Swachh Bharat Mission-Gramin (SBM-G)  
GoI, 2017-18

HIGHLIGHTS

₹ 20,011 cr  
GoI allocations for Ministry of Drinking Water and Sanitation (MDWS) in FY 2017-18

₹ 13,948 cr  
GoI allocations for SBM-G in FY 2017-18

SUMMARY & ANALYSIS

1. In Financial Year (FY) 2017-18, ₹13,948 crore was allocated for SBM-G, a 33 per cent increase over the previous year. SBM-G is now the largest scheme of MDWS, accounting for 70 per cent of its total allocations.

2. Expenditure as a proportion of funds available has been increasing. In FY 2015-16, 97 per cent of funds available were spent. This increased significantly in FY 2016-17, with more funds spent than available. In FY 2017-18, till 15 January 2018, 80 per cent of funds available had been spent.

3. In FY 2017-18, till 15 January 2018, 96 per cent of all expenditure had been for the construction of Individual Household Latrines (IHHLs).

4. As on 15 January, 2018, 76 per cent of all households had access to IHHLs. Odisha and Bihar had the lowest coverage at 45 per cent and 38 per cent, respectively.

5. SBM-G guidelines require 8 per cent of allocations to be utilized for Information, Education and Communication (IEC). In no year has this 8 per cent target been met. Expenditure on IEC, however, is picking up pace. In FY 2017-18, till 15 January 2018 ₹229 crore was spent on IEC, up from ₹124 crore in FY 2016-17.

6. 10 states and UTs and 3,09,709 villages have been declared ODF as of 15 January 2018. Verification however is lower. Only 64 per cent of villages declared ODF have been verified.
TRENDS IN GOI ALLOCATIONS AND RELEASES

- In October 2014, 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 administered by the Ministry of Drinking Water and Sanitation (MDWS).

Allocations

- In FY 2017-18, GoI allocated ₹13,948 crore to SBM-G, a 33 per cent increase over the previous financial year. Allocations for MDWS, however, have not kept pace. Between FY 2014-15 and FY 2017-18, whilst allocations for rural sanitation increased nearly five times, allocations for MDWS increased by less than two-fold. Consequently, SBM-G is now the largest programme of MDWS accounting for 70 per cent of its total budget, up from 24 per cent in FY 2014-15. The National Rural Drinking Water Mission, which is the other main programme under the Ministry has seen its allocations stagnate from ₹6,000 crore in FY 2016-17 to ₹6,050 crore in FY 2017-18.

Releases

- Budgets for SBM-G are determined through a process of negotiation between the GoI and state governments. The negotiation is based on project proposals called Annual Implementation Plans (AIPs) developed at the Gram Panchayat (GP) level and consolidated at the state level. Final approvals rest with MDWS. Funds are released based on approved budgets.

- Release of funds by GoI has improved in the last three years. In FY 2014-15, GoI released 96 per cent of its total allocation (release numbers calculated from date of sanction). This increased to 102 per cent in FY 2015-16 and 101 per cent in FY 2016-17. In FY 2017-18, till 15 January 2018, 79 per cent of GoI’s allocations for the year, had been released to states.

- There have also been improvements in the pace of fund release. In FY 2015-16, 40 per cent of GoI allocations were released in the last quarter of the financial year. Releases have been steady in FY 2017-18 with the first three quarters witnessing 28 per cent, 24 per cent, and 27 per cent of allocations released, respectively.
Expenditures

- Total funds available in a given year include opening balances (that is, unspent from previous years), releases by both GoI and states and interest earned. Expenditure as a proportion of funds available has been increasing. In FY 2014-15, only 58 per cent of total funds available were spent. This increased significantly in FY 2016-17 with more funds spent than available. In FY 2017-18 till 15 January 2018, 80 per cent of the available funds had been spent.

- There are however significant differences at the state level, with many states incurring expenditure which is yet to be approved by GoI. On including unapproved expenditure, till 15 January 2018, 99 per cent of funds available had been spent at an all India level.

**MORE THAN THREE-FOURTHS OF AVAILABLE FUNDS SPENT AND APPROVED TILL 15 JANUARY 2018**

<table>
<thead>
<tr>
<th>Year</th>
<th>Percentage of funds available spent (approved)</th>
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<tbody>
<tr>
<td>2014-15</td>
<td>58%</td>
</tr>
<tr>
<td>2015-16</td>
<td>97%</td>
</tr>
<tr>
<td>2016-17</td>
<td>103%</td>
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<tr>
<td>2017-18 (Till January 15)</td>
<td>80%</td>
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- Utilization has been consistently higher than funds available for a number of states resulting in large negative opening balances every year. In FY 2017-18, 11 states had started the year with a negative opening balance including Rajasthan, Tamil Nadu, West Bengal, Odisha, and Madhya Pradesh.

