



BUDGET BRIEFS

Vol 9/Issue 5

Swachh Bharat Mission-Urban (SBM-U)

GOI, 2017-18

The Swachh Bharat Mission-Urban (SBM-U) is Government of India's (GOI) nationwide flagship programme targeting universal sanitation coverage in urban areas.

Using government data, this brief reports on:

- Allocations and releases
- Physical progress of toilets built and Solid Waste Management (SWM)
- Funds released for Information, Education and Communication (IEC) activities
- Progress towards ending open defecation (OD)

Cost share and implementation:

The total SBM-U project cost is estimated at ₹62,009 crore, of which GOI's share is to be ₹14,787 crore. States and Union Territories (UTs) are to contribute a minimum of ₹4,874 crore.

Complete expenditure data is publicly available up to FY 2015-16. Data for FY 2016-17 is till 18 January, 2017.

HIGHLIGHTS

₹34,212 cr

GOI allocations for Ministry of Urban Development (MOUD) in FY 2017-18

₹2,300 cr

GOI allocations for SBM-U in FY 2017-18

SUMMARY & ANALYSIS

- In Financial Year (FY) 2017-18, GOI allocations for SBM-U stand at ₹2,300 crore. The allocations have not changed from 2016-17. However, they are more than double the revised estimates (RE) of FY 2015-16. By FY 2017-18, four years into the scheme, ₹7,291 crore, amounting to 49 per cent of GOI's total share, has been allocated to states.
- In FY 2016-17 till 18 January, 2017, ₹1,410 crore was released to the states by GOI. This accounts for 61 per cent of the allocations for the financial year.
- There are significant state-wise variations in releases made under the mission since its inception. While Rajasthan and Andhra Pradesh had received 58 per cent and 55 per cent of total mission allocations till 18 January, 2017, respectively, Uttar Pradesh and Assam had only received 10 per cent and 6 per cent, respectively.
- 45 per cent of the total releases for FY 2016-17 have been for the construction of Individual Household Latrines (IHHLs) and Community and Public Toilet seats (CT/PTs). As of 18 January, 2017, 110,665 CT/PTs had been constructed and 29,18,669 IHHLs had been completed.
- Information, Education and Communication (IEC) expenditure remains low. ₹40 crore had been released under this head till 18 January, 2017 for FY 2016-17, which is 17 per cent lower than the IEC releases for FY 2015-16 and less than half the IEC releases in FY 2014-15.
- As of 18 January, 2017, a total of 332 Urban Local Bodies (ULBs) across 15 states had been declared open defecation free (ODF).

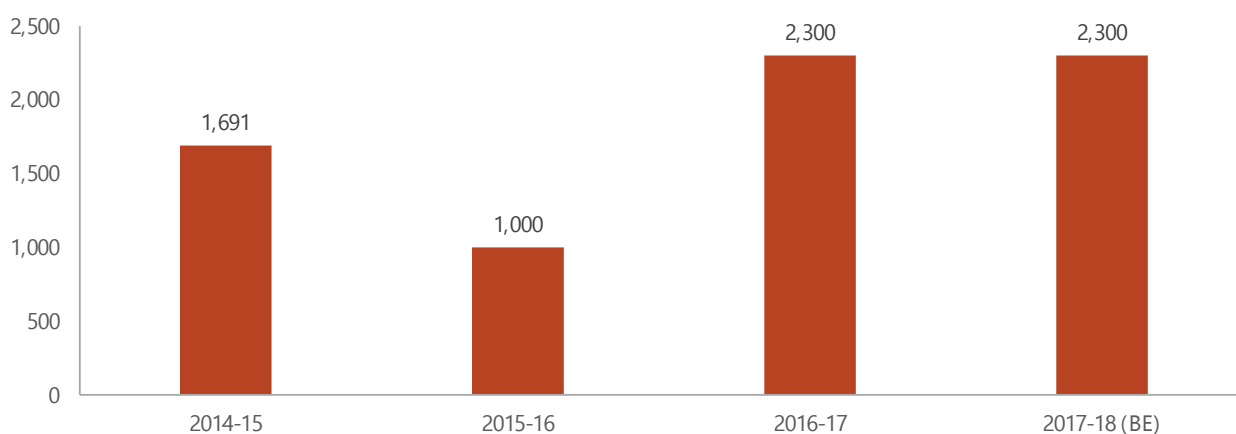
TRENDS IN GOI ALLOCATIONS AND RELEASES

- In October 2014, GOI launched the Swachh Bharat Mission-Urban (SBM-U) – a comprehensive sanitation scheme focused on urban sanitation. The scheme is run by the Ministry of Urban Development (MOUD) and has the following objectives:
 - Make the country open defecation free (ODF) by 2019
 - Convert insanitary toilets to pour flush toilets
 - Eradicate manual scavenging
 - Achieve 100 per cent collection and scientific processing of Municipal Solid Waste
 - Bring about a behavioural change in people regarding healthy sanitation practices
 - Generate awareness among citizens about sanitation and its linkages with public health
 - Strengthen ULBs to design, execute and operate systems
 - Create an enabling environment for private sector participation in Capital Expenditure and Operation and Maintenance (O&M) costs.

Allocations

- The total cost of the scheme is estimated at ₹62,009 crore, of which GOI's share is ₹14,787 crore. By FY 2017-18, four years into the scheme, ₹7,291 crore, amounting to 49 per cent of GOI's total share, has been allocated to states.
- In FY 2017-18, GOI allocated ₹2,300 crore to SBM-U, same as the allocation for FY 2016-17, but more than double the allocation for FY 2015-16.

NO CHANGE IN GOI ALLOCATIONS FOR SBM-U BETWEEN 2016-17 AND 2017-18



Source: India Expenditure Budget, Vol 2, MOUD. Available online at: <http://indiabudget.nic.in>.

Note: Figures are in crore of rupees and are revised estimates (RE), except for FY 2017-18 which are budget estimates (BE). Last accessed on 1 February, 2017.

