid to the owner of the house hold.
- e) In case the owner of the building, in whose respect the default has accrued, is not living in the building, the water connection of the building where he is residing, if it lies within the municipal limits of the town, will be disconnected.

10 Dismantling of Dry Latrine

After the construction of water-seal latrine, the dry latrine if existing in the house-hold (where the water-seal latrine has been constructed) shall be dismantled

11 Execution of Work by Municipal Board on Payment

If owner or the occupier against whom a notice under by-law No. 7 above has been issued, fails to comply with the notice within the specified time, then, without prejudice to any other action that may be taken against him under any other provision of the law, the Executive Officer shall get the latrine constructed or converted, as the case may be, in terms of notice, departmentally or through any licensed contractor and recover the expenses incurred in this behalf from the defaulter under Section _____ of the (State) Municipal Act _____ (year).

12 Maintenance of Latrine

The water-seal latrine shall be properly maintained and kept in sanitary condition by the owner or the occupier. The contents of the septic tanks, soak pits, leach pits, etc. shall be periodically emptied by the owner or occupier at his own cost either through private agency or the Municipal Board. The Municipal Board shall maintain a special squad for this purpose and provide its services for emptying the contents and/or removal thereof. The leach pits will be cleaned only after 2 years of their remaining out of service after they were full. If the Municipal Board cleans the leach pits free of cost at the request of the owner or the occupier of the building, the humus shall be the property of the Municipal Board and the owner or the occupier of the house shall not have any claim on it.

13 Penalty of Breach

Any person committing breach of any of these by-laws shall be liable to a fine not exceeding Rs. 1000.

HOUSING AND URBAN DEVELOPMENT CORPORATION
MINISTRY OF URBAN DEVELOPMENT
I L C S - PROGRAMME

PROPOSAL FORM FOR SELECTION OF TOWN

1. Area Characteristics

Name of Town _____ District _____ State _____

Whether Sanitation Schemes have been taken earlier under any other programme - please specify

2. Population Characteristics

a) Present population of the Town :

b) Total No. of house-holds in the Town :

3. Sanitation Coverage

a) No. of House-holds having water borne sewerage facility :

b) No. of House-holds having pour-flush latrines :

EWS	LIG	MIG	HIG

c) No. of dry latrines in the Town requiring conversion into pour flush latrines :

d) No. of houses in the Town which do not have latrines of any type :

4. a) No. of SC/ST Beneficiaries :

b) No. of scavengers expected to be liberated :

5. a) Whether the feasibility of Low Cost Sanitation has been examined with respect to level of water table, pollution of ground water etc. :

b) Whether the Town can be declared Scavenger free on completion of the Scheme :

6. Check for whole town approach

$$2b - (3a + 3b) = 3c + 3d$$

ANNEXURE III

HOUSING & URBAN DEVELOPMENT CORPORATION
 INTEGRATED LOW COST SANITATION PROGRAMME
 APPLICATION FOR LOAN AND SUBSIDY

1. Name of the Scheme
2. State
3. Name of Borrowing Agency (Nodal Agency)
4. Duration of Project Commencement..... Completion
5. Brief Details of the Project

a) No. of Units

Name of the Town	Conversion	Construction	Total

NOTE: If No. of Towns is more, attach separate sheet on summary statement enclosed at Annexure III (a)

6. Financial details

UPTO PLINTH (summary as per Annexure III(b))

- a) Project Cost
- Beneficiary contribution
- c) Govt. of India Subsidy
- d) HUDCO Loan
- e) State Govt./Local Bodies contribution

ABOVE PLINTH (Summary as per Annexure III (b))

- f) Project Cost
- g) Beneficiary Contribution
- h) HUDCO Loan
- i) State Govt. Contribution.

Community Latrines (To be covered under guidelines for normal Basic sanitation Scheme)

- i) No. of Complexes
- ii) No. of Seats
- iii) Project Cost
- iv) Loan Amt.

6. Loan Drawal Programme

	1st Qr	2nd Qr	3rd Qr	4th Qr
First Yr.				
Second Yr.				

