



BUDGET BRIEFS

Vol 11 / Issue 7

Swachh Bharat Mission - Gramin (SBM-G) GoI, 2019-20

The **Swachh Bharat Mission-Gramin** or SBM-G is the Government of India's (GoI) flagship rural sanitation programme.

Using government data, this brief reports on trends for SBM-G along the following parameters:

- Allocations and expenditures,
- Physical progress of toilets built
- Expenditures incurred under Information, Education and Communication (IEC), and Solid Liquid Waste Management (SLWM) activities, and
- Coverage and Open Defecation Free (ODF) status.

Cost share and implementation:

For the Individual Household Latrine (IHHL) funds are shared between GoI and states in a 60:40 ratio. For the Northeastern states and Hill states the ratio is 90:10. For Community Sanitary Complexes, while GoI provides 60% of the funds, states and beneficiaries provide 30% and 10%, respectively.

HIGHLIGHTS

₹ 20,016 cr

Government of India (GoI) allocations for Department of Drinking Water and Sanitation (DDWS) in Financial Year (FY) 2019-20

₹ 9,994 cr

GoI allocations for SBM-G in FY 2019-20

SUMMARY & ANALYSIS

- In Financial Year (FY) 2019-20, GoI integrated the former Ministry of Drinking Water and Sanitation (MDWS), Ministry of Water Resources, River Development and Ganga Rejuvenation to form a single ministry, known as the Ministry of Jal Shakti (MJS). Swachh Bharat Mission-Gramin (SBM-G) now falls under the purview of the Department of Drinking Water and Sanitation within MJS.
- In FY 2019-20 Budget Estimates (BEs), GoI allocated ₹9,994 crore to SBM-G, a 31 per cent decrease from the previous year's Revised Estimates (REs). This was ₹6 crore less than the allocation in the Interim Budget.
- Release and expenditure of funds by GoI on SBM-G has been high. In FY 2018-19, 88 per cent of the total GoI allocations had been released and 88 per cent available funds (releases plus opening balances) had been spent.
- IHHL coverage stood at 98 per cent of all households as on 1 July 2019, and 30 states and UTs had declared themselves ODF. Bihar, Odisha, West Bengal, Telangana, and Goa are the only states which remain.