Releases

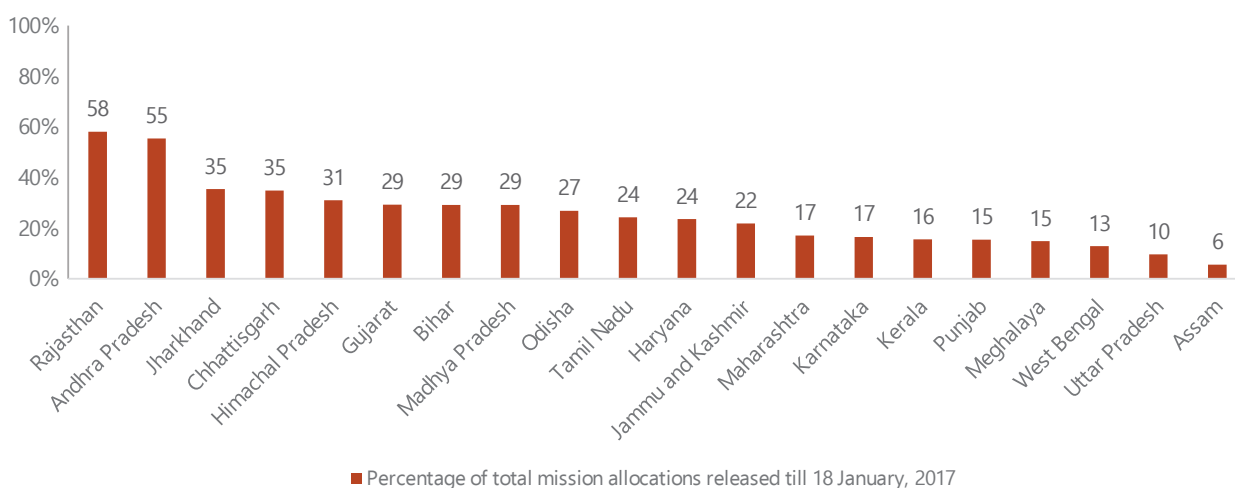
- The first instalment of GOI releases is contingent on states submitting a proposal on anticipated demand, and a state sanitation strategy. Subsequent instalments are to be released based on utilisation certificates of previous grants, physical and financial progress and other indicators, as approved and desired by the National Advisory and Review Committee (NARC).

- The release of funds by GOI has been variable. In FY, 2014-15, GOI released 51 per cent of its allocation to states. In FY 2015-16, whilst allocations decreased, the release of funds improved and over 100 per cent of total GOI allocations were released. FY 2016-17 has seen a significant improvement in the pace of releases. Releases for FY 2016-17 account for 41 per cent of all releases since the launch of the mission. As a proportion of GOI allocations for the financial year, till 18 January, 2017, 61 per cent had been released.

TRENDS IN STATE-WISE ALLOCATIONS AND EXPENDITURES

- State-wise shares of total GOI allocations for the mission period from 2014 to 2019 are based on the number of statutory towns, their respective populations and open defecation (OD) rates. Till 18 January, 2017, Rajasthan had already received 58 per cent of its total mission allocations. Similarly, Andhra Pradesh too had received a high proportion at 55 per cent.
- In contrast, releases were low in Kerala (16 per cent), Punjab (15 per cent), Meghalaya (15 per cent), West Bengal (13 per cent), Uttar Pradesh (10 per cent) and Assam (6 per cent). Tripura has not received any funds under SBM-U.

RAJASTHAN RECEIVED 58% OF TOTAL MISSION ALLOCATIONS TILL JANUARY 18, 2017; ASSAM RECEIVED ONLY 6%



Source: SBM-U, Sanctions. Available online at: <http://swachhbharaturban.gov.in/sanction.aspx?id=cpxtyfamk5w3nvm7&encryptdata=eK991SygGmX0V4bV+BL7d+R/EPKikTqO/+DtqH2GM1um0EJlxRADDaJNS7LI5ZU1hEHUJQwHRzolzjPwM8PpOVv3vfyAyCn7GozBy35Arhal=>

Note: Releases data for SWM taken from Lok Sabha Unstarred Question No. 4481. Available online at:

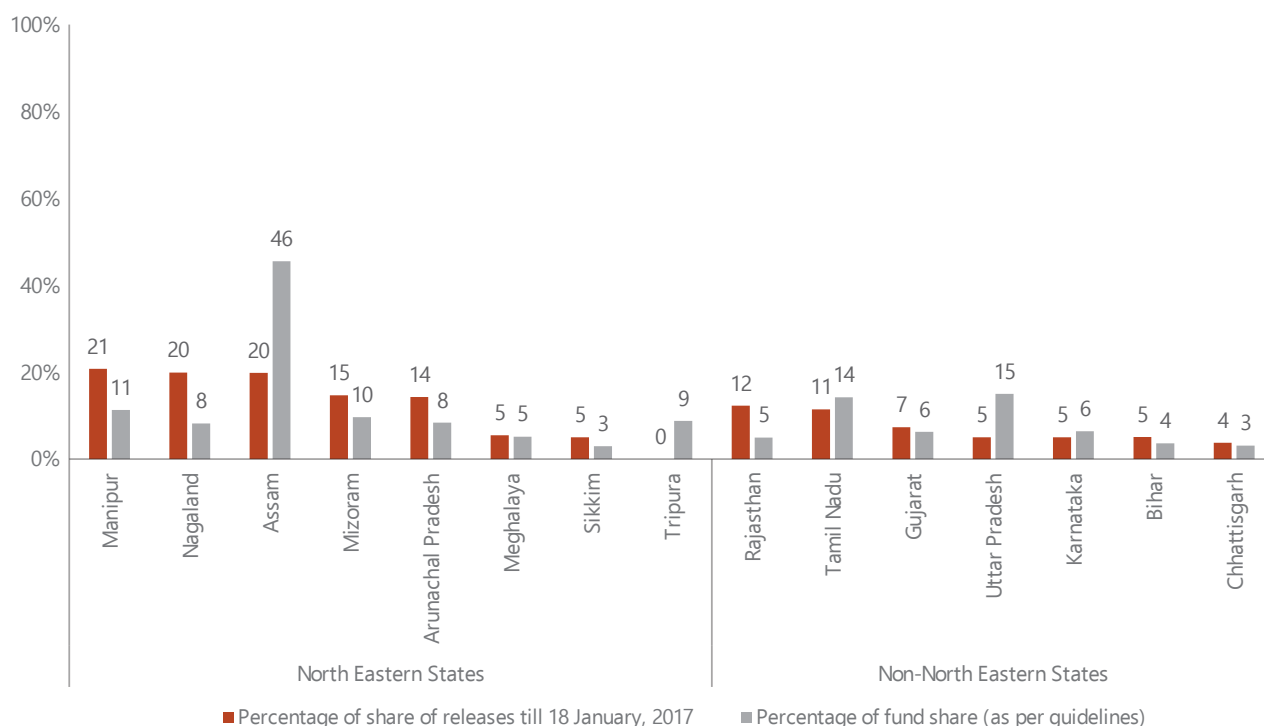
<http://164.100.47.190/loksabhaquestions/annex/10/AU4481.pdf>

