

# SWACHH BHARAT MISSION - GRAMIN: PHASE II

## IN A GLANCE

March 2021

Government of India's (GoI's) flagship rural sanitation programme, the Swachh Bharat Mission - Gramin (SBM-G) is a Centrally Sponsored Scheme (CSS) within the purview of the Department of Drinking Water and Sanitation (DDWS), under the Ministry of Jal Shakti (MJS).

SBM-G completed its first phase on 2 October 2019. The key objective of Phase I was to provide universal access to toilets, primarily through the construction of Individual Household Latrines (IHHLs), and achieve Open Defecation Free (ODF) status.

Since the completion of Phase I, DDWS has updated India's sanitation strategy and the next phase of SBM-G has been launched.

This explainer uses GoI sources to provide an update on the changes in policy and budgets for SBM-G, the implementation of the scheme during COVID-19, status of toilet access and usage, and the path ahead.



## POLICY UPDATES

- In September 2019, DDWS launched the new 10 Year Rural Sanitation Strategy (2019-2029). This updated strategy focusses on sustaining ODF status, maintaining toilets constructed under Phase I, providing toilet access to left out or newly created households, and providing Solid and Liquid Waste Management (SLWM) in villages.
- In May 2020, DDWS released the guidelines for Phase II of SBM-G (revised in July 2020). These guidelines are designed to implement Phase II as per the vision set forth in the 10-year sanitation strategy. The major aim under Phase II is to declare villages as ODF Plus (as per the criteria defined in Table 1).
- In consonance with the 73rd Amendment to the Constitution and the 11th Schedule, Phase II guidelines emphasise the involvement of Panchayati Raj Institutions (PRIs) and Rural Local Bodies (RLBs) in sanitation planning, implementation, and monitoring.

Table 1: Criteria for ODF Plus declaration for Phase II



## Criteria for ODF Plus declaration for Phase II

All households in the village have access to a functional toilet facility.

Villages with more than 100 households should have a Community Sanitary Complex.

All schools/ Anganwadi Centres (AWCs)/ Panchayat Ghars in the village should have access to a functional toilet, with separate male and female toilets.

All public places in the village are observed to have minimal litter, minimal stagnant wastewater, and no plastic waste dump.

At least 80% households and all schools, AWCs, Panchayat Ghars have arrangement for managing biodegradable waste and liquid waste.

The village has a plastic segregation and collection system.

The village should prominently display at least five ODF-Plus Information, Education and Communication messages through wall paintings/billboards, etc. on each of the following themes:

- ODF Sustainability and continued toilet usage;
- Handwashing with soap;
- Biodegradable Waste Management through use of compost pits;
- Plastic Waste Management; and
- Liquid Waste Management through soak pits.

Source: Swachh Bharat Mission (Grameen): Phase II Operational Guidelines. Last accessed on 2 February 2021.

- The fund sharing pattern between the GoI and states has been updated for Phase II. There have also been changes in the amount available for the construction of Community Sanitary Complexes (CSCs) and SLWM (see Table 2).
- With respect to financing and fund flows for the states' share of funds towards SBM-G Phase II, the guidelines highlight the pooling of funds through 'convergence'[1]. This includes funds through the 15th Finance Commission (FC) Grants for RLBs, Mahatma Gandhi National Rural Employment Guarantee Scheme (MGNREGS), and Local Area Development Schemes for both Members of Parliament and Legislative Assemblies (MPLADS & MPLADS).

[1] The word 'convergence' implies integration of funds and/or implementation activities across two or more government schemes, programmes or funding sources to achieve a common output and/or outcome.