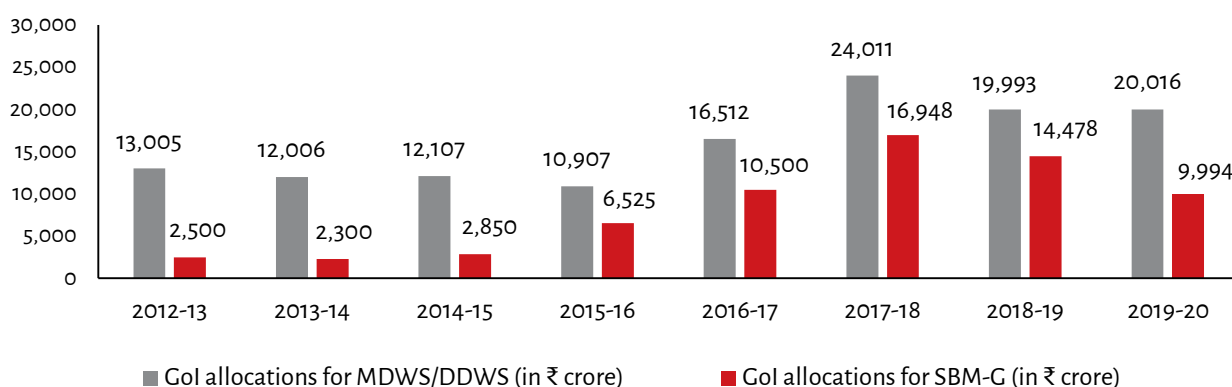
TRENDS IN GOI ALLOCATIONS AND RELEASES

- In October 2014, the Government of India (GoI) announced the restructuring of the Nirmal Bharat Abhiyan into the Swachh Bharat Mission - Gramin (SBM-G) – a community-led rural sanitation programme aimed at providing access to sanitation facilities and eradicating the practice of open defecation by 2019. SBM-G is now administered by the Department of Drinking Water and Sanitation, within the Ministry of Jal Shakti (MJS).
- As of June 2019, all financial data including sanction orders and expenditure details are no longer publically available on the SBM-G online Management Information System (MIS). Similarly, data on all physical indicators barring 3 [Open Defecation Free (ODF) status of villages, gram panchayats, blocks and districts, status of toilet construction, and number of toilet photos uploaded online] are also unavailable. This brief analyses data from an RTI response received from DDWS dated 3 July 2019, as well as data presented in Parliament in response to questions by members.

Allocations

- In FY 2019-20, ₹20,016 crore has been allocated to the DDWS. As a comparison with former MDWS allocations, DDWS allocations are 10 per cent lower than the year's RE.
- SBM-G was the largest programme of MDWS accounting for 69 per cent of the Ministry's total budget in FY 2018-19. With the creation of MJS, SBM-G accounts for 50 per cent of DDWS budget for FY 2019-20.
- For the final year of the mission, GoI allocated ₹9,994 crore to SBM-G, a 31 per cent decrease against the previous financial year.

SBM-G ALLOCATION DECREASED BY 31% IN THE FINAL YEAR OF THE MISSION



ASource: Notes for Demand for Grants 2019-20, Ministry of Jal Shakti, Department of Drinking Water and Sanitation. Available online at: <https://www.indiabudget.gov.in/doc/eb/sbe61.pdf>. Last accessed on 5 July 2019.

Note: Figures are in Rupees crore and are REs, except for FY 2019-20 which are BEs.

