



BUDGET BRIEFS

Vol 11/ Issue 8

Swachh Bharat Mission - Urban (SBM-U) Gol, 2019-20

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

Using government data, this brief reports on:

- Allocations, releases, and expenditures,
- State-wise and component wise trends in releases,
- Progress on toilets built,
- Progress on Solid Waste Management (SWM), and
- Open Defecation Free (ODF) status.

Cost share and implementation:

The total SBM-U project cost is estimated at ₹62,009 crore, of which Gol's share is ₹14,623 crore. States and Union Territories (UTs) are to contribute a minimum of ₹4,874 crore. The remainder is to be financed by private entities, market borrowings, and user charges, etc.

Complete state-wise release data is publicly available up to FY 2017-18 till 20 March 2018.

HIGHLIGHTS

₹ 48,032 cr

Gol allocation for Ministry of Housing and Urban Affairs (MoHUA) for FY 2019-20

₹ 2,650 cr

Gol allocations for SBM-U in FY 2019-20

SUMMARY & ANALYSIS

- In Financial Year (FY) 2019-20, Gol allocated ₹2,650 crore to SBM-U. This is a 6 per cent increase over the previous year's Revised Estimate (RE). Gol has cumulatively allocated 85 per cent of its total estimated mission share across the 5 mission years.
- Since inception till 31 January 2019, a total of 57.63 lakh Individual Household Latrines (IHHLs) had been constructed accounting for 87 per cent of the revised IHHL target. Similarly, 95 per cent of the target for Community and Public Toilets (CTs/PTs) construction had been completed by 31 January 2019.
- As of 12 June 2019, 90 per cent of all wards had 100 per cent door-to-door waste collection. However, only 42 per cent of wards had 100 per cent segregation of waste at source.
- India generated 1.45 lakh metric tons of waste per day as of 12 June 2019. However, waste processing capacity remained low at 54 per cent.
- Till 31 January 2019, 8 per cent of total releases for Information, Education, and Communication (IEC), amounting to 45 per cent of its mission allocations had been released.
- Twenty three states and UTs have been declared Open Defecation Free (ODF), out of which 14 have also been certified ODF, as of 12 June 2019.

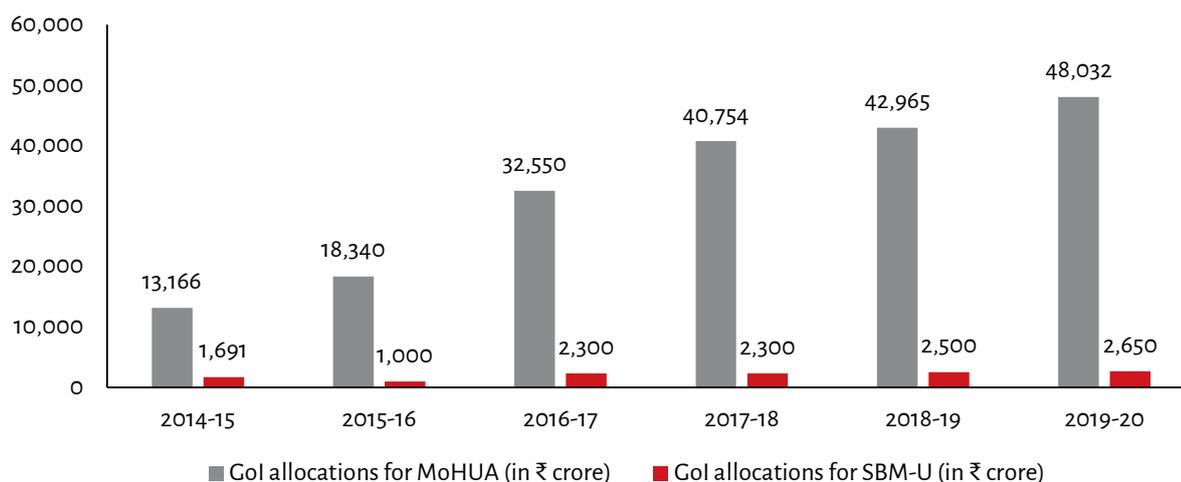
TRENDS IN STATE-WISE RELEASES AND EXPENDITURES

- Launched on 2 October 2014, the SBM-Urban is Government of India's (GoI) flagship programme to achieve universal sanitation coverage in urban areas. The scheme is run by the Ministry of Housing and Urban Affairs (MoHUA), erstwhile Ministry of Urban Development (MoUD), and has the following objectives:
 - Eliminate open defecation by 2019,
 - 100 per cent collection and scientific processing of Municipal Solid Waste,
 - Convert insanitary toilets to pour flush toilets,
 - Eradicate manual scavenging,
 - Bring about a behavioural change in people regarding healthy sanitation practices,
 - Generate awareness among the citizens about sanitation and its linkages with public health,
 - Strengthen Urban Local Bodies (ULBs) to design, execute and operate systems, and
 - Create an enabling environment for private sector participation in capital expenditure and Operation and Maintenance costs.

Allocations

- The estimated cost for the programme is ₹62,009 crore, of which GoI's share is ₹14,623 crore. It is estimated that another 25 per cent of the total cost would be borne by states/ULBs. The remaining funds are proposed to be generated through other sources such as private sector participation, market borrowing, user charges, Corporate Social Responsibility, and the Swachh Bharat Kosh.
- In FY 2019-20, GoI allocated ₹2,650 crore to the scheme, 6 per cent higher than the allocation for FY 2018-19, but 4 per cent lower than the Interim Budget.
- During the same period, allocations for MoHUA increased by 12 per cent. In FY 2019-20, SBM-U accounts for 6 per cent of MoHUA's total budget.