**Table 2: Funding norms for various components under SBM-G Phase I and II**

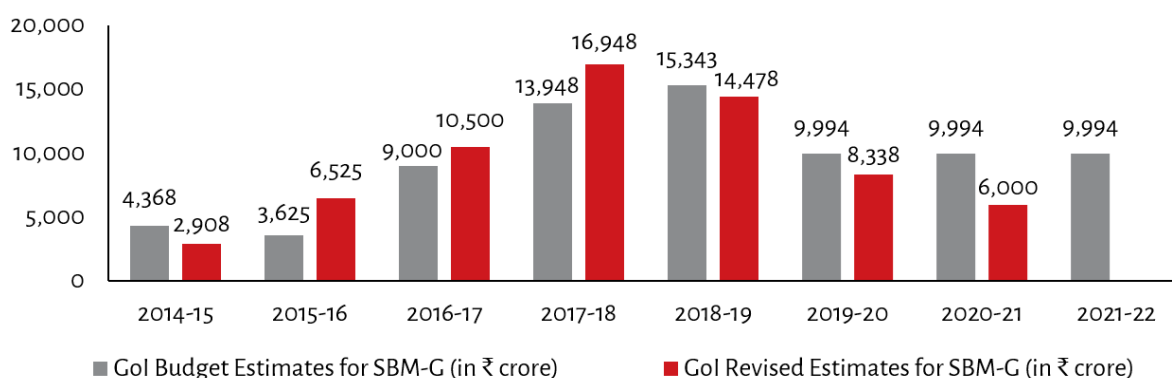
	Phase I	Phase II
IHHLs (₹12,000 incentive for eligible households to construct toilets with adequate water facilities)	<ul style="list-style-type: none"> <li>Funds were shared between Gol and states in a 60:40 ratio.</li> <li>The ratio was 90:10 for North Eastern states including Sikkim, and for Special Category States (Jammu and Kashmir, Himachal Pradesh, and Uttarakhand). For Union Territories (UTs), funds were 100 per cent from Gol.</li> <li>States had the flexibility to provide a higher incentive from their own funds.</li> </ul>	<ul style="list-style-type: none"> <li>Fund sharing pattern between Gol and states remains 60:40 for all states, 90:10 for North Eastern and Special Category states, and 100 per cent for UTs. Although Jammu and Kashmir is a UT, the funds are to be shared in a 90:10 ratio with Gol.</li> <li>Households are also encouraged to give up the incentive to promote ownership.</li> </ul>
Community Sanitary Complexes	<ul style="list-style-type: none"> <li>₹2 lakh per unit was prescribed as the maximum support for CSCs.</li> <li>Funds for CSCs were shared in a 60:30:10 ratio between Gol, states, and communities.</li> <li>This was in a 90:10 ratio between Gol and the community for UTs.</li> <li>As per the 14th Finance Commission, Gram Panchayats were advised to prioritise use of funds for water and sanitation, including CSCs.</li> </ul>	<ul style="list-style-type: none"> <li>₹3 lakh per unit is the prescribed support.</li> <li>30 per cent of the funds for CSCs must come from the Gram Panchayat through 15th Finance Commission (FC) tied grants for water and sanitation.</li> </ul>

	Phase I	Phase II
Village-level SLWM activities	<ul style="list-style-type: none"> <li>Funding for SLWM was calculated on a per household (HH) basis (₹7 lakh for up to 150 HHs, ₹12 lakh up to 300 HHs, ₹15 lakh up to 500 HHs, and ₹20 lakh for more than 500 HHs).</li> <li>The fund sharing ratio between GoI, states and UTs is the same as for IHHLs.</li> </ul>	<ul style="list-style-type: none"> <li>Funding norms for SLWM are calculated on a per capita basis (₹60 per capita for Solid Waste and ₹280 per capita for greywater management for up to 5,000 population, and ₹45 per capita for Solid Waste and ₹660 per capita for greywater management for villages with above 5,000 population).</li> <li>Of this amount, 30 per cent is to be borne through the 15th FC tied grant for water and sanitation.</li> </ul>
Information, Education and Communication (IEC)	<ul style="list-style-type: none"> <li>Funds for IEC were limited to 8 per cent of total SBM-G expenditure in a year, with up to 3 per cent at the GoI-level, and up to 5 per cent at the state-level.</li> <li>The fund sharing ratio was the same as for IHHLs.</li> </ul>	<ul style="list-style-type: none"> <li>5 per cent of the total amount for SBM-G can be used for IEC and capacity building, with up to 3 per cent at the state and district levels, and up to 2 per cent at the GoI-level.</li> <li>The fund sharing ratio is the same as for IHHLs under Phase II.</li> </ul>
Administrative expenses	<ul style="list-style-type: none"> <li>Up to 2 per cent of programme expenditure in a year could be utilised towards administrative expenses.</li> <li>The fund sharing ratio was the same as for IHHLs.</li> </ul>	<ul style="list-style-type: none"> <li>The amount for administrative expenditure has been halved to 1 per cent of programme expenditure per year.</li> <li>The fund sharing ratio is the same as for IHHLs under Phase II.</li> </ul>