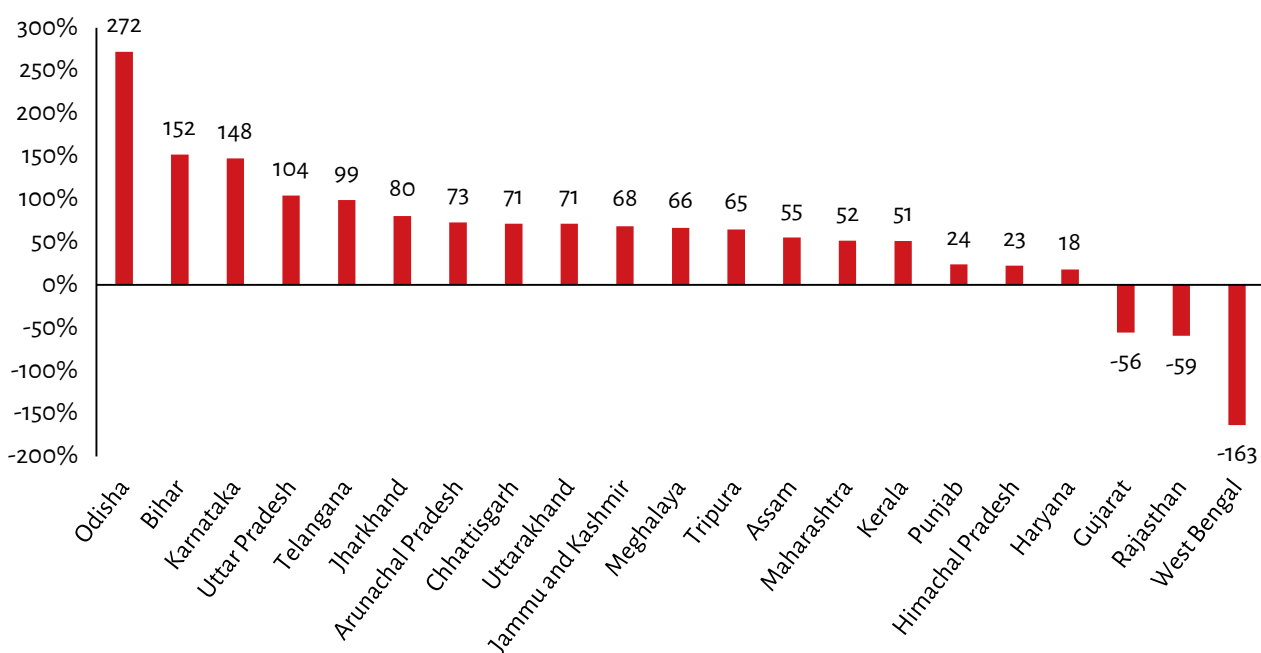
Releases

- Budgets for SBM-G are determined through a process of negotiation between GoI and state governments. The negotiation is based on project proposals called Annual Implementation Plans (AIPs) developed at the Gram Panchayat level and consolidated at district and state levels. Final approvals rest with the MDWS, now DDWS within the MJS. Funds are released based on approved budgets.
- GoI's release of funds to state governments has remained steady since the launch of the scheme. In FY 2014-15, GoI had sanctioned 96 per cent of its total allocation. This increased to 98 per cent in FY 2015-16, and further to 101 per cent in FY 2016-17.
- In FY 2018-19, ₹12,796 amounting to 88 per cent of the total GoI allocation had been released to the states. Subsequently, in FY 2019-20, as of 3 July 2019, 15 per cent had already been released to states.

Expenditure

- Total funds available include opening balances (i.e. unspent funds from previous years), Gol and state releases and interest earned.
- Expenditure under the scheme has been higher than funds available resulting in large negative opening balances in many states. In FY 2018-19, 9 states and UTs started with a negative balance after both Gol and state funds had been taken into account.
- During the year, over 100 per cent of funds available were spent in 9 states. For instance, expenditure was more than twice the total funds available in Tamil Nadu, Madhya Pradesh, Odisha, and Andhra Pradesh. Similarly, Gujarat, Rajasthan, and West Bengal were running in deficits and did not have any funds available.
- In contrast, 11 states and UTs had spent less than 50 per cent of their available funds during the same period. Expenditure was primarily low in states which were among the first to be declared ODF, including Himachal Pradesh (23 per cent) and Haryana (18 per cent).

11 STATES AND UTs HAD SPENT LESS THAN 50% OF FUNDS AVAILABLE; 9 STATES SPENT MORE THAN THEIR FUNDS AVAILABLE



Source: RTI response from DDWS dated 3 July 2019.

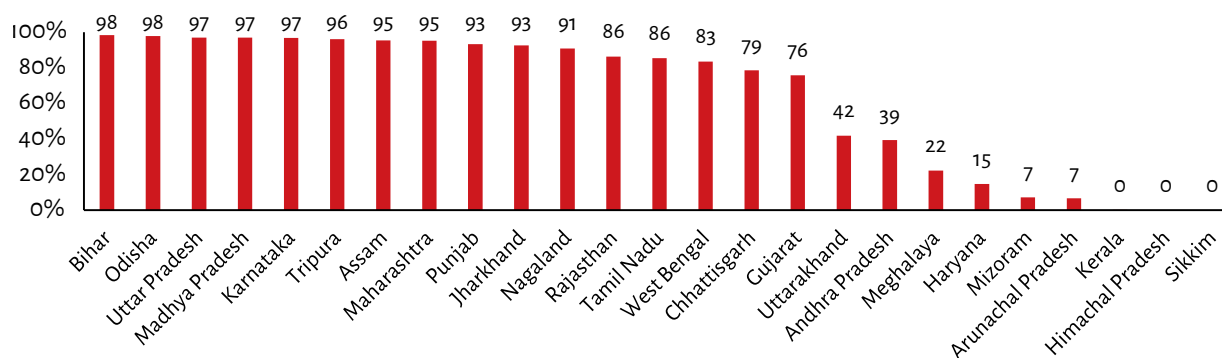
COMPONENT-WISE TRENDS

- Implementation of SBM involves a number of activities. These include:
 - Start-up activities, such as a needs assessment and subsequent preparation of plans,
 - Information Education and Communication activities to push for behaviour change,
 - Construction of Individual Household Latrines,
 - Construction of community sanitary complexes,
 - Construction of school toilets and hygiene education,
 - Construction of anganwadi toilets, and
 - Setting up of Rural Sanitary Marts (RSMs) or production centres and retail outlets responsible for manufacturing and marketing low-cost hardware.