SBM-U ALLOCATIONS INCREASED BY 6% IN THE MISSION'S FINAL YEAR



Source: India Expenditure Budget, Vol 2, for Ministry of Urban Development till FY 2017-18 renamed Ministry of Housing and Urban Affairs for FY 2018-19. Available online at www.indiabudget.gov.in.

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

Releases

- The first instalment of Gol releases is contingent on states submitting a proposal on anticipated demand and a brief concept note. Subsequent instalments are to be released based on the submission of City Sanitation Plans, State Sanitation Strategy, Utilisation Certificates (UCs) of previous grants, physical and financial progress, and other indicators, as approved and desired by the National Advisory and Review Committee (NARC).
- Release of funds by Gol has been low. Between FY 2014-15 and FY 2018-19, till 31 January 2019, out of the total allocation of ₹14,013 crore for states only ₹8,291 crore, equivalent to 59 per cent of Gol's allocation had been released. This amounts to only 57 per cent of Gol's total mission allocation of ₹14,623 crore.

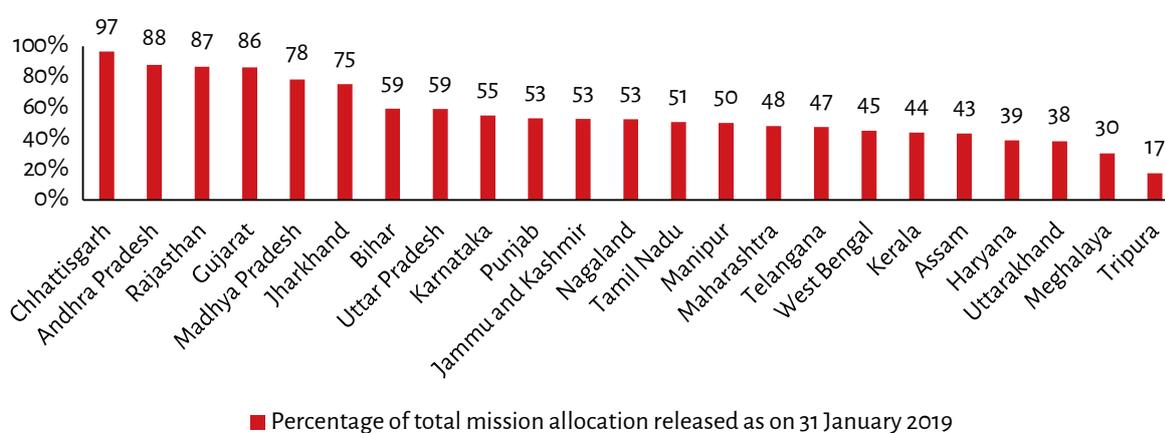
Expenditures

- At the time of preparing this brief, complete data was not available on utilisation of funds for FY 2017-18 and FY 2018-19. The UCs for funds spent during FY 2017-18 and FY 2018-19 are due in the current financial year and FY 2020-21, respectively.

TRENDS IN STATE-WISE RELEASES AND EXPENDITURES

- SBM-U aims to cover 4,041 statutory towns as identified by Census 2011. State-wise shares of total Gol allocations for the mission period (2014-2019) are determined based on the number of statutory towns, their respective populations, and open defecation rates. Trends in state-wise releases are available from the start of the mission till 31 January 2019, and then for FY 2019-20 till 12 June 2019.
- Till 31 January 2019, Chhattisgarh had already received 97 per cent of its total mission allocation. Similarly, Andhra Pradesh (88 per cent), Rajasthan (87 per cent), and Gujarat (86 per cent) had received a high proportion of their mission allocations as well. In contrast, releases were below 50 per cent of the allocated mission funds in 18 states and UTs, including Haryana, Odisha, Telangana, and West Bengal.
- In FY 2019-20, till 12 June 2019, 10 per cent of funds allocated in the Interim Budget had been released. Tamil Nadu received ₹111 crore, the maximum released to any state in FY 2019-20. In contrast, 23 states and UTs had received no funds till 12 June 2019.

59% OF TOTAL MISSION ALLOCATIONS RELEASED TILL 31 JANUARY 2019



Source: Lok Sabha Unstarred Question No. 1533, answered on 12 February 2019. Available online at: <http://164.100.24.220/loksabhaquestions/annex/17/AU1533.pdf>. Last accessed on 1 July 2019.

TRENDS IN COMPONENT-WISE ALLOCATIONS AND EXPENDITURES

- SBM-U has 6 components and funds are released by Gol for each of these. These include—
 - o Construction of Individual Household Latrines (IHHLs), including conversion of insanitary toilets into pour flush latrines for 80 per cent of urban households previously defecating in the open and conversion of insanitary latrines into sanitary latrines for 100 per cent of the households;
 - o Construction of Community Toilets (CTs) for 20 per cent of the urban population previously defecating in the open;
 - o Construction of Public Toilets (PTs) for floating population (presumed at 5 per cent of total urban population);
 - o Solid Waste Management covering 80 per cent of the urban population (allowing for a 2 per cent increase year on year);
 - o Information, Education and Communication and Public Awareness;
 - o Capacity Building and Administration.