7. Loan Repayment Programme

	1st Year	2nd Year	3rd Year	4th Year
--	----------	----------	----------	----------

First Quarter	-----	-----	-----	-----
Second Quarter	-----	-----	-----	-----
Third Quarter	-----	-----	-----	-----
Fourth Quarter	-----	-----	-----	-----

	5th Year	6th Year	7th Year	8th Year
--	----------	----------	----------	----------

First Quarter	-----	-----	-----	-----
Second Quarter	-----	-----	-----	-----
Third Quarter	-----	-----	-----	-----
Fourth Quarter	-----	-----	-----	-----

	9th Year	10th Year	11th Year	12th Year
--	----------	-----------	-----------	-----------

First Quarter	-----	-----	-----	-----
Second Quarter	-----	-----	-----	-----
Third Quarter	-----	-----	-----	-----
Fourth Quarter	-----	-----	-----	-----

Signature of _____
 Chief Executive of Agency

ANNEXURE III (a)

SUMMARY STATEMENT OF TOWNSHIP UNITS FOR CONVERSION/CONSTRUCTION

No.	Name of the Town	Conversion			Total	Construction			Total	Grand Total
		ENS	LIG	HIG&HIG		ENS	LIG	HIG&HIE		

Total

CATEGORY WISE BREAKUP OF COST FOR CONSTRUCTION/CONVERSION

CATEGORY	EMS		LIG		MIG		NIG		TOTAL
	UPTO 5 USERS	> 5 USERS	UPTO 5 USERS	> 5 USERS	UPTO 5 USERS	> 5 USERS	UPTO 5 USERS	> 5 USERS	
SL. NO.	NO. OF UNITS								
1	UPTO PLINTH								
	a) COST OF CONST.								
	b) COST OF CONNECTION TO DISPOSAL SYSTEM/LINT								
	i) SEWER MAIN								
	ii) LEACH PIT								
	c) TOTAL COST (a+b)								
	d) A & S CHARGES (@ > 10%)								
	e) INTEREST @ 8% FOR HALF OF THE PROJECT PERIOD ON LOAN AMOUNT								
	OVERALL COST (c+e)								
	COST PER UNIT								
	GOVT. OF INDIA SUBSIDY								
	MUDCO LOAN AMOUNT								
	BENEFICIARY CONTRIBUTION								
	STATE GOVT./LOCAL BODIES CONTRIBUTIONS								
2	SUPER STRUCTURE								
	a) COST OF CONST.								
	b) A & S CHARGES (@ > 10%)								
	c) INTEREST @ FOR HALF OF THE PROJECT PERIOD ON LOAN AMOUNT								
	OVERALL COST (a+b+c)								
	COST PER UNIT								
3	MUDCO LOAN								
	BENEFICIARY CONTRIBUTION								
	STATE GOVT./LOCAL BODIES CONTRIBUTIONS								
	TOTAL PROJECT COST (A2+B2)								
	TOTAL LOAN AMOUNT (A5+B4)								

- NOTE :- 1) SEPARATE FORMS MAY PLEASE BE FILLED UP FOR CONVERSION AND NEW CONSTRUCTION
 2) PLEASE INDICATE THE YEAR OF SOR AND ITS REGION.
 3) PLEASE INDICATE THE ESCALATION ADDED IN THE ESTIMATES.
 4) ENCLOSE DETAILED ESTIMATES

INTEGRATED PROGRAMME OF LOW COST SANITATION
AND SCAVENGER LIBERATION

C E R T I F I C A T E S

1. Certified that the complete need for upgradation of sanitation has been quantified and wardwise and categorywise compiled and it is available with _____ Municipality. This can be checked by any of HUDCO's inspecting officers as and when required.
2. Certified that households who are not interested in availing loan and subsidy for construction of water seal latrines under the proposed scheme will not construct dry latrines in future and Bye-laws have been/will be enacted by _____ Municipal Council/Board.
3. Certified that no community dry latrines are in use in _____ town.

(OR)

Certified that community dry latrine not taken up for conversion will be abandoned.

4. Certified that _____ town would be declared as scavenger free on conversion of _____ (nos.) of dry latrines, construction of _____ (nos.) of new pour-flush latrines and conversion/construction of _____ (nos.) of community latrines.
5. Certified that 'Scavenger Rehabilitation Scheme' will be submitted, for _____ (nos.) public and _____ (nos.) private scavengers who are expected to be liberated, within 3 months from the date of sanction.

Signature of
Chief Executive of the Agency

ANNEXURE III (d)

Certified that all aspects to avoid water
pollution have been/shall be taken care of during
implementation of the scheme in the town
of _____.