Individual Household Latrines (IHHLs)

- IHHLs are basic low-cost toilets. The mission provides an incentive for construction with priority being given to Below Poverty Line (BPL) households and certain categories of Above Poverty Line (APL) households, such as Scheduled Castes/Scheduled Tribes, small and marginal farmers, landless labourers, physically handicapped, and women-headed households.
- The incentive of ₹12,000 is to be given to any eligible household after the construction of an IHHL. Till FY 2014-15, ₹9,000 (75 per cent) was to be contributed by the GoI with states providing ₹3,000 (25 per cent). Since FY 2015-16, funds are shared between the GoI and states in a 60:40 ratio.
- Expenditure on construction of IHHLs accounts for the largest share of spending. Between FY 2015-16 and FY 2018-19, over 90 per cent of expenditure has been towards construction of IHHLs.
- The states which were early to be declared ODF are exceptions to this rule, given that ODF declarations are predicated on toilet coverage target achievement. Thus, in FY 2018-19, as a share of total expenditures, Kerala (<1 per cent) and Himachal Pradesh (<1 per cent) had incurred limited expenditure on IHHL construction.
- While 100 per cent of villages in Maharashtra had been declared ODF in FY 2017-18, 95 per cent of its total expenditure was still on IHHL construction in FY 2018-19. Other states with a high share of expenditure on IHHL construction were Bihar (98 per cent), Odisha (98 per cent), Madhya Pradesh (97 per cent), Karnataka (97 per cent), Tripura (96 per cent), Assam (95 per cent), Punjab (93 per cent), Jharkhand (93 per cent), Nagaland (91 per cent), Rajasthan (86 per cent), Tamil Nadu (86 per cent), West Bengal (83 per cent), Chhattisgarh (79 per cent), Gujarat (76 per cent), Uttarakhand (42 per cent), Andhra Pradesh (39 per cent), Meghalaya (22 per cent), Haryana (15 per cent), Mizoram (7 per cent), Arunachal Pradesh (7 per cent), Kerala (0 per cent), Himachal Pradesh (0 per cent), and Sikkim (0 per cent).

IHHL EXPENDITURE OUT OF TOTAL EXPENDITURE REMAINED OVER 90% IN 2018-19



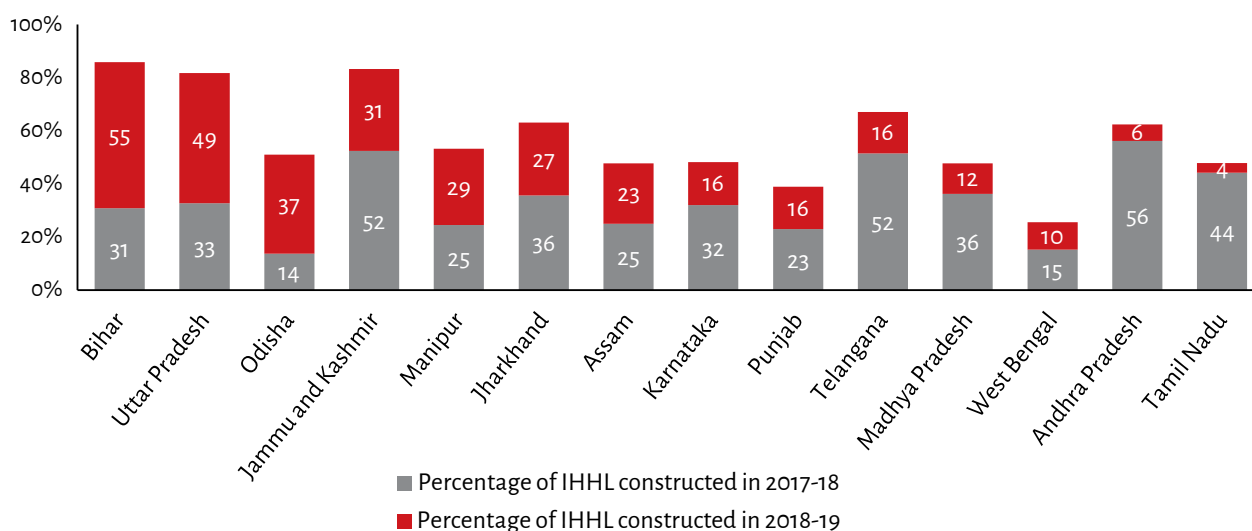
■ Proportion of total expenditure spent on IHHL construction in 2018-19