Statewise allocations data taken from Approved State and Component Wise Share of GOI Contribution as per Cabinet Note. Available online at: <http://swachhbharaturban.in:8080/sbm/content/writereaddata/Targets%20as%20per%20Cabinet%20Note.pdf>.

Last accessed on 18 January, 2017.

- There are significant differences between states' share of allocations as per the guidelines and actual state-wise releases. For instance, whilst Assam's share according to the guidelines stood at 46 per cent of total releases for the North East, till 18 January, 2017, it had received only 20 per cent of total releases for the region. Similarly, whilst Tripura should have received 9 per cent of the funds for the North East, it had not received any funds till 18 January, 2017.

ASSAM'S FUND SHARE WAS 46% BUT IT RECEIVED 20% OF TOTAL RELEASES TO THE NORTH EAST REGION TILL 18 JANUARY, 2017



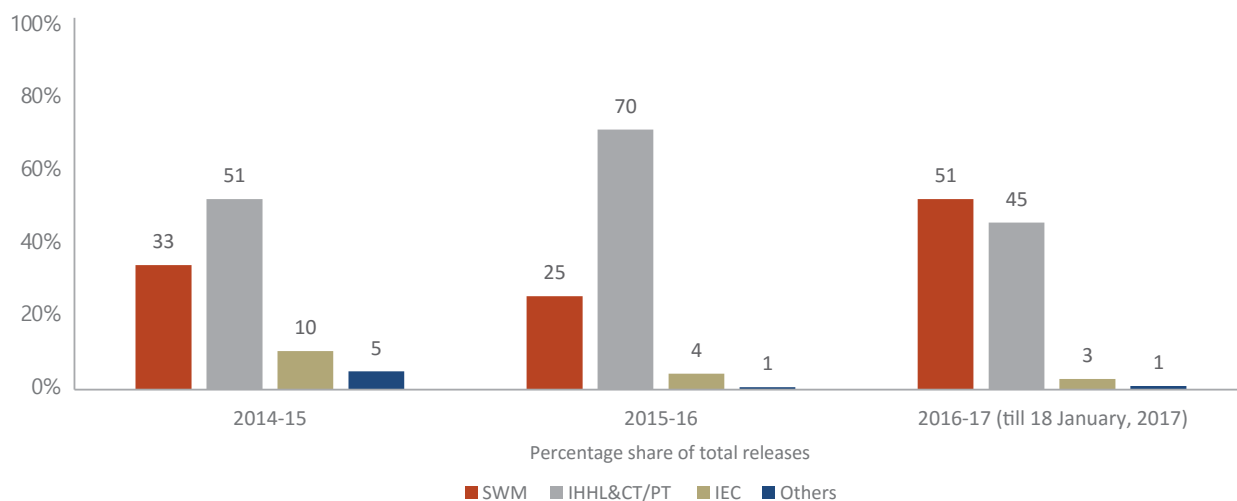
Source: SBM-U, Sanctions. Available online at: <http://swachhbharaturban.gov.in/sanction.aspx?id=cpxtyfamk5w3nvm7&encryptdata=eK991SygGmX0V4bV+BL7d+R/EPKikTqO/+DtqH2GM1um0EJlxRADDaJNS7LI5ZU1hEHUJQwHRzolzjPwM8PpOVv3vfyAyCn7GozBy35Arhal=>
Note: Releases data for SWM taken from Lok Sabha Unstarred Question No. 4481. Available online at: <http://164.100.47.190/loksabhaquestions/annex/10/AU4481.pdf>. Last accessed on 18 January, 2017.

- Uttar Pradesh has been allocated 15 per cent of the mission funds available for non-North East states. However, the state had received only 5 per cent of total releases till 18 January, 2017. On the other hand, Rajasthan was allocated 5 per cent of total allocations, but slow fund releases to other states have resulted in Rajasthan receiving 12 per cent of funds released till 18 January, 2017.

TRENDS IN COMPONENT-WISE ALLOCATIONS AND EXPENDITURES

- SBM-U has six components:
 - Construction of individual household latrines (IHHLs), including conversion of insanitary toilets into pour flush latrines.
 - Construction of Community Toilets (CTs)
 - Construction of Public Toilets (PTs)
 - Solid Waste Management (SWM)
 - Information, Education and Communication (IEC) and Public Awareness
 - Capacity Building and Administration (CB&A)
- Fund releases by GOI are linked to budget line items related to these six components.
- Since the start of the scheme, most of GOI's releases have been for toilet construction and SWM. Softer aspects such as IEC and CB&A have received lower resources than mandated in the guidelines.
- In FY 2015-16, 70 per cent of the total money released under SBM-U was for construction of IHHLs and CTs/PTs, and 25 per cent was for SWM. In FY 2016-17, till 18 January, 2017, while proportion of releases for construction activities decreased to 45 per cent, proportion of releases for SWM increased to 51 per cent. IEC accounted for only 3 per cent of total releases in FY 2016-17 till 18 January, 2017, down from 4 per cent in FY 2015-16.