Signature of
Executive Engineer (PHE) Dept.

ANNEXURE IV

CHART SHOWING REPAYMENT OF HUDCO LOAN FOR DIFFERENT
 RATES OF INTEREST (BASED ON A LOAN OF RS.1000)

QUARTERLY INSTALMENT

Rate of interest

8%

11.5%

12%

14%

(In Rupees)

Repayment period in
 years including project
 duration

5	61.16	66.44	67.22	72.62
6	52.87	58.26	59.05	64.29
7	46.99	52.48	53.29	58.30
8	42.61	48.22	49.05	50.95
9	39.23	44.95	45.80	50.54
10	36.56	42.39	43.26	47.93
11	34.39	40.34	41.23	45.85
12	32.60	38.67	39.58	44.17

(28: sareen)

(Signature)
 (S. R. Sharma)
 Chairman & Managing Director

11

**GUIDELINES FOR FINANCING OF URBAN EMPLOYMENT
THROUGH HOUSING AND SHELTER
UPGRADATION**

1 Eligibility

- 1.1 HUDCO will receive and consider application for loan from Urban Local Bodies, Housing Boards, Slum Boards, other similar specialised agencies or any other agency nominated by the State Govt. for shelter upgradation schemes for beneficiaries belonging to only Economically Weaker Sections with household annual income less than Rs. 2300/- at 1984-85 prices. The project can be submitted in respect of urban settlements between 1 lakh and 20 lakhs population. Funds will be channelised to the Nagar Palikas through Housing Boards, Slum Boards and similar other specialised agencies and agencies nominated by the State Government, which will operate as nodal agency or agencies.
- 1.2 The borrowing agency must ensure that it is competent under its constitution or the law governing it to raise the loan for undertaking upgradation schemes. The loan application must be accompanied by the resolution of the Executive Body of the organisation authorising the proposed borrowing from HUDCO.
- 1.3 The upgradation of schemes will be considered in declared slum areas, inner city areas and areas predominately inhabited by low income groups. It is necessary to ensure that the beneficiaries enjoy security of tenure for a period of 10 years.
- 1.3.1 The borrowing agency should certify that the scheme is in line with the shelter/settlement upgradation and development policy of the State.
- 1.3.2 preferably such shelter improvement be included in the schemes where water, electricity and sewer mains etc. are available on the periphery or where the water supply could be provided through wells. Septic tanks could be provided in the absence of sewerage facilities. Wherever such facilities are not available, the borrowing agency should give an undertaking that within a disclosed time frame these facilities will be provided.
- 1.3.3 It is recommended that State Government/Local bodies will provide medical, educational and other community facilities from their own resources if such facilities/amenities are not available within a limited distance in a slum area.
- 1.4 Each loan application sent to HUDCO should be accompanied (as a special case) by a bank draft of Rs. 4,000 towards non-refundable application fee. 5000/-

2. SCHEME COMPONENT AND IDENTIFICATION OF BENEFICIARIES

- 2.1 The bulk of the work in this scheme will involve identified families being assisted in shelter upgradation and marginal

the next upgradation as well as collective housing upgradation will be considered.

- 2.2 The urban and local bodies should identify the beneficiaries in consultation with the Neighbourhood committees which should be established for this purpose in urban localities. The names of the beneficiaries selected should be a matter of public knowledge, readily available to anyone interested, through notices posted at a prominent easily available part of the building housing the Nagarpalika.
- 2.3 Along with the loan application, the borrowing agency will give an indication about the labour/employment component of the scheme. Each identified family may be encouraged to take housing building/shelter upgradation by family labour.
- 2.4 The implementation of scheme should be suitably linked with construction skill-upgradation programmes and for this purpose, the assistance of the nearest building centre should be availed of and Nagarpalika should be represented in the Management Committee of the Building Centre. There should be, as far as possible, close linkages between the "Building Centres and the "Training Division of the Nagarpalikas and Palika Karagar Kendras" for training and employment facilities.