Source: RTI response from DDWS dated 3 July 2019.

Toilet Coverage

- In order to reduce exclusion errors and accommodate households that do not have IHHLs but are eligible under the categories delineated by the SBM-G guideline, a new category of beneficiaries has been added to the SBM MIS, known as 'Left out of Baseline' (LOB). An additional 37.77 lakh households have been identified under this category as of 1 July 2019. IHHL coverage also includes households that have access to Community Sanitary Complexes.
- IHHL coverage stood at 98 per cent of all households as on 1 July 2019. Only Goa (89 per cent) and Odisha (87 per cent) report less than 90 per cent toilet coverage.
- Nine states and UTs have constructed more than a quarter of all their toilets in FY 2018-19 alone. Bihar (55 per cent) and Uttar Pradesh (49 per cent) have constructed most of their toilets in FY 2018-19.

A MAJORITY OF IHHL CONSTRUCTION IN BIHAR AND UTTAR PRADESH WAS IN 2018-19



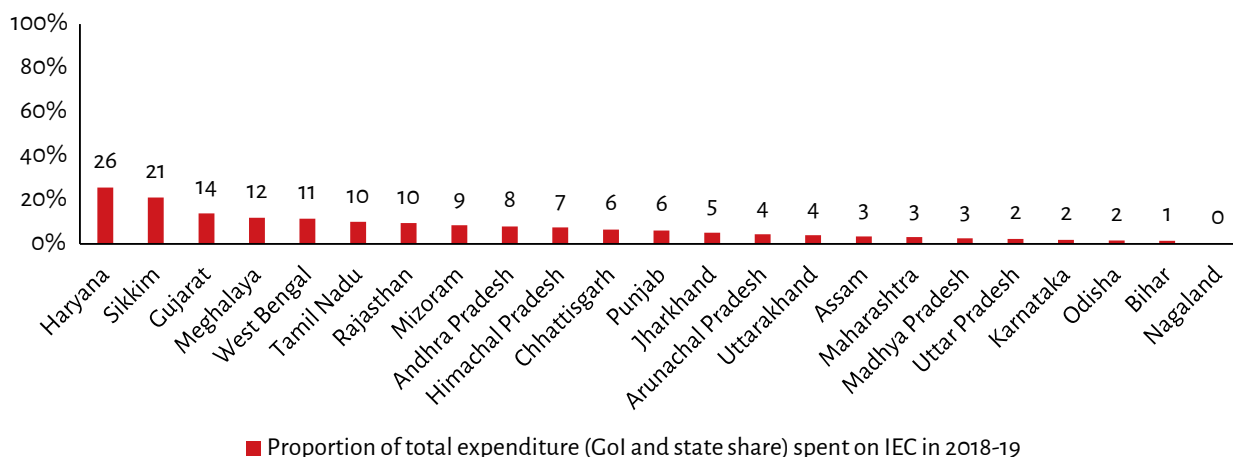
Source: SBM dashboard, Format AO3. Available online at: https://sbm.gov.in/sbmReport/Report/Physical/SBM_TargetVsAchievementWithout1314.aspx. Last accessed on 1 July 2019.