## BUDGET UPDATES - ALLOCATIONS

- In February 2020, the Union Cabinet approved SBM-G Phase II for FY 2020-21 to FY 2024-25, with a total budget outlay of ₹1,40,881 crore. Of this, ₹52,497 crore or 37 per cent will be funded through DDWS.
- For FY 2021-22 Budget Estimates (BEs), ₹9,994 crore has been allocated for SBM-G Phase II. This is the same as the BEs for FY 2020-21, but 67 per cent more than the Revised Estimates (REs). This is due to a 40 per cent decline between BEs (₹9,994 crore) and REs (₹6,000 crore). The decline in REs compared to the BEs pre-date Phase II. After FY 2017-18, REs have been lower than the BEs (see Graph 1).
- The FY 2020-21 REs for SBM-G comprised 11 per cent of the total contribution of ₹52,497 crore required from DDWS over the 5 years of Phase II, down from 19 per cent at the BE stage. Together with FY 2021-22 BEs, this goes up to 30 per cent of the amount required to fund SBM-G Phase II.

**Graph 1 AFTER 2017-18, REVISED ESTIMATES HAVE BEEN LOWER THAN BUDGET ESTIMATES**



Sources: Union Expenditure Budget, Volume 2, MJS, for FY 2015-16 to FY 2021-22. Available online at: <https://www.indiabudget.gov.in>. Last accessed on 1 February 2021.

Note: Figures are in crores of Rupees.

## SOURCES OF FUNDING

- For Phase I, funding came from two sources: Direct Gross Budgetary provisions on allocations by Gol and Extra Budgetary Resources (EBRs). In FY 2018-19, ₹8,698 crore was raised from the National Bank for Agriculture and Rural Development (NABARD), and provisions were made for ₹5,000 crore EBRs in FY 2019-20. As per a response (dated 13 November 2020) to a Right to information (RTI) request filed by the Accountability Initiative, funding raised through EBRs was only released to states and UTs in FY 2018-19.
- For Phase II, as of February 2021, there are 3 main sources of funding:
  - **Direct Gross Budgetary provisions:** The Union Cabinet has approved a total budget outlay of ₹1,40,881 crore, of which 37 per cent will be funded through DDWS.

- **Finance Commission (FC) funds:** The 15th FC report, released on 1 February 2021 recommends that 60 per cent of Grants for RLBs should be tied for expenditure on sanitation (30 per cent) and water-related needs (30 per cent) from FY 2021-22 to FY 2025-26. A total of ₹1.42 lakh crore has been allocated by the FC for this purpose. The FC also stated that if a Gram Panchayat saturates its water-related needs, then the entire tied fund (60 per cent) can be used towards sanitation and ODF sustainability, and vice-versa.
- **EBRs:** In October 2020, NABARD launched the 'Sanitation Literacy Campaign' with a commitment of ₹800 crore for FY 2020-21. The campaign was from October 2020 to 26 January 2021, and aimed to raise sanitation awareness amongst vulnerable populations and develop credit facilities for the construction of household toilets.

## RELEASES

- In FY 2020-21, till 5 November 2020, ₹4,145 crore[2] out of the allocated ₹9,994 crore or 41 per cent had been released. Of the amount released, 16 per cent went towards interest on loans.
- For Phase II of SBM-G, DDWS has outlined the following conditions for fund release to states:
  - State Cabinets must pass a resolution for the implementation of Phase II; and
  - Devolution of sanitation funds to Gram Panchayats must take place as per the 15th FC.
- DDWS also aims to release funds on a 'just in time' basis through Gol's Public Financial Management System (PFMS), after taking into account compliance with the conditions and the ability of the state to utilise the funds.