- For instance, Odisha began FY 2017-18 with a negative balance of ₹523 crore and was released ₹579 crore. However, the expenditure of ₹483 crore incurred till 15 January 2018 has resulted in its retaining a negative balance of ₹427 crore. Similarly, Rajasthan, which began the financial year with a negative balance of ₹690 crore, had only ₹492 crore released, and the expenditure of ₹1,241 crore has resulted in a negative balance of ₹1,439 crore as on 15 January 2018.
WEST BENGAL HAD SPENT MORE THAN THREE TIMES ITS AVAILABLE FUNDS

- Percentage of funds available spent in 2016-17
- Percentage of funds available spent in 2017-18, including unapproved (till 15 January 2018)

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 (IEC) activities to push for behaviour change
  - Construction of Individual Household Latrines (IHHLs)
  - Construction of community sanitary complexes
  - Construction of school toilets and hygiene education
  - Construction of anganwadi toilets
  - 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 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.

- An incentive of ₹12,000 is given to eligible households 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 IHHL’s account for the largest share of all spending. In FY 2016-17, 98 per cent of all expenditure was for IHHL construction. Similarly, in FY 2017-18, till 15 January 2018, 96 per cent of all expenditure had been incurred towards IHHLs.

Understandably, the states which have been declared ODF are exceptions to this rule, given that ODF declarations are predicated on toilet coverage. Thus as a share of total expenditure, Kerala (12 per cent), Himachal Pradesh (2 per cent), and Sikkim (0 per cent), have incurred a lesser share of expenditure on IHHL construction.

States which have been declared ODF over FY 2017-18 such as Gujarat and Chhattisgarh have spent most of their money on IHHL construction till 15 January 2018. During this period, Gujarat spent 97 per cent and Chhattisgarh spent 95 per cent on IHHL construction respectively. The exception is Haryana which despite also being declared ODF in FY 2017-18, spent only 3 per cent of its funds on IHHLs till 15 January, 2018. This was due to the fact that the Haryana government took a policy decision to not give IHHL construction incentives.

Construction seems to pick up in the third and fourth quarters of the year. In FY 2016-17, 32 per cent and 35 per cent of all constructions took place in the third and fourth quarters respectively. In FY 2017-18 as well, while 33 per cent of all constructions took place in the first quarter, the third quarter accounted for 42 per cent of all toilets constructed, till 15 January 2018.

This clustering towards the end of the year is even more starkly visible for some states. Nagaland constructed 95 per cent of all its toilets for FY 2016-17 in March 2017, the last month of the financial year. Haryana too constructed 45 per cent of its toilets for FY 2016-17 in March 2017.

Pace of IHHL construction has increased. 37 per cent of all toilets constructed since the mission started, being built in FY 2016-17. After three quarters of FY 2017-18, another 34 per cent had been added to the total.

Toilet Coverage

IHHL coverage stood at 76 per cent of all households as on 15 January 2018. There are however state level differences in terms of IHHL coverage with several states still lagging. Bihar and Odisha have the lowest coverage with 38 per cent and 45 per cent of all households with toilet access, respectively. Others, such as Rajasthan and Maharashtra report close to universal access at 98 per cent.
LESS THAN HALF THE HOUSEHOLDS OF ODISHA AND BIHAR HAVE TOILET ACCESS

![Bar chart showing percentage of IHHL coverage as on 15 January 2018](chart.png)


- Another objective of SBM-G is to convert insanitary toilets to sanitary toilets. Insanitary toilets are defined as those which lack a mechanism for safe disposal of faecal waste, and this needs to be removed by human hands, serviced by animals, or dumped into an open drain.

- Till 15 January 2018, 94 per cent of the 2,80,011 insanitary toilets found across the country had been converted to sanitary latrines. The only states yet to achieve 100 per cent conversion are, Arunachal Pradesh (39 per cent of 19,273), Jammu and Kashmir (48 per cent of 10,747), and Rajasthan (81 per cent of 534).

Information, Education and Communication Activities

- According to the guidelines, 8 per cent of total allocation under SBM-G is to be utilized for IEC activities. Of this, 3 per cent is to be utilized at the GoI level and 5 per cent at the state level. The mission is yet to meet this benchmark in any year.

- Between FY 2014-15 and FY 2016-17 expenditure on IEC declined in both percentage and absolute terms. In FY 2014-15, ₹157 crore was spent on IEC, accounting for 4 per cent of the total scheme expenditure. This decreased to ₹147 crore or 1 per cent in FY 2015-16 and ₹124 crore (1 per cent) in FY 2016-17.

- FY 2017-18 however has seen greater focus on IEC, with ₹229 crore spent in the first three quarters under this head. IEC expenditures account for 2 per cent of all expenditure till January 15 2018. This is however still far lesser than the 8 per cent benchmark set by the guidelines.

- At the start of every year, states set targets for the activities to be undertaken for IEC. While no state had met its target in FY 2016-17, and only Nagaland has met its IEC target in FY 2017-18, the increased expenditure in this financial year has allowed for greater progress to be made towards IEC target completion.