Information, Education, and Communication (IEC) Activities

- According to the guidelines, 8 per cent of total allocation under SBM-G is to be utilised for IEC activities. Of this, 3 per cent is to be utilised at the Gol level and 5 per cent at the state level. The mission is yet to meet this benchmark in any year.
- Between FY 2015-16 and FY 2018-19, on average, 2 per cent of expenditure out of Gol's fund was incurred towards IEC. No expenditure on IEC was reported from the Gol share of funds in FY 2015-16. Expenditure however increased in subsequent years. In FY 2016-17, ₹82 crore was spent towards IEC which increased significantly to ₹284 crore in FY 2017-18, and further to ₹491 crore accounting for 4 per cent of total Gol expenditure in FY 2018-19, out of Gol share.
- In FY 2018-19, 3 per cent of expenditure from state share was spent on IEC. Including both state and Gol shares, expenditure on IEC remained at 3 per cent of total expenditure under the scheme.

- ODF states like Sikkim and Haryana seem to be placing more efforts on IEC activities and have incurred more than 20 per cent of all expenditure since FY 2018-19 on IEC. Others like Gujarat (14 per cent), Meghalaya (12 per cent), West Bengal (11 per cent), and Tamil Nadu (10 per cent), and Andhra Pradesh (8 per cent) have also incurred a larger share of expenditure on IEC in FY 2018-19.

HARYANA SPENT MORE THAN A QUARTER OF TOTAL EXPENDITURE ON IEC ACTIVITIES IN 2018-19



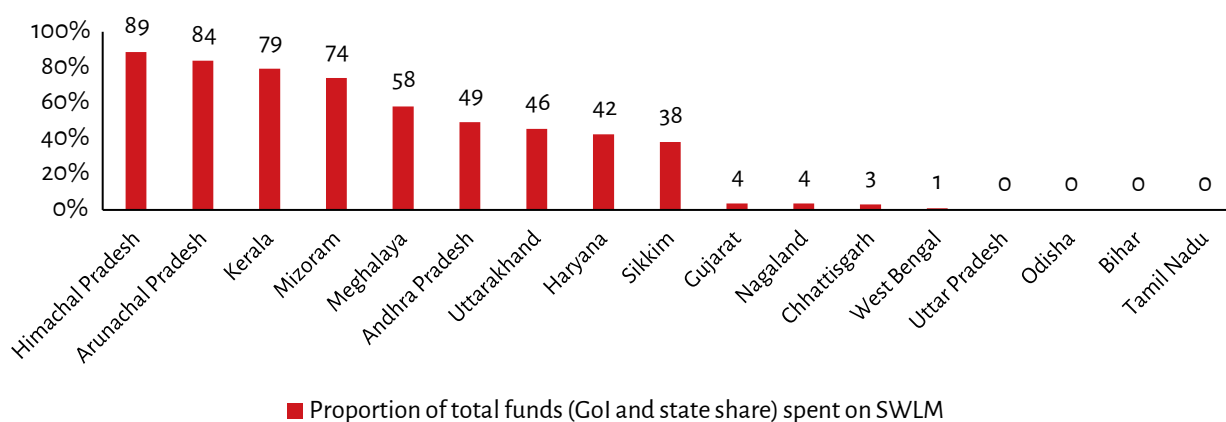
Source: RTI response from DDWS dated 3 July 2019.

- According to the guidelines, states may mobilise frontline workers dedicated to working towards behaviour change with the GPs, known as Swachhagrahis. While these are ideally meant to be local volunteers, the guidelines allow for payments to be made to Swachhagrahis from the IEC funds, in order to incentivise outcomes. As of June 2019, information on Swachhagrahis is not available on the public SBM MIS.
- Since the start of the mission till 14 January 2019, 89 per cent of all 2,58,646 GPs reported the presence of at least one Swachhagrahi. There were, however, significant state wise differences in number of Swachhagrahis per GP. Only 12 states and UTs, had engaged Swachhagrahis in all their GPs. States such as Arunachal Pradesh, Manipur, and Jammu and Kashmir had engaged Swachhagrahis in less than a quarter of all GPs.