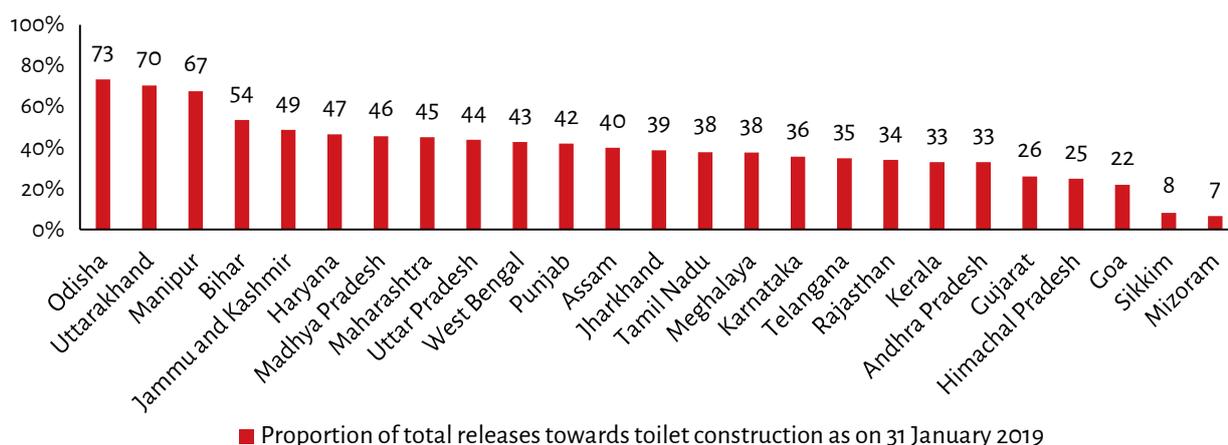
CONSTRUCTION OF IHHLs AND CTs/PTs

- **IHHLs:** IHHLs are basic, low-cost toilets provided to any household that does not have access to an individual household toilet or has an insanitary toilet (dry/bahou and single pit latrine). In urban areas, an incentive of ₹4,000 per IHHL is provided to households by Gol post construction. This incentive is ₹10,800 for Northeastern and Hilly states. States are to contribute a minimum of ₹2,667 per IHHL, while Northeastern and Hilly states are to contribute ₹1,200 per IHHL. However, incentives vary across states depending on the willingness of the state to increase its share on toilet construction.
- **CTs/PTs:** CTs under SBM-U are a shared facility for a group of residents, usually in low-income/informal settlements. PTs, on the other hand, are built in public spaces and cater to floating populations and passers-by.
- Gol provides financial assistance of ₹39,200 per CT/PT post construction. Gol's contribution is the same for Northeastern and Hilly states. States are to contribute ₹26,134 per unit and Northeastern and Hilly states are to contribute ₹4,356 per CT/PT unit. Financial assistance for CT/PTs can vary across states depending on the willingness of the state to provide assistance beyond the minimum financial assistance defined in the SBM-U programme guidelines.

Releases

- Up till 31 January 2019, toilet construction (IHHLs and CTs/PTs) had received 40 per cent of the total funds released for SBM-U.
- There are, however, state differences. More than 60 per cent of all releases in Odisha, Uttarakhand, and Manipur were for toilet construction. In contrast, releases for toilet construction were less than 10 per cent for Sikkim (8 per cent) and Mizoram (7 per cent).

40% OF TOTAL RELEASES WERE FOR TOILET CONSTRUCTION AS ON 31 JANUARY 2019



Source: Lok Sabha Unstarred Question No. 1533, answered on 12 February 2019. Available online at: <http://164.100.24.220/loksabhaquestions/annex/17/AU1533.pdf>. Last accessed on 1 July 2019.

- There are differences in the year-wise share of funds released for toilet construction (IHHLs and CT/PTs) as well. In FY 2015-16, 95 per cent of total releases for construction had been for IHHLs and only 5 per cent for CT/PTs. In FY 2017-18, the share of releases for IHHLs had decreased to 70 per cent, while that for CT/PTs had increased to 30 per cent. In FY 2018-19, till 31 January 2019, 81 per cent of the total fund released for toilet construction had been for IHHLs and the remaining 18 per cent for CT/PTs.

Expenditures

- In FY 2015-16, ₹730 crore had been released for toilet construction, out of which ₹717 crore had been utilised, accounting for 98 per cent of the released amount. Subsequently, utilisation decreased to 90 per cent in FY 2016-17, and further decreased to 82 per cent in FY 2017-18.
- At the time of preparing this report, complete data was not available for release and expenditure during FY 2018-19. However, till 31 January 2019, only ₹45 crore or 9 per cent of the ₹529 crore released, had been utilised.

