



BUDGET BRIEFS

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Swachh Bharat Mission -Gramin Gol, 2019-20 (Pre-Budget)

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

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

- Allocations and expenditures from Gol share
- Physical progress of toilets built
- Expenditures incurred under Information, Education and Communication (IEC) and Solid Liquid Waste Management (SLWM) activities from the Gol share
- Coverage and open defecation (OD)

Cost share and implementation:

For most components funds are shared between Gol and states in a 50:50 ratio. For the Northeastern states and Hill states the ratio is 90:10. For Community Sanitary Complexes, while Gol provides 60 per cent, states and beneficiaries provide 30 per cent and 10 per cent, respectively. This brief primarily analyses the utilisation of the Gol share of SBM funds.

HIGHLIGHTS

₹ 22,357 cr

Government of India (Gol) allocations for Ministry of Drinking Water and Sanitation (MDWS) in Financial Year (FY) 2018-19 (in crore)

₹15,343 cr

Gol allocations for SBM-G in FY 2018-19 (in crore)

SUMMARY & ANALYSIS

- In FY 2018-19, Gol allocated ₹15,343 crore to SBM-G, a 9 per cent decrease over the previous financial year.
- Release of funds by Gol has been high. In FY 2018-19, till 17 December 2018, 99 per cent of the total Gol allocation for the year, had already been released to states.
- Expenditure as a proportion of Gol funds available has been high but declined in the last few years. In FY 2017-18, 75 per cent of available funds were spent. This decreased to 58 per cent in FY 2018-19, as on 21 December 2018.
- IHHL coverage stood at 99 per cent of all households as on 14 January 2019. Only Goa (76 per cent) and Odisha (79 per cent) report less than 90 per cent toilet coverage. Nine states and union territories (UTs) have constructed more than a quarter of all their toilets in FY 2018-19 alone. Bihar (54 per cent) and Uttar Pradesh (49 per cent) have constructed most of their toilets in FY 2018-19, and more than 80 per cent of their toilets since FY 2017-18.
- As of 18 January 2019, 27 states and UTs had declared themselves ODF, up from 10 states and UTs as on 15 January 2018. Uttar Pradesh, Bihar, Odisha, West Bengal, Telangana, Assam, Tripura, and Goa are the only states which remain.

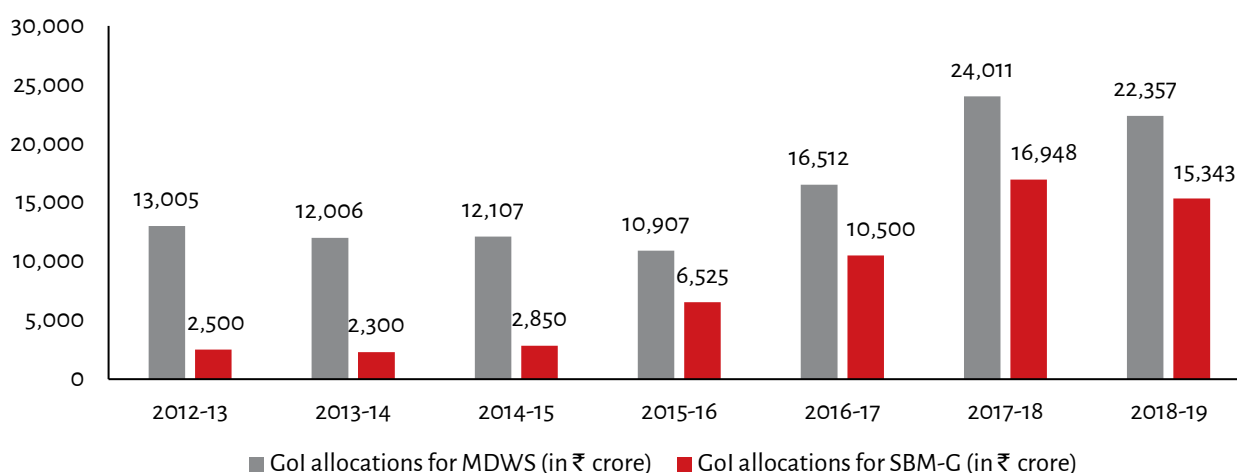
TRENDS IN GOI ALLOCATIONS AND RELEASES

- 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).
- As of October 2018, all financial data including sanction orders and expenditure details are no longer available on the SBM online Management Information System (MIS). Similarly, data on all physical indicators barring 4 [Status of Open Defecation Free (ODF), Status of toilet construction, Number of Swachhagrahis, and Number of toilet photos uploaded online] are also unavailable. This brief analyses data from an RTI response received by MDWS dated 21 December 2018, as well as, some indicators presented in Parliament in response to questions by members. This data, however, does not include state share details and information on physical achievements on SLWM and IEC.