- Some ODF states like Uttarakhand and Haryana seem to be placing more efforts on IEC activities and have made much more progress towards their IEC targets till 15 January 2018, as compared to FY 2016-17. Kerala however is still to complete even 10 per cent of its target.
According to the guidelines, states may mobilise frontline workers in Gram Panchayats (GPs) dedicated to working towards behaviour change, known as Swachhagrahis. While these are ideally meant to be local volunteers, the guidelines allow for payments to be made to Swachhagrahis, in order to incentivise outcomes.

Since the start of the mission and as of 15 January 2018, 70 per cent of all 2,57,041 GPs reported having engaged Swachhagrahis. Of the total of 3,77,169 Swachhagrahis engaged, 48 per cent were working on a voluntary basis.

There are however significant state wise differences. Only 2 states Karnataka, and Sikkim, managed to engage Swachhagrahis in all their GPs. Engagement of Swachhagrahis was also high in Chhattisgarh, Andhra Pradesh, Jharkhand, and Gujarat. At least 99 per cent of GPs in these states engaged a Swachhagrahi as on 15 January 2018.

Himachal Pradesh, Kerala, Haryana, and Uttarakhand, which have been declared ODF had Swachhagrahis in 98 per cent, 91 per cent, 83 per cent, and 73 per cent of their GPs, respectively. Arunachal Pradesh however had Swachhagrahis only in 35 per cent of its GPs.
- Differences also exist across states in the number of Swachhagrahis identified per GP. West Bengal has the most number of Swachhagrahis per GP at 9. This is followed by Jharkhand with 6 Swachhagrahis per GP, and Himachal Pradesh at 5. Several states including Uttar Pradesh, Uttarakhand, Gujarat, Haryana, Jammu and Kashmir, Punjab, and Tamil Nadu had only 1 Swachhagrahi per GP.

Solid and Liquid Waste Management (SLWM)

- SBM-G provides funds for SLWM up to a cap of ₹7 lakh for GPs upto 150 households, ₹12 lakh for GPs upto 300 households, ₹15 lakh for GPs upto 500 households, and ₹20 lakh for GPs with more than 500 households. Funds are shared between GoI and states in a 75:25 ratio.

- Expenditure on SLWM has been very low but is picking up pace. Only ₹39 crore was spent across the country on SLWM in FY 2015-16. This increased to ₹73 crore in FY 2016-17. In FY 2017-18, till 15 January 2018, ₹79 crore has been spent.

- This increased in total SWM expenditure is primarily driven by the increase in Liquid Waste Management expenditure. Share of LWM in total SLWM expenditure has increased from 59 per cent in FY 2015-16 and to 70 per cent in FY 2017-18, till January 15 2018.

- However, 60,693 SLWM activities have been completed in 2,352 (out of 2,57,041) GPs in FY 2017-18 till 15 January, as compared to 86,123 activities in 2,100 (out of 2,57,143) GPs in FY 2016-17. 16 states and UTs had not completed any SLWM activities in FY 2017-18, till 15 January 2018.

- Only Himachal Pradesh at 16 per cent and Mizoram at 16 per cent report SLWM activities in more than a tenth of their GPs. Himachal Pradesh alone accounts for 39 per cent of all SLWM activities till 15 January 2018. Along with Telangana (12 per cent), it accounts for more than half of all SLWM activities across rural India.

OUTCOMES AND OPEN DEFECATION

- SBM stresses the objective of achieving ODF status defined in the guidelines as ‘the termination of faecal-oral transmission, defined by a) no visible faeces found in the environment/village; and b) every household as well as public/community institutions using safe technology option for disposal of faeces’.

- 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 undergo multiple rounds of verification before being accepted.

- As of 15 January 2018, 10 states and UTs have been declared ODF. These are Sikkim, Himachal Pradesh, Kerala, Haryana, Uttarakhand, Arunachal Pradesh, Chhattisgarh, Gujarat, Chandigarh, and Daman and Diu.

- A total of 3,09,709 (out of 6,04,084) villages have been declared ODF. However, only 64 per cent of these had been verified till 15 January 2018. In the states declared ODF, verification process is complete in all, except Chhattisgarh and Arunachal Pradesh. In Chhattisgarh, 80 per cent of the villages had been verified as ODF, and in Arunachal Pradesh only 17 per cent had been verified.

- The pace of both declarations as well as verifications is increasing. 15 per cent of all declarations were made in FY 2015-16, 44 per cent in FY 2016-17, and 40 per cent in FY 2017-18 till 15 January 2018. As against this, 9 per cent verifications were achieved in FY 2015-16, 33 per cent in FY 2016-17, and 58 per cent in FY 2017-18 till 15 January 2018.
There are however significant differences between states and the number of villages declared and verified as ODF. Thus, Rajasthan, Maharashtra and Punjab have declared more than 80 per cent of their villages ODF. Bihar (9 per cent), Jammu and Kashmir (7 per cent), and Tripura (2 per cent) have each declared less than 10 per cent of their villages ODF.

None of the villages declared ODF in these states had been verified till 15 January 2018.