INFORMATION, EDUCATION, AND COMMUNICATION

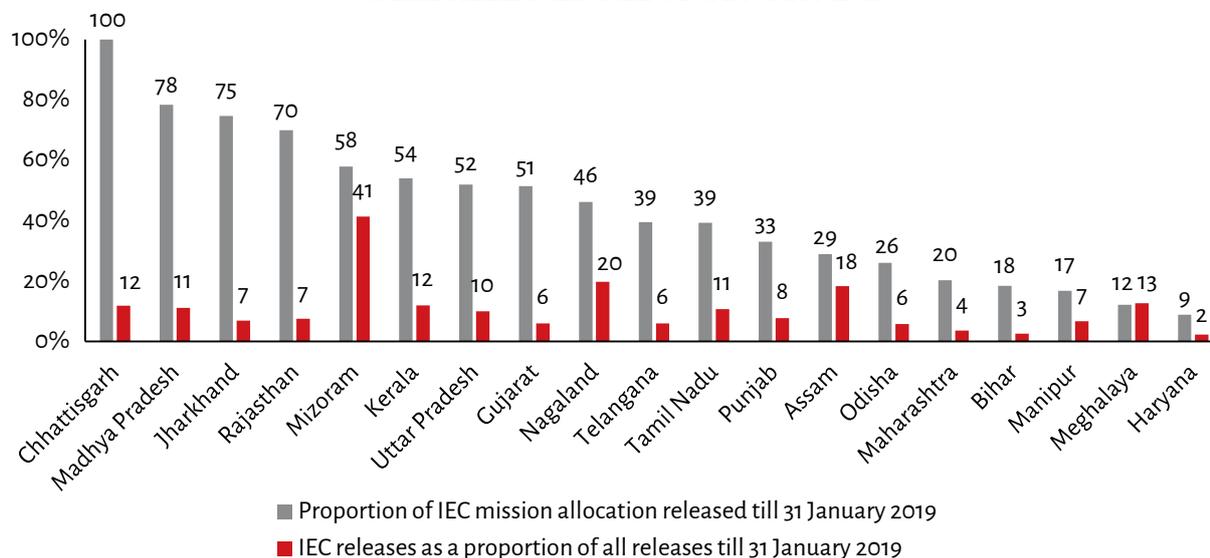
- According to the SBM-U guidelines, 15 per cent of Gol's share must be spent on IEC. Of this, 12 per cent of the IEC pool has to be released to the states, while the remaining 3 per cent is to be used for Gol mass media campaigns.

Releases

- Cumulatively, till 31 January 2019, only 8 per cent of total Gol releases had been for IEC, lower than the norm. There are, however, significant state differences. More than 12 per cent of total Gol releases were for IEC in 17 states and UTs including Tripura (44 per cent), Mizoram (41 per cent), and Sikkim (31 per cent).
- IEC seems to have been prioritised in FY 2019-20. By the first quarter of the fiscal year, 31 per cent of all of Gol's releases have been for IEC.
- The total allocations for IEC during the mission period is earmarked to be ₹1,828 crore. Of this, ₹1,462 crore is to be released by Gol to states, as per the mission allocation framework. Between April 2014 and 31 January 2019, only ₹653 crore or 45 per cent of Gol's IEC allocation had been released to states.
- There are state variations in the percentage of IEC funds released against total mission fund allocated for IEC. Between October 2014 and 31 January 2019, 20 states and UTs had received less than 50 per cent of the funds allocated for IEC.

- Releases were particularly low in Haryana (9 per cent), Meghalaya (12 per cent), Manipur (17 per cent), and Bihar (18 per cent). In contrast, releases were high in Chhattisgarh (100 per cent), Madhya Pradesh (78 per cent), and Jharkhand (75 per cent).

8% OF TOTAL RELEASES FOR IEC AMOUNTING TO 45% OF IEC MISSION ALLOCATIONS WERE RELEASED TILL 31 JANUARY 2019

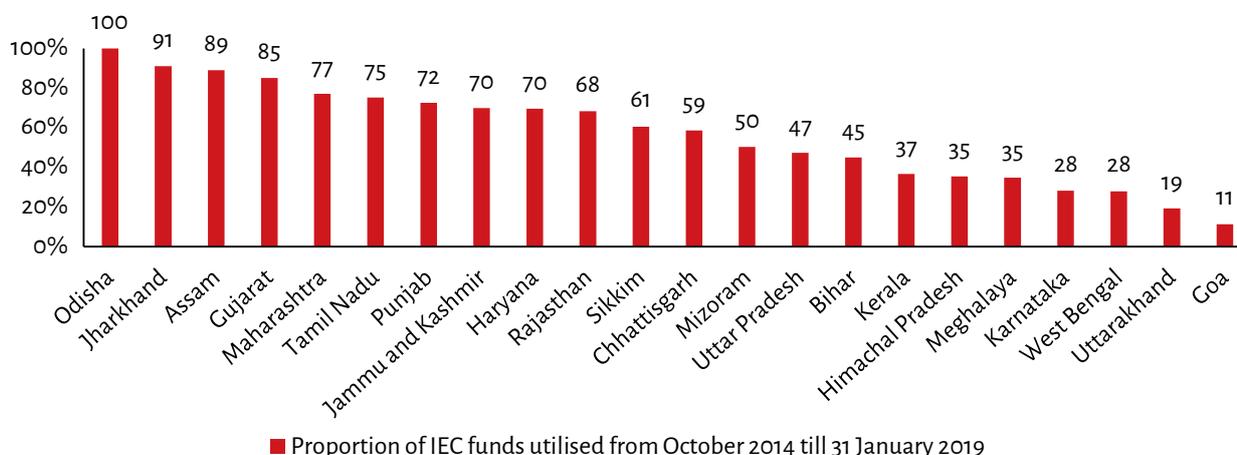


Source: Lok Sabha Unstarred Question No. 1533, answered on 12 February 2019. Available online at: <http://164.100.24.220/loksabhaquestions/annex/17/AU1533.pdf>. Last accessed on 1 July 2019.