3. Financing Pattern

- 3.1 The financing pattern will be as under:
 - 3.1.1 HUDCO will finance upto Rs. 3000^{0.75%} per dwelling unit. In addition, Rs. 600 will be provided as subsidy under the Government of India scheme per unit. In addition, a subsidy of Rs. 400 need to be provided by the State Government/Urban Local bodies.
 - 3.1.2 However depending upon the local conditions, HUDCO can consider to grant additional loan under its financing terms as applicable to EWS built housing.
- 3.2 The first instalment will be released after:
 - a) The loan agreement and other required formalities have been duly completed; and
 - b) Necessary security has been created in favour of HUDCO.
- 3.3 The second and subsequent instalments will be released depending upon the progress of the work and on the amounts previously advanced having been utilised to the satisfaction of HUDCO and the progress reports as required having been satisfactorily furnished by the borrower and other terms and conditions of the Loan Agreement being complied with. Unless the amounts due are received from the borrower, second or subsequent loan instalments are not released.

3.4 No advance or further advance, as the case may be from the sanctioned loan shall be made. In case it is observed that the borrower has revised its originally approved plan and applications and proceeded with the work without obtaining the prior approval from HUDCO. HUDCO shall have the right to recall the loan with interest in the event of:

- a) The loan granted for the specific purpose being mis-applied; and/or
- b) The suppression of information or submission of incorrect information by the borrowing agency; and/or
- c) The scheme not being completed within the time specified in the Loan Agreement or within the extended period; and/or
- d) The borrower committing any breach of the terms and conditions laid down in the Loan Agreement.

4. Security

The loan for the scheme can be secured by a Govt. Guarantee or Bank Guarantee from scheduled Bank acceptable to HUDCO or mortgage of properties equal to the value of 133-1/3 per cent of the loan amount.

5. Repayment & Interest

5.1 The loan will be advanced at the interest rate of ^{6.25} 6.25 per cent with 0.25 per cent rebate for timely payment of interest and repayment of principal.

5.2 The borrower must pay interest on the loan amount calculated on each instalment from the date of its release by HUDCO. The interest thus calculated is due and payable quarterly on the 31st March, 30th June, 30th September and 31st December each year the first instalment of interest (for a proportionate period, if necessary) being due and payable on the due date immediately following the date of first disbursement against the loan.

5.3 The rebate on interest rates mentioned in para 5.1 will be allowed for prompt payment of quarterly interest and repayment of principal instalment on due dates. A default in the payment of a loan instalment and/or interest on the due dates, will lead to loss of the rebate and also additional interest at the rate of 2.5 per cent will also be payable on such overdue payments.

5.4 HUDCO reserves the right at any particular time to vary interest rate on the loan amount/or a part thereof yet to be released depending upon its actual borrowing rate prevailing at the time of release of such amount by giving prior written notice to the borrower of such variation.

5.5 The borrower must complete all legal and other documentation within four months of the issue of loan sanction. For the scheme, the documentation of which is not completed within four months of the loan sanction, the borrower will be required to pay commitment charge of one per cent per annum on the total loan sanctioned from the expiry of four months from the date of issue of sanction to the date when the legal documentation is completed in all respect and all other pre-requisites for the drawal of first loan

instalment are complied with.

5.6 The scheme sanctioned by HUDCO will be valid for a period of one year only. In other words, the validity of the scheme will automatically lapse if the legal documentation is not completed within a period of one year from the date of sanction letter.

6. Repayment Period

6.1 The repayment period of loans will not exceed 10 years and will be reckoned from the date of drawal of first instalment.

7. Loan application forms are available at:

Zonal/Regional/Development Offices at Madras, Calcutta, Bangalore, Ahmedabad, Bombay, Chandigarh, Lucknow, Patna, Hyderabad, Trivandrum, Guwahati, Jaipur, Bhopal, Bhubaneshwar or at Headquarter at New Delhi.

etc

**SHELTER AND SANITATION FACILITIES
FOR THE
FOOTPATH DWELLERS
IN URBAN AREAS**

GUIDELINES

**SHAHARI VIKAS MANTRALAYA
MINISTRY OF URBAN DEVELOPMENT
BHARAT SARKAR
GOVERNMENT OF INDIA**

AUGUST 1992

SHELTER AND SANITATION FACILITIES FOR THE FOOTPATH DWELLERS IN URBAN AREAS

GUIDELINES

1. INTRODUCTION

1.1 The footpath dwellers in major cities, who are absolutely shelterless, have been identified in National Housing Policy as a target group for providing shelter on priority basis.