Solid and Liquid Waste Management (SLWM)

- SBM-G provides funds for SLWM up to a cap of ₹7/₹12/₹15/₹20 lakh for GPs having up to 150/300/500/more than 500 households, respectively.
- Expenditure on SLWM has been low but is picking up pace. In FY 2018-19, 4 per cent of total state expenditure and 4 per cent of total Gol expenditure was on SLWM.
- States with amongst the highest share of total expenditure on SLWM include Himachal Pradesh (89 per cent), Arunachal Pradesh (84 per cent), Kerala (79 per cent), and Mizoram (74 per cent).
- In contrast, 18 states and UTs incurred less than 1 per cent of their total expenditure on SLWM.

ARUNACHAL PRADESH AND HIMACHAL PRADESH SPENT OVER 80% OF THEIR TOTAL EXPENDITURE ON SLWM IN 2018-19

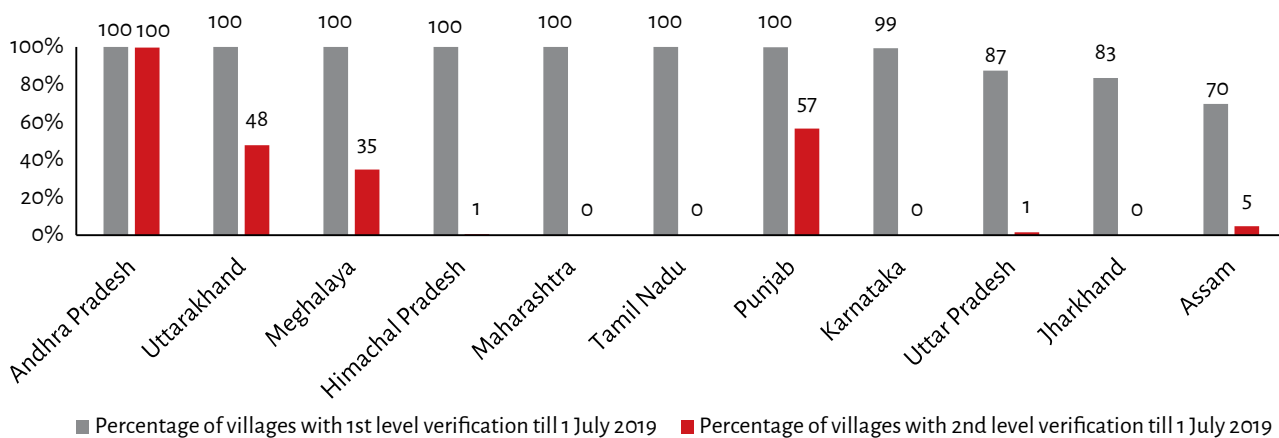


Source: RTI response from DDWS dated 3 July 2019.

OUTCOMES AND OPEN DEFECATION

- SBM stresses the objective of achieving ODF status, i.e. 'the termination of faecal-oral transmission, defined by
 - o no visible faeces found in the environment/village; and
 - o every household as well as public/community institutions using safe technology option for disposal of faeces' by the guidelines.
- ODF declarations are a bottom up process starting at the village or GP level. Once a village declares itself ODF and the GP adopts a resolution of ODF status, it is validated at the block, district, and state level, and has to be subjected to multiple rounds of verification before being accepted.
- As sanitation is a state subject, verification of the ODF status is carried out at the state level. As per the guidelines, at least two verifications must be carried out – one within the first three months of ODF declaration, and the second after six months of the first ODF verification. While the verification process must capture the two essential features of ODF status mentioned above, it is up to the states to decide the verification mechanism and protocol.
- Till 1 July 2019, 30 states and UTs had been declared themselves ODF, up from 27 states and UTs as on 18 January 2019. Goa, Odisha, Telangana, Bihar, and West Bengal were the only states left to declare ODF, with 94 per cent, 51 per cent, 24 per cent, 14 per cent, and 5 per cent of villages remaining to be declared ODF, respectively.
- As of 1 July 2019, the number of villages reported on the MIS has decreased from 6,00,521, on 18 January 2019, to a total of 6,00,498 villages. Out of these 5,67,580 (95 per cent) villages have been declared ODF. Although 85 per cent of villages had completed the first level of ODF verification, only 19 per cent villages had completed the second level of verification.
- One round of the village ODF verification process had been completed in 19 states and UTs. Two rounds of verification had been completed in 7 states and UTs, including Haryana, Kerala, Gujarat, and Arunachal Pradesh, as of 1 July 2019. Despite being one of the first few states to be declared ODF, only 1 per cent of villages in Himachal Pradesh have completed the second round of verification.
- Verification even at the first level was low in Tripura (42 per cent), Odisha (35 per cent), and Bihar (29 per cent).