Expenditures

- Cumulatively, since the start of the programme till 31 January 2019 (latest data available), 67 per cent of the total funds released for IEC have been utilised. Six states and UTs, including Andhra Pradesh, Arunachal Pradesh, Madhya Pradesh, Manipur, and Odisha had utilised 100 per cent of the IEC funds released to them.

67% OF THE TOTAL FUNDS RELEASED FOR IEC HAD BEEN UTILISED TILL 31 JANUARY 2019

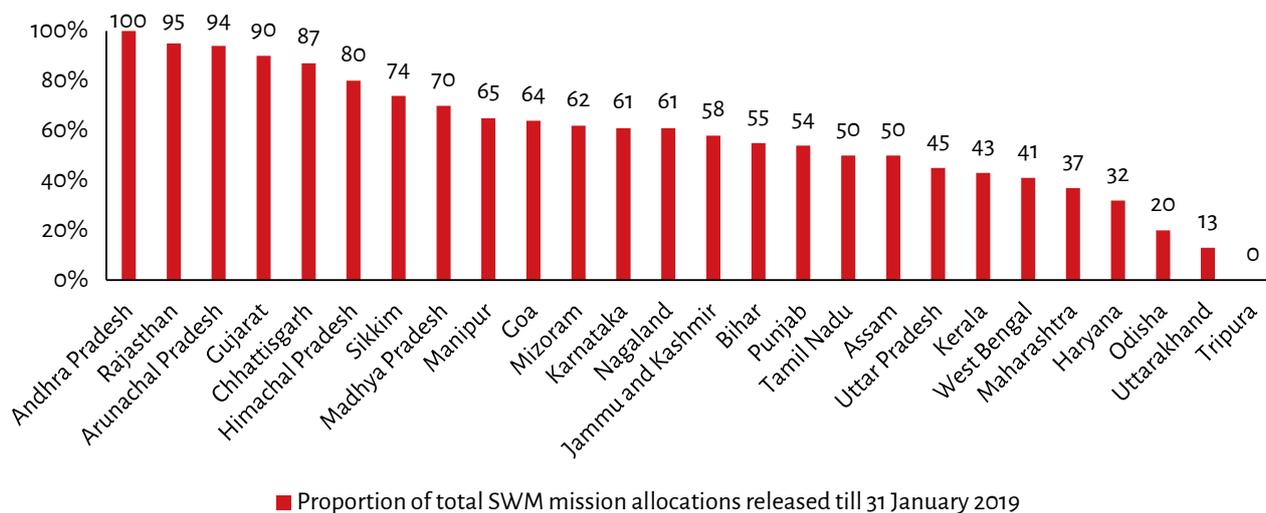


Source: Lok Sabha Unstarred Question No. 348, answered on 5 February 2019. Available online at: <http://164.100.24.220/loksabhaquestions/annex/17/AU348.pdf>. Last accessed on 1 July 2019.

SOLID WASTE MANAGEMENT

- 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, storage prior to processing, treatment, and final disposal. The mission seeks to cover all 4,041 statutory towns/cities for SWM.
- Under SBM-U, a total of ₹7,366 crore has been earmarked for improving SWM systems. With a few months left for the completion of the mission, only ₹4,057 crore or 56 per cent had been released to states till 31 January, 2019.
- Andhra Pradesh received 100 per cent of its mission allocation for SWM. Releases had crossed 90 per cent of mission allocations in Arunachal Pradesh and Rajasthan. In contrast, releases were below 50 per cent in 15 states and UTs, including Uttar Pradesh, Bihar, Chhattisgarh, Odisha, and West Bengal.
- Tripura and 2 UTs had not received any funds for SWM since the start of the mission.