Allocations

- In FY 2018-19, GoI allocated ₹15,343 crore to SBM-G, a 9 per cent decrease over the previous financial year. Allocations for the MDWS, were also reduced by 7 per cent from ₹24,011 crore to ₹22,357 crore.
- Between FY 2014-15 and FY 2018-19, whilst allocations for rural sanitation increased five-fold, allocations for the MDWS increased by less than two-fold. Consequently, SBM-G remains the largest programme of MDWS accounting for 69 per cent of the total budget for the MDWS in FY 2018-19, up from 24 per cent in FY 2014-15.

SBM ALLOCATION REDUCED BY 9% IN PENULTIMATE YEAR



Source: India Expenditure Budget, Vol 2, Ministry of Drinking Water and Sanitation. Available online at: <http://indiabudget.nic.in>.

Note: Figures are in crore of Rupees and are Revised Estimates (REs), except for FY 2018-19 which are Budget Estimates (BEs). Last accessed on 1 February 2018.

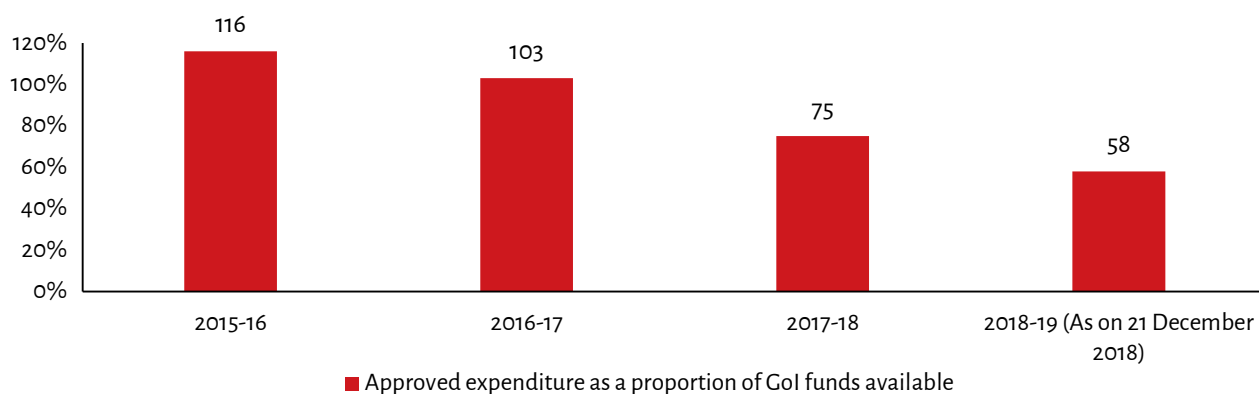
Releases

- 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 the MDWS. Funds are released based on approved budgets.
- 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, till 17 December 2018, 99 per cent of the total allocations for the year had already been released to states.

Expenditure

- Total Gol funds available include opening balances (that is, unspent Gol funds from previous years), Gol releases, and interest earned on Gol funds. Only expenditure from Gol funds available with states is analysed in this section.
- Expenditure as a proportion of Gol funds available has been decreasing since FY 2015-16. In FY 2015-16 and FY 2016-17, more funds were spent than available resulting in large negative balances in many states. In FY 2017-18, however, only 75 per cent of available funds were spent.
- Pace of expenditure in FY 2018-19 has been slow. Till 21 December 2018, 58 per cent of the available Gol funds had been approved and spent.
- There are, however, many states incurring expenditure which is yet to be approved by Gol. On including unapproved expenditure, the proportion rises to 86 per cent.