1.2 As per the 1961 census, the total number of houseless households in the urban areas is 2 lakhs and most of them are in the 12 metropolitan cities viz. Calcutta, Bombay, Delhi, Madras, Bangalore, Ahmedabad, Hyderabad, Kanpur, Nagpur, Jaipur, Lucknow and Pune. A majority of the houseless in the urban areas comprises footpath dwellers who are unable to secure any kind of shelter against the vagaries of weather e.g. rain and winter. They comprise also single women and children. To meet their minimum housing needs, the construction of 'Raan Baseras' or the 'Community Night Shelters' having minimum level of sanitary, water supply and other facilities has been found to be an appropriate approach in Delhi and other cities. The Central scheme will cover all major urban centres wherever there is concentration of footpath dwellers or homeless. The present scheme has been conceived as an immediate measure to ameliorate the living condition and shelter problems of the absolutely shelterless households till such time as they can secure affordable housing from ongoing efforts of state housing agencies.

1.3 The centrally sponsored Night Shelter Scheme for Foot Path Dwellers is already under implementation in VII Plan through HUDCO and on the basis of the approved financial pattern with the undermentioned components:-

- 1) Construction of Community night shelters with water supply and sanitary facilities.
- 2) Pay and use toilets/baths.
- 3) Renovation of existing structures, like market places etc. as Night Shelter.
- 4) Temporary or mobile night shelter of adequate standards on the basis of justification provided by State Governments considering the prevailing local factors.

MODIFIED SCHEME

2.1 In the light of experience with the working of the scheme and the suggestions from State Govts. and local agencies, it is proposed to modify the scheme and make it a composite mix with remunerative components so as to reduce the loan burden of the beneficiary agency and to defray maintenance costs to some extent, and make the scheme more feasible as long as the basic aim of reaching the benefit of night shelters and sanitation to footpath dwellers and the homeless is met. It is further envisaged that Central grant assistance can be an input in the overall scheme for night shelter and remunerative components to be financed by the beneficiary agency with funds from various sources. The modified scheme will now have the following components with remunerative component and provision for proper maintenance, and involvement of all agencies:-

- 1) Construction of community night shelters with community toilets and baths.
- 2) Construction only of community pay and use toilets/baths for the homeless.

The scheme will primarily cater to the needs of urban footpath dwellers as assessed by State Governments and borrowing agencies.

2.2 These two components can be part of an overall complex of commercial or remunerative facilities or civic infrastructure.

2.3 The night shelters will be provided separately for men and women according to local circumstances.

1. MODALITY OF OPERATION

3.1 The projects under the scheme will be formulated, constructed and operated by the municipal bodies or agencies designated by State Governments or Municipal Corporations. Apart from State or local agencies, the private agencies including voluntary organisations recommended or concurred in with the State Government or its agencies could be associated with the implementation and management of the schemes.

3.2 To make the composite night shelter scheme self supporting for maintenance purpose, commercial places like shops and godowns could be provided in the ground floor of such complexes and existing structures can be renovated to create such integrated units.

3.3 HUDCO will be responsible for appraisal, financing and monitoring of the scheme under the supervision of MOUD. Urban local bodies/the designated State agencies as

well as agencies recommended and concurred in by the State Government will be given prescribed [redacted] HUDCO. Loan will also be available HUDCO wherever required. After completion of construction, the night shelters and other facilities will be managed by municipal bodies or NGOS or private agencies recognised by the State Govt. operating in those areas or by agencies designated or agreed upon by State Govts/Local bodies where the night shelter is part of an integrated complex with independent areas for different components of the complex.

4. SURVEY, IDENTIFICATION, DESIGN COST AND FINANCING PATTERN

4.1 Systematic survey would be undertaken in cities/towns by the local municipal bodies.

Surveys would cover aspects like socio-economic characteristics occupation, household composition, present dwelling/working locations so that appropriate programmes and projects can be formulated in this sector.