59% OF TOTAL MISSION ALLOCATIONS FOR SWM RELEASED TILL 31 JANUARY 2019

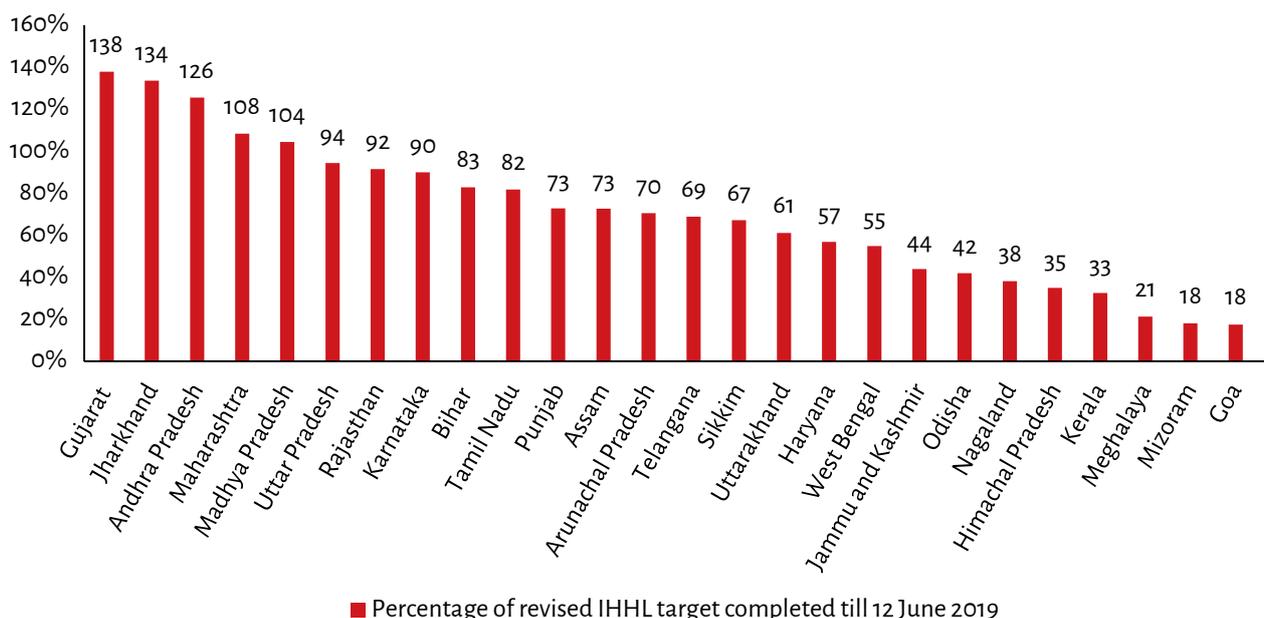


Source: Lok Sabha Unstarred Question No. 1533, answered on 12 February 2019. Available online at: <http://164.100.24.220/loksabhaquestions/annex/17/AU1533.pdf>. Last accessed on 1 July 2019.

TRENDS IN COMPLETIONS AND ACHIEVEMENTS

- In 2014, the mission set a target of building 1.04 crore IHHLs. This was later revised by 36 per cent in February 2017 to 66.42 lakhs.
- Till 12 June 2019, 57.63 lakh IHHLs had been constructed accounting for 87 per cent of the total revised IHHL target. Maharashtra achieved the revised target for IHHL construction between 31 December 2018 and 12 June 2019. In contrast, IHHL construction in NCT of Delhi remained below 1 per cent during the same period. Out of the 27 states and UTs that had not met the revised targets, 5 states and UTs had not constructed a single toilet between 31 December 2018 and 12 June 2019, including West Bengal, Sikkim and Nagaland.

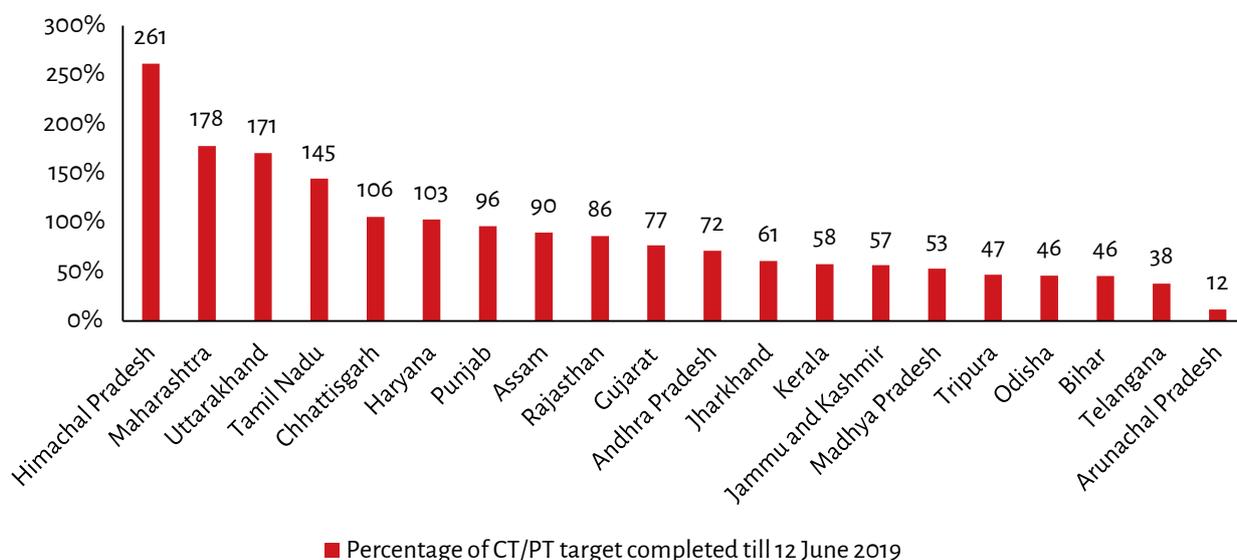
57.63 LAKH – 87% OF THE REVISED IHHL MISSION TARGET COMPLETED BY 12 JUNE 2019



Source: (1) RTI response by MoHUA dated 13 June 2019. (2) Revised IHHL Targets from SBM-U portal. Available online at: <http://164.100.228.143/sbm/home/#/SBM>. Last accessed on 1 July 2019.

- **CT/PTs:** Targets for CT/PTs are based on the number of seats and not as per toilet blocks. At the start of the mission, SBM-U set a target of constructing 5.08 lakh CT/PTs by 2019.
- By 12 June 2019, 4.81 lakh CT/PTs had been built, accounting for 95 per cent of the mission target. Twelve states and UTs had exceeded their mission targets for CT/PTs. Other states with high completion include Punjab (96 per cent), Karnataka (94 per cent), and Uttar Pradesh (91 per cent).