FOCUS SHIFTING FROM TOILET CONSTRUCTION TO SWM

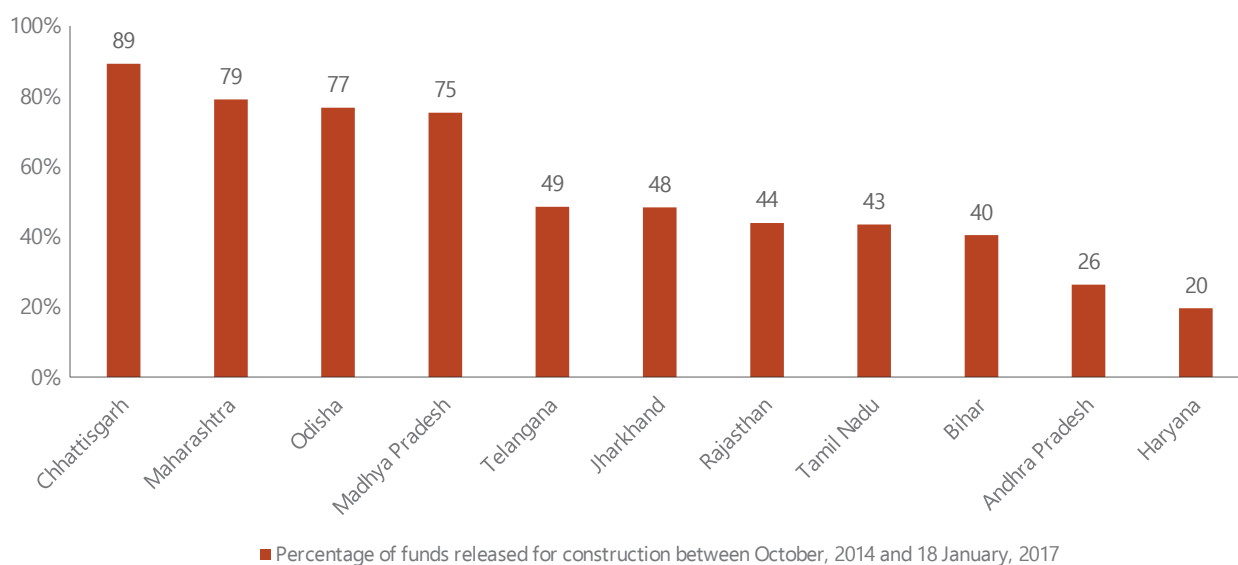


Source: SBM-U, Sanctions. Available online at: <http://swachhbharaturban.gov.in/sanction.aspx?id=cpxyfamk5w3nvm7&encryptdata=eK991SygGmX0V4bV+BL7d+R/EPKikTqO/+DtqH2GM1um0EJlxRADDaJNS7LI5ZU1hEHUJQwHRzoljaPwM8PpOVv3vfyAyCn7GozBy35Arhal=>
Note: Releases data for SWM taken from Lok Sabha Unstarred Question No. 4481. Available online at: <http://164.100.47.190/loksabhaquestions/annex/10/AU4481.pdf>. Last accessed on 18 January, 2017.

Individual Household Latrines

- IHHLs are basic, low-cost toilets provided 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, at subsidised rates. An incentive of ₹4,000 per IHHL is provided by GOI to households post-construction. The remaining cost is shared between GOI, state governments and beneficiaries.

SHARE OF TOILET CONSTRUCTION IN TOTAL RELEASES RANGES BETWEEN 90% AND 20%



■ Percentage of funds released for construction between October, 2014 and 18 January, 2017

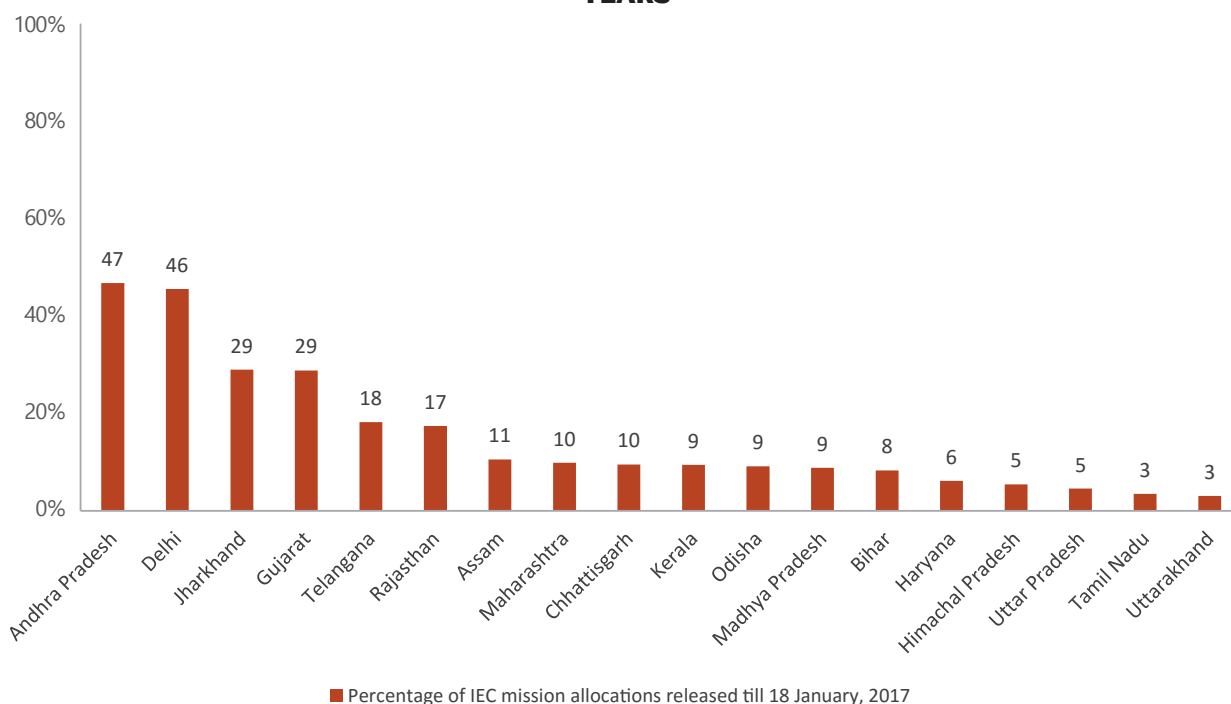
Source: SBM-U, Sanctions. Available online at: <http://swachhbharaturban.gov.in/sanction.aspx?id=cpxyfamk5w3nvm7&encryptdata=eK991SygGmX0V4bV+BL7d+R/EPKikTqO/+DtqH2GM1um0EJlxRADDaJNS7LI5ZU1hEHUJQwHRzoljaPwM8PpOVv3vfyAyCn7GozBy35Arhal=>
Note: Releases data for SWM taken from Lok Sabha Unstarred Question No. 4481. Available online at: <http://164.100.47.190/loksabhaquestions/annex/10/AU4481.pdf>. Last accessed on 18 January, 2017.