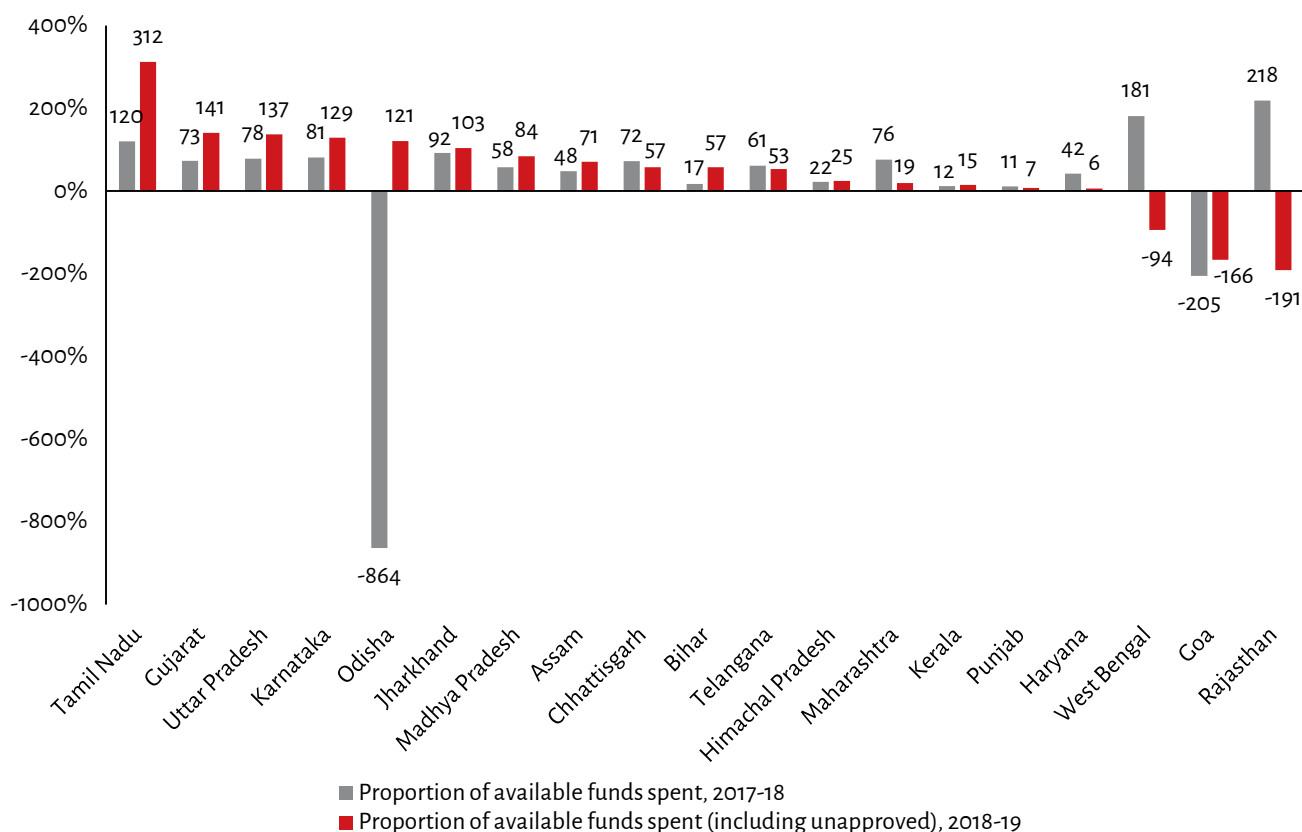
ASSAM AND TRIPURA HAVE RECEIVED THE LEAST OF THEIR RESPECTIVE MISSION ALLOCATION



Source: RTI response received from MDWS, as on 21 December 2018.

- This excess in expenditure is understood better when studied at the state level. In FY 2018-19, Tamil Nadu had spent three times its available funds. In contrast, 14 states and UTs had spent less than half their available funds (including unapproved) during the same period. Expenditure was low primarily in states which were among the first to be declared ODF, including Himachal Pradesh (25 per cent), Kerala (15 per cent), and Sikkim (13 per cent).
- High expenditure over and above available funds has resulted in large negative opening balances every year. In FY 2017-18, 9 states had started the year with a negative opening balance including Rajasthan, Tamil Nadu, Maharashtra, West Bengal, Odisha, and Karnataka. In FY 2018-19, this number came down to 6. Of these states, Odisha, Rajasthan, West Bengal, and Tamil Nadu have carried a negative opening balance since FY 2016-17.
- Goa, Rajasthan, and West Bengal began FY 2018-19 with negative balances of ₹9 crore, ₹537 crore, and ₹284 crore, respectively. Gol releases in each of these states were insufficient to offset the negative balance, and their total fund available remained negative. Goa did not receive funds from Gol in FY 2018-19 till 21 December 2018.
- Despite large deficits in fund availability, Goa incurred an expenditure of ₹15 crore, while Rajasthan and West Bengal spent ₹290 crore and ₹147 crore, respectively.

TAMIL NADU SPENT THREE TIMES THE AVAILABLE FUND IN 2018-19



Source: RTI response received from MDWS, as on 21 December 2018.