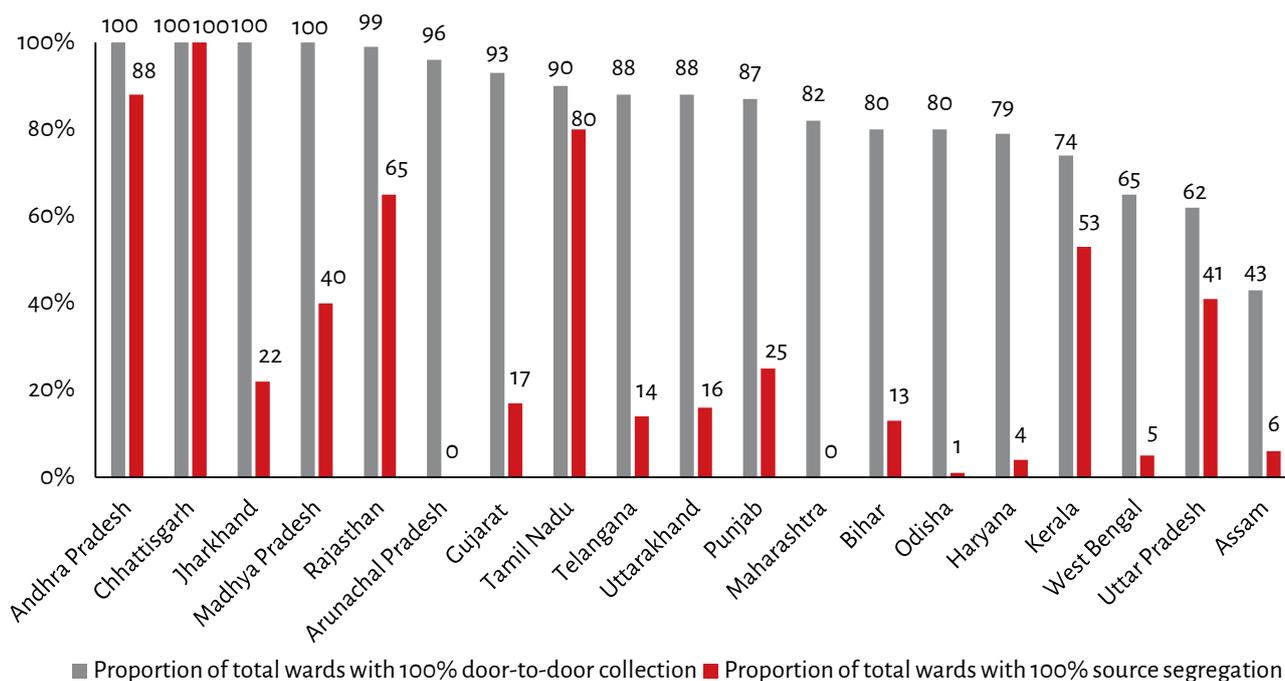
4.81 LAKH CT/PTS CONSTRUCTED – 95% OF MISSION TARGET COMPLETED BY 12 JUNE 2019



Source: (1) RTI response by MoHUA dated 13 June 2019. (2) Revised IHHL Targets from SBM-U portal. Available online at: <http://164.100.228.143/sbm/home/#/SBM>. Last accessed on 1 July 2019.

- **Waste Collection:** Between 2014 and 2019, SBM-U aims to achieve 100 per cent door-to-door waste collection. By 12 June 2019, 75,938 wards or 90 per cent of the total identified wards (84,229) had achieved 100 per cent door-to-door waste collection.
- Twenty states had achieved 100 per cent door-to-door waste collection in more than 90 per cent of wards. Out of these, 13 states had attained 100 per cent door-to-door collection as of 12 June 2019. On the other hand, Northeastern states such as Meghalaya, Tripura, and Nagaland lagged behind with 100 per cent door-to-door waste collection in only 24 per cent, 25 per cent and 44 per cent of wards, respectively.
- Not all states with 100 per cent door-to-door waste collection had achieved waste segregation at source. As per the report of the Twenty Fifth Standing Committee on Urban Development (2018-19) of the 16th Lok Sabha, tabled on 12 February 2019, on average in India, only around one-third of wards had 100 per cent waste segregation at source.
- Jharkhand and Madhya Pradesh had 100 per cent door-to-door waste collections as of June 2018, but only 22 per cent and 40 per cent of wards, respectively, had segregation at source. Two states, Chhattisgarh and Karnataka, had 100 per cent segregation at source in 100 per cent of their wards as of June 2018.