- Toilet construction is being prioritised in Chhattisgarh and Maharashtra. 89 per cent and 79 per cent of total releases over the last three years to these states, respectively, were for toilet construction.
- Releases for toilet construction were relatively low in Bihar (40 per cent), Andhra Pradesh (26 per cent) and Haryana (20 per cent).

Information, Education, and Communication

- According to the SBM-U guidelines, 15 per cent of GOI's share must be spent on IEC. Out of this, 12 per cent has to be released to the states, while the remaining 3 per cent is to be used for GOI mass media campaigns. The total allocation towards IEC during the mission period is projected to be ₹2,193 crore. Of this, ₹1,502 crore is expected to be released by GOI to states.
- Release of funds under IEC has been slow. Between October 2014 and 18 January, 2017, only 12 per cent of GOI's IEC mission allocations were released to the states.
- The share of IEC in total releases has been declining as well. In FY 2014-15, 10 per cent of total releases for SBM-U was for IEC. This decreased to 4 per cent in FY 2015-16. In FY 2016-17, till 18 January, 2017, IEC accounted for only 3 per cent of all releases.
- There are also disparities between states in terms of GOI releases for IEC. While Andhra Pradesh and Delhi have received 47 and 46 per cent of their allocated shares for the mission period, respectively, several states are yet to receive even 10 per cent of their mission allocations after three years.

NO STATE HAS RECEIVED EVEN HALF THE IEC MISSION ALLOCATIONS OVER THE LAST 3 YEARS



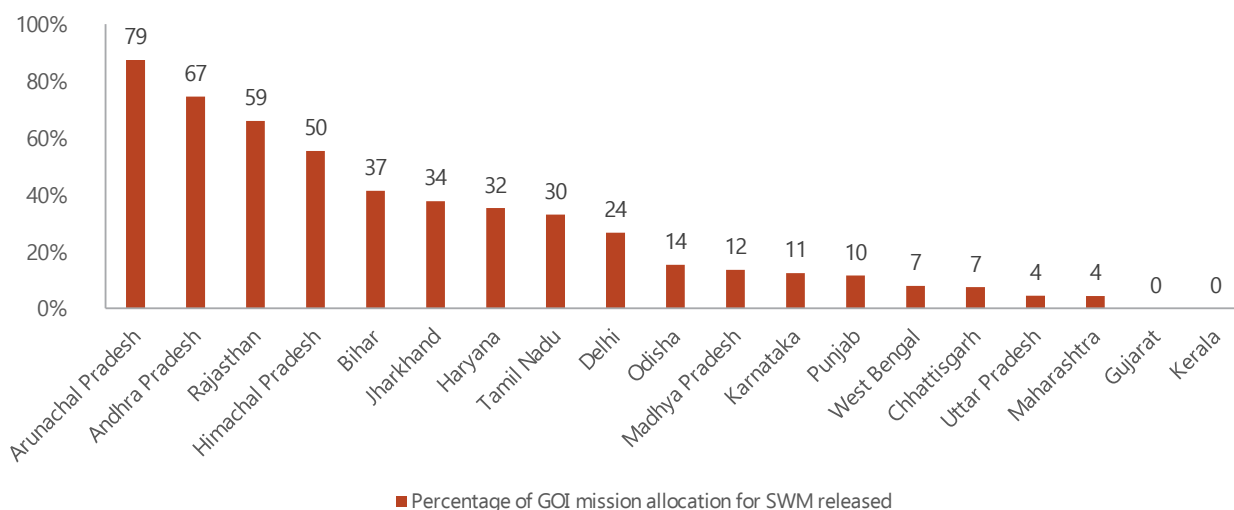
Source: SBM-U, Sanctions, and Approved State and Component Wise Share of GOI Contribution. Available online at: <http://swachhbharaturban.in:8080/sbm/content/writereaddata/Targets%20as%20per%20Cabinet%20Note.pdf>

Note: Statewise allocations data taken from Approved State and Component Wise Share of GOI Contribution as per Cabinet Note. Available online at: <http://swachhbharaturban.in:8080/sbm/content/writereaddata/Targets%20as%20per%20Cabinet%20Note.pdf>. Last accessed on 18 January, 2017.

Solid Waste Management

- Municipal SWM refers to a systematic process of ensuring that solid waste is disposed of in a sustainable manner without polluting the environment. The process involves segregating waste at source into dry and wet waste, collecting, transporting and storing waste, followed by processing, treatment and final disposal. SBM-U seeks to cover all 4,041 statutory towns/cities as per the 2011 Census for SWM.
- SWM expenditure got off to a slow start. However, some states are now beginning to make progress. Interestingly, new rules for SWM were notified by the Ministry of Environment, Forest and Climate Change on 4 April, 2016. Under SBM-U, a total of ₹7,424 crore has been earmarked for improving SWM systems. Of this, 17 per cent was released to the states till 18 January, 2017. More than half of the funds released so far were made available only in FY 2016-17.

NO RELEASES TO ASSAM, GUJARAT, AND KERALA FOR SWM UNDER SBM-U



Source: SBM-U, Sanctions, and Approved State and Component Wise Share of GOI Contribution. Available online at: <http://swachhbharaturban.in:8080/sbm/content/writereaddata/Targets%20as%20per%20Cabinet%20Note.pdf> and <http://www.indiaenvironmentportal.org.in/files/file/waste%20management.pdf>.

Note: Statewise allocations data taken from Approved State and Component Wise Share of GOI Contribution as per Cabinet Note. Available online at: <http://swachhbharaturban.in:8080/sbm/content/writereaddata/Targets%20as%20per%20Cabinet%20Note.pdf>. Last accessed on 18 January, 2017.