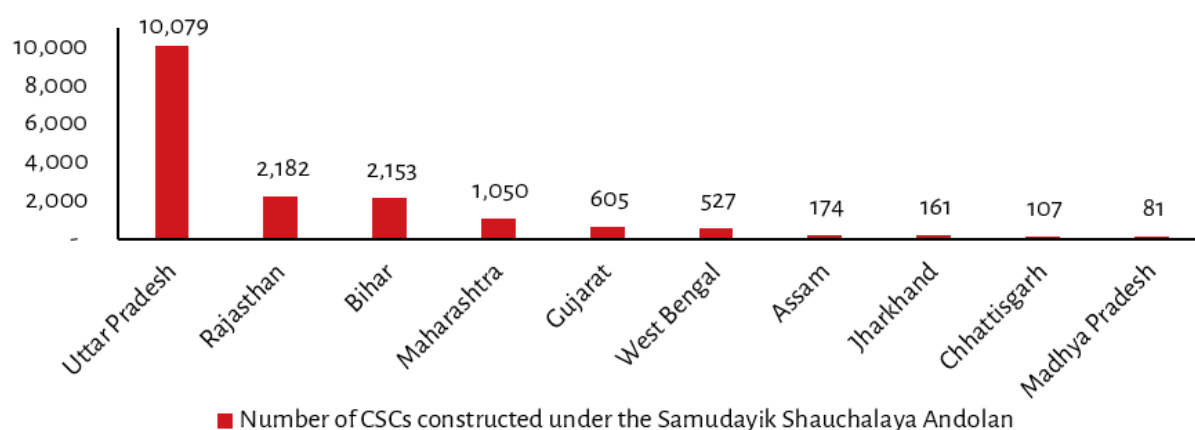
## SBM-G DURING COVID-19

- During the COVID-19 induced nationwide lockdown in 2020, the SBM-G machinery pivoted to focus on pandemic-related activities. The scope of IEC under SBM-G was broadened to include activities on awareness for pandemic mitigation and containment.
- *Swachhagrahis* (village-level volunteers), originally engaged to promote safe sanitation practices under SBM-G, took the lead in implementing COVID-19 prevention and management activities at the village level. This included activities such as generating awareness through wall-painting, distribution of masks and sanitisers, village sanitisation, and even setting up isolation centres.
- DDWS urged states to use the lull in construction activities during the Lockdown to focus on "desk exercises", such as updating the SBM-G Management Information System (MIS), verifying the beneficiary database, approving geo-tagged toilets, and assessing locations selected for the construction of CSCs.
- To overcome the restrictions placed by the pandemic, DDWS adapted its capacity building efforts to remote format using video conferencing and toll free numbers to reach areas with low connectivity and those without smartphones.
- On 20 June 2020, Gol launched the Garib Kalyan Rojgar Abhiyaan (GKRA) in 116 districts across 6 states, namely Bihar, Jharkhand, Madhya Pradesh, Odisha, Rajasthan, and Uttar Pradesh. Construction of CSCs was the first out of 25 activities that were chosen as focus areas for GKRA. Convergence with MGNREGS was emphasised for the construction of CSCs.

[2] As per DDWS' response to Right to Information (RTI) request received on 13 November 2020.

- Concurrently, DDWS also launched a campaign called 'Samudayik Shauchalaya Abhiyan' (SSA) which encouraged states to construct CSCs to cater to the needs of migrant populations returning to their villages as a result of the pandemic and national lockdown. A total of 17,646 CSCs were constructed under this campaign from 15 June to 15 September 2020[3].
- During the SSA campaign, 97 per cent of the total CSCs were constructed by 10 states (see Graph 2). No CSCs were constructed under SSA in 13 states and UTs.
- The three states that reported the highest construction of CSCs under SSA (Uttar Pradesh, Rajasthan, and Bihar) were also covered under GKRA, as per which CSC construction was a priority.

**Graph 2 UNDER THE SAMUDAYIK SHAUCHALAYA ANDOLAN, TOP 10 STATES  
CONSTRUCTED 97% OF CSCs**



Source: RTI response received from DDWS on 2 December 2020.

- Post the lockdown, IHHL construction activities were restarted. The focus was on building toilets for households that had been 'left out of baseline' in Phase I (this refers to households that were not included in the initial list of households that formed the 'baseline' or target for SBM-G Phase I). As per DDWS, 3.10 lakh toilets were constructed for 'left out from Baseline' households in October 2020.
- In September 2020, DDWS launched a study to assess the functionality and usability of CSCs constructed under SBM-G. The results of this study are awaited and will help determine whether CSCs are sustainable under the existing construction and operation and maintenance guidelines.