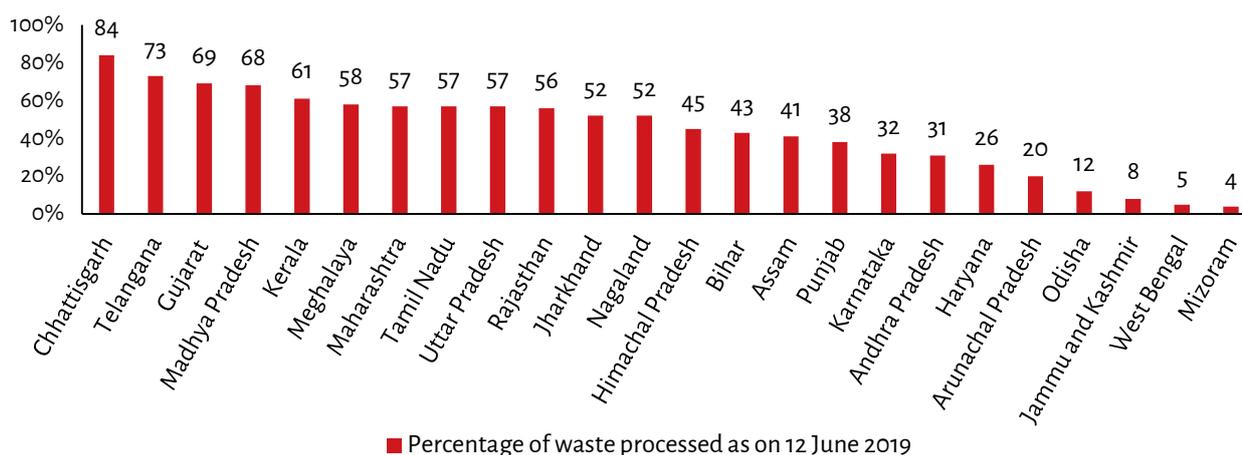
CHHATTISGARH HAD 100% SOURCE SEGREGATION OF WASTE AS ON JUNE 2018



Source: Report of the Twenty Fifth Standing Committee on Urban Development (2018-19) of Lok Sabha XVI, tabled on 12 February 2019. Available online at: http://164.100.47.193/lssccommittee/Urban%20Development/16_Urban_Development_25.pdf. Last accessed on 1 July 2019.

- As of 12 June 2019, Maharashtra had generated the highest amount of waste per day (22,570 metric tons), accounting for 16 per cent of the total waste generated nationally (1.45 lakh metric tons per day).
- Only 54 per cent of the waste generated nationally is processed. Seventeen states process more than 50 per cent of the waste that they generate, including Maharashtra which processes 55 per cent of its waste.
- On the other hand, 5 states process less than 10 per cent of their waste. Arunachal Pradesh and Sikkim do not process any of their waste, as of 12 June 2019.
- As per the Standing Committee on Urban Development's report, waste to compost plants are present in 145 cities with cumulative plant capacity of 62 lakh metric tons per annum. Together these plants can produce 13 lakh metric tons of compost annually.
- Additionally, 36 waste to energy plants, 3 construction and demolition waste processing plants, and 4 material recovery facilities are under construction, as of 5 February 2019.

ONLY 54% OF THE WASTE GENERATED ACROSS INDIA WAS PROCESSED AS OF 12 JUNE 2019

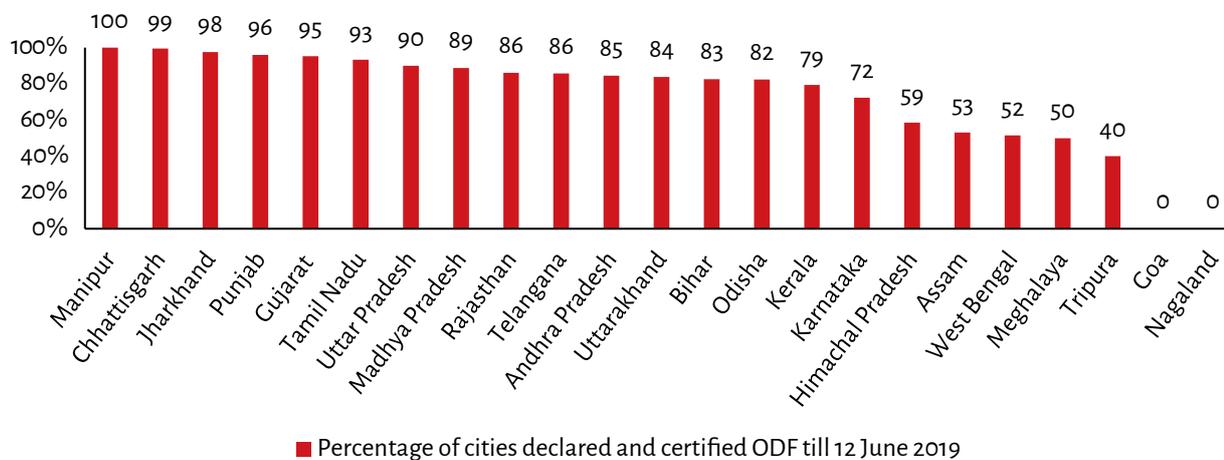


Source: RTI request to MoHUA dated 13 June 2019.

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 the respective state governments.
- States are required to verify the status of ODF of the city through an independent, third party verification process. Finally, MoHUA is to carry out the “Swachh Certification” process, which also needs to be re-certified every six months. The Quality Council of India (QCI) has been awarded the work for verification and certification for ODF.

23 STATES AND UTS HAD BEEN DECLARED ODF AND 14 STATES HAD BEEN DECLARED AND CERTIFIED ODF TILL 12 JUNE 2019



Source: ODF Certification Portal. Available online at: <http://sbmodf.in/>. Last accessed on 12 June 2019.

- As on 12 June 2019, 23 states had been declared ODF and 14 states had been declared and certified ODF. However, as per data available on city-level ODF declaration and certification till 12 June 2019, only 4 states and UTs had 100 per cent ODF declared and certified cities. These are Chandigarh, Dadra and Nagar Haveli, Manipur, and Andaman and Nicobar Islands.