4.2 Construction of Community night shelters with Community toilet/bath facilities

These buildings besides providing space for sleeping, would also include facilities for common bathing, W.C., drinking water and lockers etc. Wherever required, open parking of Rickshaws, hand carts or rehries etc. can be provided near the shelter. The facility can be designed as part of an integrated complex having remunerative components and model designs for this as well as technical help in design as per local conditions will be provided by HUDCO. The upgradation and renovation of existing market places or buildings in disuse can also be proposed. Land will be provided by State/Local Government or through agreement with private owners. The cost of construction should be limited to [redacted]. Central Government through HUDCO will provide upto [redacted] and the balance Rs 4000/- per capita may be either the contribution by the local body from its own resources or State budget or to be secured from HUDCO as [redacted] or found from the overall cost of execution of the integrated complex by the executing agency. The subsidy element alone would not be released to the local bodies/public agencies and recommended private agencies, including voluntary organisations, unless HUDCO has ensured through appraisal that adequate funds to cover balance cost has been/is being mobilised by the agency. Thus, subsidy will be linked to funds mobilised from HUDCO or other sources. Subsidy may be released only if the agency is found to be capable of raising remaining funds for construction of night shelters alone or as part of integrated complex and maintaining the assets on land allotted to them or available with them and meeting recurring costs from their revenues of user charges. HUDCO will satisfy itself as to the availability of required funds with the executive agency for completion of the construction of nightshelter and sanction as per approved design.

Where the agency seeks the [redacted] of the [redacted] [redacted] will be financed by HUDCO and the balance will be provided by Municipal body/State Government or the [redacted] agency. HUDCO loan will be

provided at rates of interest as prescribed.

4.3 Construction of Pay and Use toilets

Construction of independent Pay and use toilets can also be proposed under the scheme where nightshelters are not considered feasible, and this will be taken up with Central assistance and suitable contribution by the Municipal Bodies/State Governments and optional loan assistance from HUDCO. The number of users per seat of pay and use toilet will be as per local conditions, consistent as far as possible with the norms prescribed by Ministry of Urban Development in the Eighth Plan norm for slum improvement.

~~Where the land is limited, HUDCO may be approached for loan assistance, provided the executing agency undertakes to mobilise balance funds for constructing sanitary latrines with adequate water and arrangements for maintenance. The loans may be secured from HUDCO at the existing rate.~~

4.4 Where, the project is undertaken by voluntary agencies, on the land with it or provided by the local bodies, HUDCO may provide subsidy upto Rs. 350' per user and loan to voluntary agencies on the recommendation or agreement with State Govt. or its agencies subject to satisfaction of HUDCO on the mobilisation of balance cost from the sources and proper maintenance. The pay and use toilets and baths for various users may be proceeded by proper survey before taking up the scheme. In this case the scheme will be implemented and operated by the selected voluntary agency in association with the local bodies and the local bodies are to assist in providing land where the toilet complex can be set up. The rate of interest on HUDCO loans for both the above components will be according to interest rates fixed by the Empowered Committee from time to time.

5. PLANNING, IMPLEMENTATION AND MONITORING

5.1 The scheme should be implemented by Local Municipal Bodies or other State sponsored/recommended agencies. They will be responsible for assessing actual local needs through specific surveys, formulation of schemes, procuring the funds from Central Government and HUDCO and construction of building/services in a time bound manner. The State Department for Urban Local Bodies/Housing will be the principal coordinating agencies at the State level. The implementing agency should have adequate powers delegated for sanction of estimates and for prompt implementation of the scheme by eliminating procedural delays. In view of the "National Priority" for this programme a single point project forum for preparation, sanction of estimates, tendering, should be evolved. It should also liaise with the Regional Office of Hudco often for expeditious appraisal, sanction and release of funds. In order to avoid delay in getting land in the identified locations at the beginning of the programme, available vacant, State Govt/Municipal land or buildings should be utilised for provision of Night Shelters and other components of the scheme.

5.2 The Secretary of the State Coordinating Deptt. will monitor the programme in concert with other departments and agencies concerned with the programme. There will be a Project level monitoring done by the Municipal Commissioner to sort out problems of construction and subsequent maintenance of facilities. For this programme at the Central Government the Joint Secretary handling Housing in the Ministry of Urban Development will be the "Nodal Point" and there will be concurrent monitoring by the Ministry of Urban Development and HUDCO. The States will be required to furnish the progress of implementation every fortnight in the proforma which will be circulated by HUDCO. Periodical inspection of the projects sanctioned would be undertaken by Ministry of Urban Development and HUDCO.

5.3 All the assets created under the scheme will be constructed, maintained & managed by the local authorities or by the designated executing agencies. Maintenance can also be entrusted to recognised and willing non governmental voluntary agencies. Where it is run by the Corporation itself, competent and motivated staff should be engaged to ensure proper maintenance of the premises. The shelters and other facilities created under this scheme will generally function on "Pay-and use" basis. In Delhi for example, the users of night shelters are charged at the rate of Re.-1/- per night who get access to all the facilities such as toilets, entertainment, reading room etc. The charges for use in different cities will of course depend upon local situations. The recurring expenditure on maintenance of facilities could be met partly out of payments received from the users/beneficiaries and partly out of general revenues or will be cross subsidised from the receipts generated out of the limited commercial activities proposed to be carried out from those premises.