## TOILET ACCESS AND USAGE

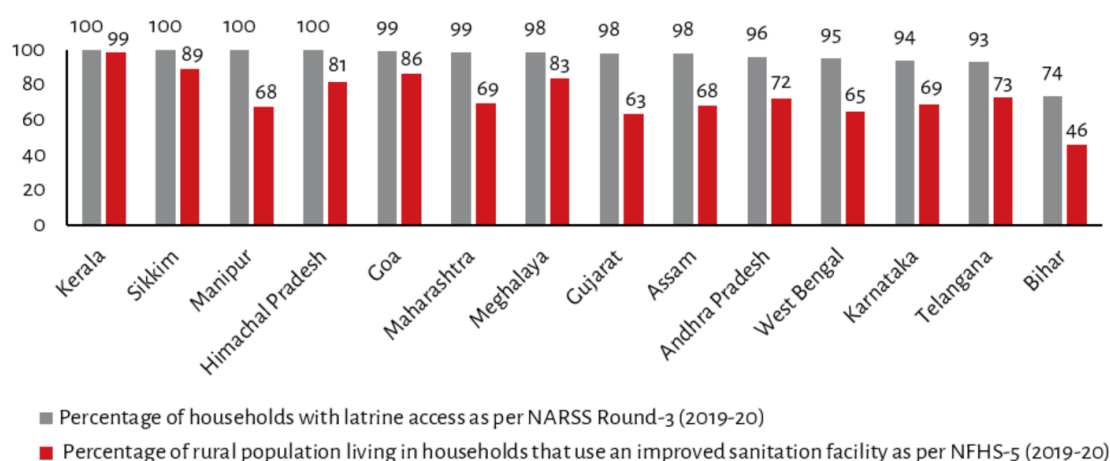
- Data on toilet access and usage are captured through a variety of sources. Progress on access and usage as per the dynamic data presented through SBM-G's Management Information System (MIS) and large-scale, representative surveys, the National Rural Sanitation Survey (NARSS) and the National Family Health Survey (NFHS), are discussed below.

[3] As per RTI response received from DDWS on 2 December 2020.



- Rural toilet access stood at 94 per cent nationally as per the latest report of NARSS Round 3 (2019-20). This includes access to a household's own toilet, shared toilet or community toilets.
- The survey for NARSS Round 3 was conducted between November 2019 and February 2020, and hence presents the status immediately post the completion of SBM-G Phase I on 2 October 2019.
- State-wise NARSS Round 3 data has shown that households in states such as Kerala, Sikkim, and Manipur had 100 per cent access to toilets (see Graph 2). Less than 95 per cent of households had toilet access in nine states and UTs, including Karnataka (94 per cent), and Telangana (93 per cent). Bihar had the lowest proportion of households with toilet access (74 per cent).
- The percentage of households practicing open defecation declined from 6.7 per cent in NARSS Round 2 (2018-19) to 5.6 per cent in NARSS Round 3 (2019-20).
- According to the preliminary NFHS-5 report for 2019-20, out of the 22 states and UTs included, Bihar had the lowest rural population living in households that used improved sanitation facilities[4] (see Graph 2). In Kerala, 99 per cent of the rural population lived in households that used improved sanitation facilities.

**Graph 3 BOTH TOILET ACCESS AND USAGE WERE LOW IN BIHAR AS PER 2019-20 SURVEY DATA**



Source: (1) NARSS Round 3 (2019-20) National Report. (2) National Family Health Survey-5 (2019-20) Preliminary Report. Last accessed on 13 February 2021.

- As per the SBM-G Phase I MIS, all rural households (100 per cent) had access to toilets (as on 3 February 2021). This was a 61 per cent increase since 2 October 2014. Since the MIS is dynamic and regularly updated, it presents the most up-to-date version of the scheme's own data. This includes households identified in the initial SBM-G Baseline survey, households that were then identified under the 'left out of baseline' category, as well as the households covered under the 'No One Left Behind' (NOLB) initiative.

[4] NFHS-5 measures 'Population living in households that use an improved sanitation facility'.

The report mentions that this does not denote access to a toilet facility. An improved sanitation facility is defined as: "Flush to piped sewer system, flush to septic tank, flush to pit latrine, flush to don't know where, ventilated improved pit (VIP)/biogas latrine, pit latrine with slab, twin pit/composting toilet, which is not shared with any other household."



## WAY FORWARD

- GoI data (NARSS Round 3 and NFHS-5) show that 100 per cent toilet access and usage are yet to be achieved in all states.
- To fulfill the mandate of ODF Sustainability, SBM-G Phase II will have to build upon the behavior change strategies employed during Phase I to make it “a movement of the people, by the people and for the people”.
- With the 15th FC announcement of 60 per cent of grants for RLBs being tied for water and sanitation, and the focus of Phase II guidelines on PRIs, Sarpanches will play a critical role for the future of SBM-G. This was also underlined by the Union Minister for Jal Shakti’s Sarpanch Samvad in November 2020.
- Additionally, Phase II’s “novel model of convergence” with various schemes and funding sources, will play a key part in the programme’s implementation.

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