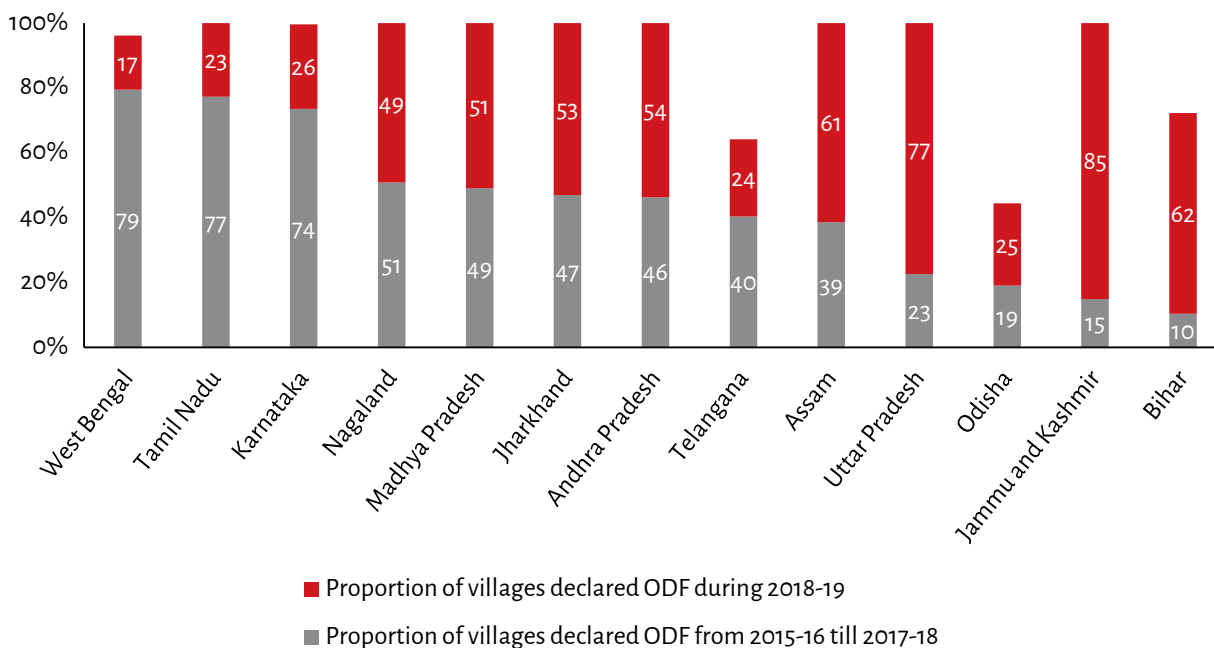
WHILE 85% HAD COMPLETED THE FIRST LEVEL OF ODF VERIFICATION, ONLY 19% VILLAGES HAD UNDERGONETWO LEVELS OF VERIFICATION AS OF 1 JULY 2019



Source: SBM MIS, Format F42. Available online at: https://sbm.gov.in/sbmReport/Report/Physical/SBM_VillageODFMarkStatus.aspx. Last accessed on 1 July, 2019.

- The pace of both declarations as well as verifications has been increasing. In FY 2015-16, 8 per cent of all declarations were made. This number increased to 23 per cent in FY 2016-17, 28 per cent in FY 2017-18, and 35 per cent in FY 2018-19.

85% OF VILLAGES IN JAMMU AND KASHMIR WERE DECLARED ODF IN 2018-19



Source: SBM MIS, Format F42. Available online at: https://sbm.gov.in/sbmReport/Report/Physical/SBM_VillageODFMarkStatus.aspx. Last accessed on 1 July, 2019.