5.4 In view of the acute shortage of space in the already crowded localities where the need for Night Shelters would be the maximum, the possibility of utilising existing rooms/space in the compounds of institutions which are utilised only during day time and are vacant at night may be seriously explored. Funds so saved could then be utilised for adding amenities which could be utilised by the Institutions in day time and footpath dwellers users at night. Of course, adequate attention will have to be given to the day-to-day upkeep and cleanliness to avoid inconvenience to the regular users of the building.

PROJECT REPORT

6.1 The local municipal bodies will be required to submit a preliminary project proposal for consideration by HUDCO, a copy of which should also be furnished to the Ministry of Urban Development. The preliminary report will indicate the number of beneficiaries to be covered under each component of the scheme, the revealed preferences of beneficiaries especially women, and the number of units to be constructed, the availability of land, water and electric connection on the sites, preliminary cost estimates and the proposed organisational set up for implementation and management of the project. Before submitting the preliminary proposal, a fair assessment of the local demand of the shelterless through a formal survey or otherwise and through consultation with NGOs should be made. However, a final survey identifying the exact number of beneficiaries should be done for the overall

scheme before the final project report is submitted. Three copies of the report should be sent, two to HUDCO and one to the Ministry of Urban Development.

6.2 A few typical designs of Night Shelter and other facilities with commercial component will be prepared by HUDCO separately and will be circulated to the implementing agencies identified by the State Govts.

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**Integrated Low Cost Sanitation
(ILCS)**

**Programme
for
Liberation of Scavengers**

**A Collaborative Programme of
Ministry of Welfare
Ministry of Urban Development
and
HUDCO**

LEGISLATION

- LEGISLATION TO BAN MANUAL SCAVENGING .
APPROVED BY CABINET
- . ENDORSED BY CHIEF MINISTER OF ALL STATES
- . IMPLEMENTATION BY STATES - TO BE ENSURED

ABOLITION OF DRY LATRINES IN GOVT. BUILDING

- SECRETARY (UD), ALREADY ISSUED LETTERS TO
RAILWAYS
HOME MINISTRY
DEFENCE ORGANISATIONS
- PM MAY LIKE TO ISSUE DIRECTIVES

SUPPORT TO IMPLEMENTING AGENCIES

- STRENGTHENING FOR SURVEYING & PROJECT
FORMULATION
- STRENGTHENING ORGANISATIONAL CAPABILITY FOR
IMPLEMENTATION, SERVICING, LOAN RECOVERY
- MOUD - HUDCO AND MOW TO TAKE UP SUITABLE
STUDIES

ILCS Programme

Future Approach

As per decision of Planning Commission :

- MOUD/HUDCO - conversion and new construction
- MOW - rehabilitation

ILCS Programme

Provides for Three-Pronged

Strategy of

- * **Liberation of Manual Scavengers**
- * **Rehabilitation of Scavengers in gainful alternate employment**
- * **Conversion of dry latrines into water borne low cost sanitation units.**

LSLS PROGRAMME

ISSUES

- FUND REQUIREMENTS
- PHYSICAL CONSTRAINTS
- *LACK OF DATABASE
- *MANPOWER
- *MATERIALS
- LEGISLATION
- DIRECTIVES TO STATE GOVERNMENTS AND CENTRAL MINISTRIES FOR REMOVING DRY LATRINES FROM THEIR BUILDINGS AND INSTALLATIONS
- PROMOTION OF NGO'S
- AWARENESS AND EDUCATION THROUGH MEDIA CAMPAIGNS

LSLS PROGRAMME

SALIENT FEATURES

- INTEGRATED SCHEME
- CONVERSIONS AND CONSTRUCTION
- BENEFICIARY CONTRIBUTION / INTEREST
- SYNCHRONISED RELEASE OF LOANS AND SUBSIDY
- FUNDS DO NOT LAPSE
- RELEASES RELATED TO PHYSICAL PROGRESS
- MODEL BYE-LAWS
- PROJECT ORIENTATION AND MONITORING