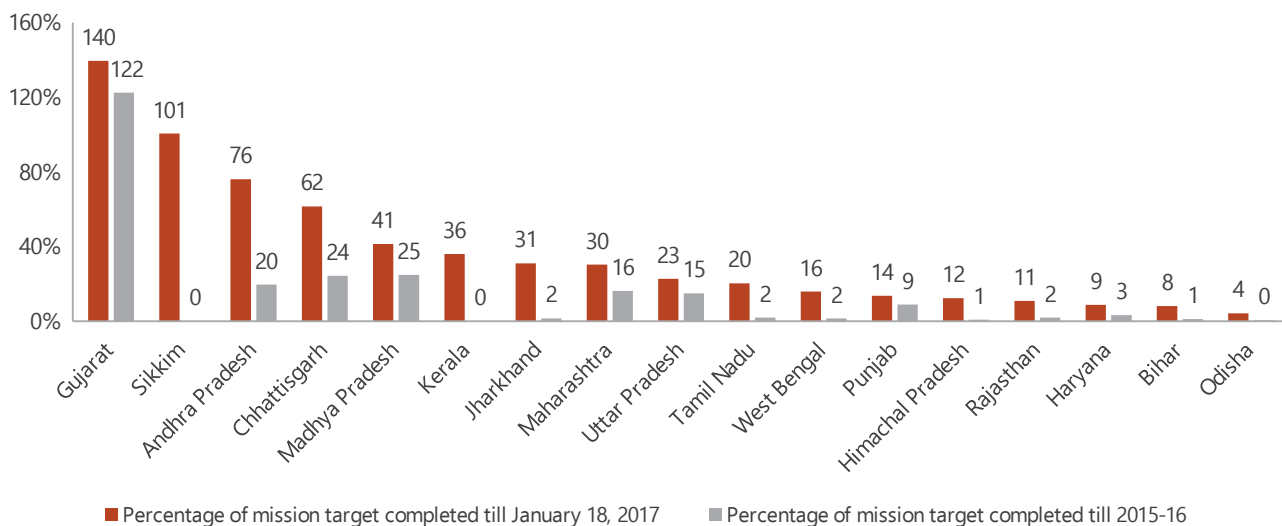
- Six states and UTs, including Gujarat, Assam and Kerala, are yet to receive any funds for SWM since the start of the programme. In FY 2016-17, 23 states and UTs were yet to receive any funds for SWM till 18 January, 2017.
- Three states - Tamil Nadu, Rajasthan and Andhra Pradesh - account for 48 per cent of all SWM releases between October, 2014 and 18 January, 2017. Even in these states, the bulk of the money (76 per cent) was received in FY 2016-17.

TRENDS IN COMPLETIONS AND ACHIEVEMENTS

Construction of toilets

- The target set under SBM-U was to construct a total of 1.04 crore individual toilets and 5.08 lakh CT/PTs.
- As of 18 January, 2017, a total of 29.18 lakh IHHLs and 1.10 lakh CT/PTs had been constructed across India. The pace of IHHL constructions has picked up marginally. In FY 2015-16, only 13 per cent of the total mission target for IHHL construction had been completed nationally. This increased to 28 per cent in FY 2016-17, a change of 15 percentage points.
- By 18 January, 2017, Gujarat and Sikkim had met their mission targets. Both states had constructed toilets amounting to 140 per cent and 101 per cent of their respective mission targets. In contrast, completion rates were low in Haryana (9 per cent), Bihar (8 per cent) and Odisha (4 per cent).

NATIONALLY, 28% OF MISSION TARGET FOR IHHLs COMPLETED BY 18 JANUARY, 2017



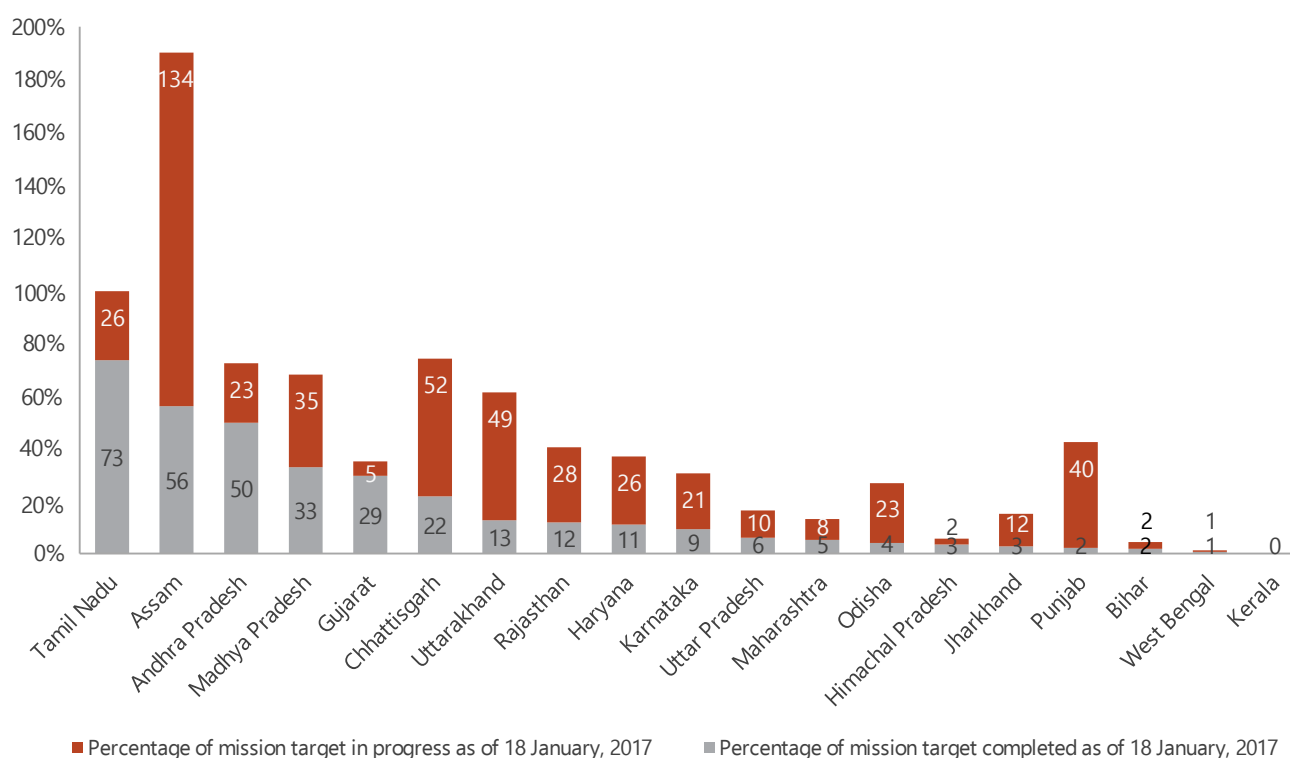
Source: SBM-U, Statewise Status of Implementation. Available online at: <http://swachhbharaturban.gov.in/dashboard/>. Last accessed on 18 January, 2017