COMPONENT-WISE TRENDS

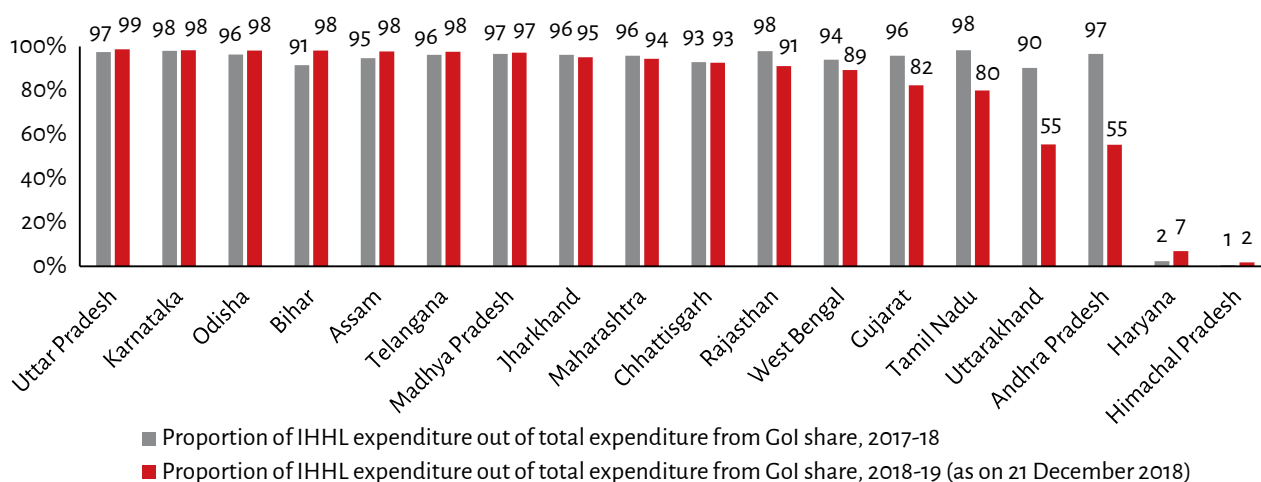
- Implementation of SBM involves a number of activities. These include:
 - Start-up activities, such as a needs assessment and subsequent preparation of plans.
 - Information Education and Communication (IEC) activities to push for behaviour change.
 - Construction of Individual Household Latrines (IHHLs).
 - 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. 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 Gol with states providing ₹3,000 (25 per cent). Since FY 2015-16, funds are shared between Gol and states in a 60:40 ratio.
- Expenditure on construction of IHHLs continues to account for the largest share of spending. Between FY 2015-16 and FY 2018-19, 97 per cent of Gol's share of expenditure was towards construction of IHHLs. The proportion of funds spent on IHHL construction remained high in FY 2017-18, and in FY 2018-19 (till 21 December 2018) at 96 per cent and 95 per cent, respectively.

GUJARAT SPENT MORE THAN 80% OF GOI SHARE ON IHHLs DESPITE ODF SELF DECLARATION



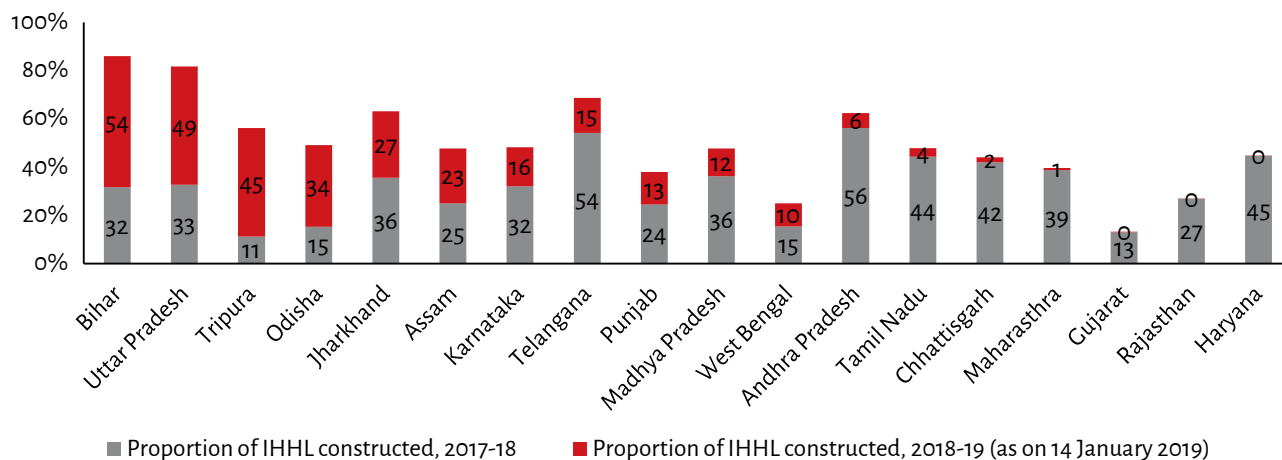
Source: RTI response received from MDWS, as on 21 December 2018.