- SBM-U provides for a financial incentive to be made available to households seeking to construct an IHHL. The guidelines lay down the process for availing this incentive, which requires that beneficiaries submit an online application. This application is verified and approved by the relevant ULB before the incentive can be paid.
- Between October 2014 and 18 January, 2017, over 76 lakh IHHL applications had been received across the country, of which 43 per cent had been approved.
- Till 18 January, 2017, 65 per cent of total applicants had constructed or were in the process of constructing toilets. There were, however, some state variations. All applicants had constructed or were in the process of constructing toilets in Madhya Pradesh, Sikkim, and Tamil Nadu. The proportion of applicants constructing toilets was also high in Andhra Pradesh (98 per cent), Kerala (96 per cent), Jharkhand (97 per cent), West Bengal (99 per cent) and Gujarat (95 per cent).
- Among the states which had received at least 10,000 applications for IHHL construction, the process of construction was slow in Odisha (14 per cent), Uttar Pradesh (20 per cent), Arunachal Pradesh (12 per cent) and Jammu and Kashmir (6 per cent)

Community and Public Toilets (CT/PTs)

- SBM-U set a target of constructing 5,07,588 CT/PTs by 2019. At present, a total of 22 per cent of the target CT/PTs have been completed. Another 25 per cent are under construction.
- Pace of construction is slow. By the end of FY 2015-16, the target was to complete 1,00,015 CT/PTs, of which 68,506 (68 per cent) had been completed. Work was underway for another 1,40,876. Till 18 January, 2017, 1,10,665 CT/PTs had been completed. Tamil Nadu alone accounts for 40 per cent of all CT/PTs constructions across the country. Madhya Pradesh (12 per cent), Andhra Pradesh (10 per cent), Gujarat (8 per cent) and Delhi (6 per cent) are the other states with high construction achievements. Together, these five states accounted for over three-fourths (76 per cent) of all CT/PTs completions.
- Tamil Nadu and Delhi are also furthest along in meeting their SBM-U targets for CT/PT constructions, with completion rates of 73 per cent and 62 per cent, respectively. Only two other states – Assam (56 per cent) and Andhra Pradesh (50 per cent) – had completed at least half their mission target by 18 January, 2017. Kerala (0 per cent), West Bengal (1 per cent) and Bihar (2 per cent) had made the slowest progress in this regard.

NATIONALLY, 22% OF MISSION TARGETS FOR CT/PT ARE COMPLETE AND 25% ARE IN PROGRESS

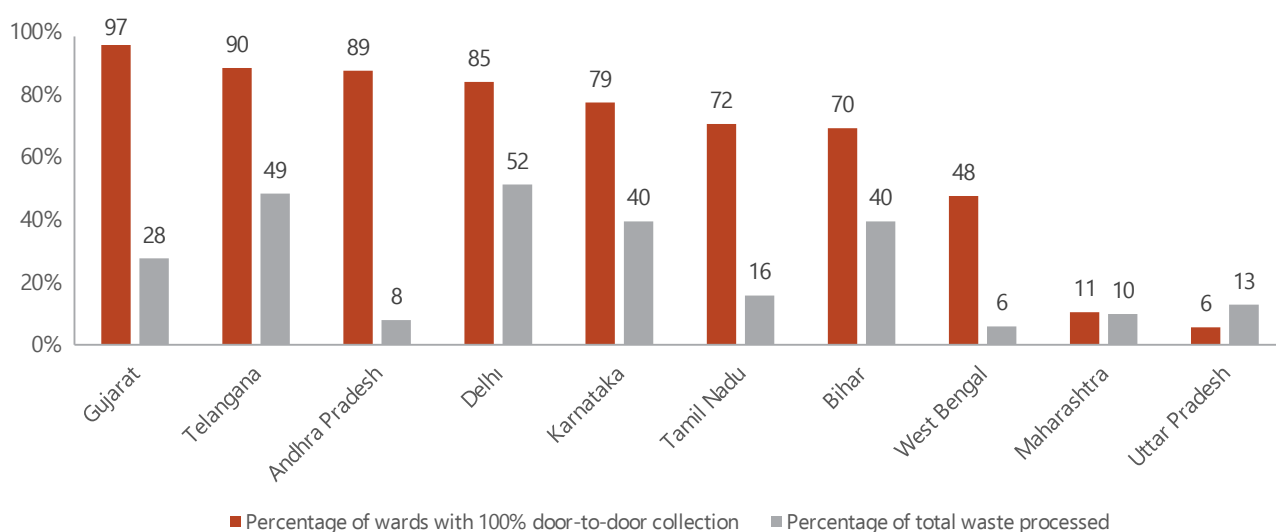


Source: SBM-U, Statewise Status of Implementation. Available online at: <http://swachhbharaturban.gov.in/dashboard/>
Last accessed on 18 January, 2017

Waste collection and processing

- Between 2014 and 2019, SBM-U aims to achieve 100 per cent door-to-door waste collection. Till 18 January, 2017, 49 per cent of total wards had achieved 100 per cent door-to-door waste collection.
- The pace of ward coverage for 100 per cent door-to-door waste collection seems to have slowed this year. In FY 2015-16, 100 per cent door-to-door waste collection had been achieved in 42 per cent wards. In FY 2016-17, till 18 January, only 7 per cent more wards were added, taking the total coverage to 49 per cent.
- There are significant state variations. Goa and Chandigarh have achieved 100 per cent coverage of door-to-door waste collection. Achievement is also high in Gujarat at 97 per cent, Telangana at 90 per cent and Andhra Pradesh at 89 per cent, respectively.
- In contrast, no ward had achieved 100 per cent door-to-door collection in Tripura. Achievement was also low in Meghalaya (5 per cent), Uttar Pradesh (6 per cent) and Nagaland (8 per cent).
- Maharashtra, one of the top performers in terms of toilet construction, had achieved 100 per cent door-to-door waste collection in only 11 per cent of its wards. Similarly, whilst Himachal Pradesh and Sikkim have been declared Open Defecation Free (ODF), only 33 per cent and 8 per cent of their wards, respectively had achieved 100 per cent door-to-door collection.
- Door-to-door collection however, is only the first step of waste management. In the absence of processing and disposal infrastructure, the process remains incomplete. As of 18 January, 2017, India generates 157,478 metric tonnes of waste every day. Of this, only about 22 per cent is processed.
- 79 per cent of total waste generated is produced by 10 states – Maharashtra, Uttar Pradesh, Tamil Nadu, Bihar, Gujarat, Karnataka, West Bengal, NCT of Delhi, Telangana and Andhra Pradesh. These 10 states together produce 1,24,296 metric tonnes of waste per day. Of this, only 23 per cent is processed.
- While Chandigarh processes 100 per cent of the waste it generates, the states closest to achieving this are Meghalaya (58 per cent), Goa (52 per cent), Delhi (52 per cent), Manipur (50 per cent) and Kerala (50 per cent).

LESS THAN A QUARTER OF WASTE GENERATED BY 10 LARGEST STATES IS PROCESSED



Source: SBM-U, Statewise Status of Implementation. Available online at: <http://swachhbharaturban.gov.in/dashboard/>
Last accessed on 18 January, 2017.

ULB activities

- Data collection and daily updating for planning and monitoring of the SBM-U is to be done by the ULBs, which are required to register themselves on the MOUD website for this purpose. As of 18 January, 2017, 90 per cent of ULBs had been registered. The fact that 10 per cent of ULBs are yet to be registered can impact SBM-U monitoring and planning, especially in states that have seen slow progress. For instance, 70 per cent of ULBs are yet to be registered in West Bengal and Tripura.

70% ULBs IN WEST BENGAL AND TRIPURA UNREGISTERED TILL 18 JANUARY, 2017



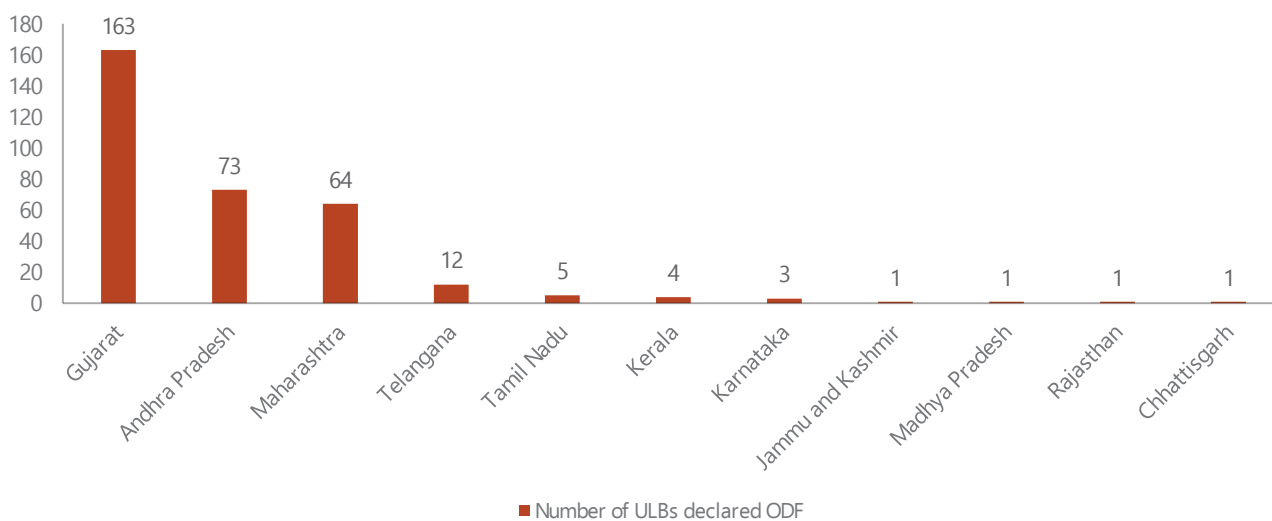
Source: SBM-U, Dashboard, ULB Registration. Available online at: <http://swachhbharaturban.gov.in/dashboard/>. Last accessed on 18 January, 2017.

- SBM-U requires ULBs to undertake awareness generation drives for sanitation in order to bring about behaviour change. 337 sanitation intensive drives were conducted across 188 districts in 20 states as of January 18, 2017. More than 70 per cent of these were conducted in five states alone, and more than 56 per cent in the three states of Rajasthan, Chhattisgarh, and Karnataka.

OUTCOMES

- The guidelines provide a detailed process of ODF declaration and verification. In the first stage, ULBs have to obtain a self-declaration of ODF from all the wards of the city. In the second stage, the ULB can make a preliminary public declaration of ODF for the city, and request feedback from the public. Subsequently, a final resolution is adopted by the ULB and communicated to their respective state governments. The state government is required to verify the ODF status of the city through an independent, third-party verification process. Finally, the MOUD is to carry out the 'Swachh Certification' process, which require recertification every six months. The Quality Council of India (QCI) has been assigned the work of verification and certification for ODF.

GUJARAT AND ANDHRA PRADESH HAVE THE HIGHEST NUMBER OF ODF ULBS



Source: MOUD, GOI, Lok Sabha, Unstarred question no. 2435, 30 November 2016. Available online at: <http://164.100.47.190/loksabhaquestions/annex/10/AU4481.pdf>. Last accessed on 18 January, 2017.

- As of 18 January, 2017, a total of 332 ULBs across 15 states had been declared ODF. There are, however, discrepancies between a district ODF declaration under SBM-Gramin and city ODF declaration under SBM-U. In some states including Haryana, Himachal Pradesh, Punjab and West Bengal, multiple districts have been declared ODF, but no cities have received the status.