- 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 expenditure out of Gol share of funds, Kerala (<1 per cent), Himachal Pradesh (2 per cent), Haryana (7 per cent), have incurred limited expenditure on IHHL construction.
- However, some states which had been declared ODF before FY 2018-19 continued to incur most of their expenditure on IHHL construction in FY 2018-19. For instance, Chhattisgarh (93 per cent) and Gujarat (82 per cent) had spent most of their money on IHHL construction till 21 December 2018. States which declared themselves ODF in FY 2018-19 saw only a marginal decline in the proportion of Gol funds spent on IHHL construction. Rajasthan (91 per cent) and Madhya Pradesh (97 per cent) still incurred more than 90 per cent of their expenditure on IHHL construction.

Toilet Coverage

- IHHL coverage stood at 99 per cent of all households as on 14 January 2019. Only Goa (76 per cent) and Odisha (79 per cent) report less than 90 per cent toilet coverage.

MORE THAN 80% TOILETS IN BIHAR AND UTTAR PRADESH CONSTRUCTED SINCE 2017-18



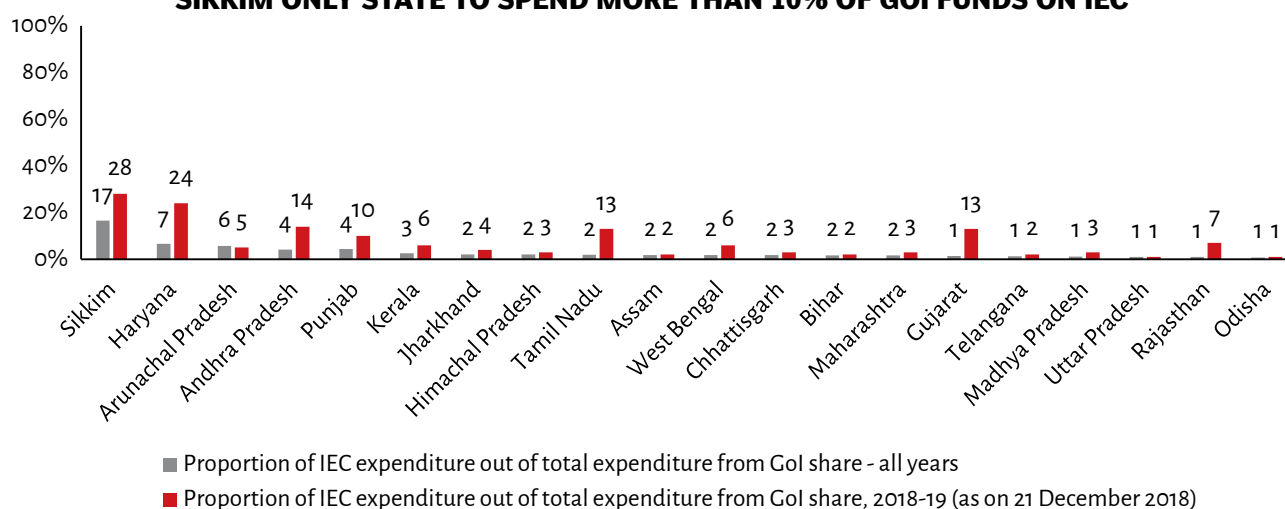
Source: SBM dashboard, Format A03. Available online at: https://sbm.gov.in/sbmReport/Report/Physical/SBM_TargetVsAchievementWithout1314.aspx. Last accessed on 14 January 2019.

- Pace of IHHL construction has increased significantly. Since the mission started, 39 per cent of all toilets constructed were built in FY 2017-18. Another 10 per cent were added in FY 2018-19 till 14 January 2019. Most of this construction (68 per cent) was concentrated in two states, namely Uttar Pradesh and Bihar.
- Nine states and UTs have constructed more than a quarter of all their toilets in FY 2018-19 alone. Bihar (54 per cent) and Uttar Pradesh (49 per cent) have constructed most of their toilets in FY 2018-19 and more than 80 per cent of their toilets since FY 2017-18.
- Other states with the largest share of toilets constructed in FY 2018-19 are - Tripura (45 per cent), Odisha (34 per cent), Jammu and Kashmir (31 per cent), and Jharkhand (27 per cent).

Information, Education and Communication (IEC) Activities

- According to the SBM-G 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 activities which increased significantly to ₹ 284 crore in FY 2017-18, and further to ₹ 313 crore in FY 2018-19 till 21 December 2018.

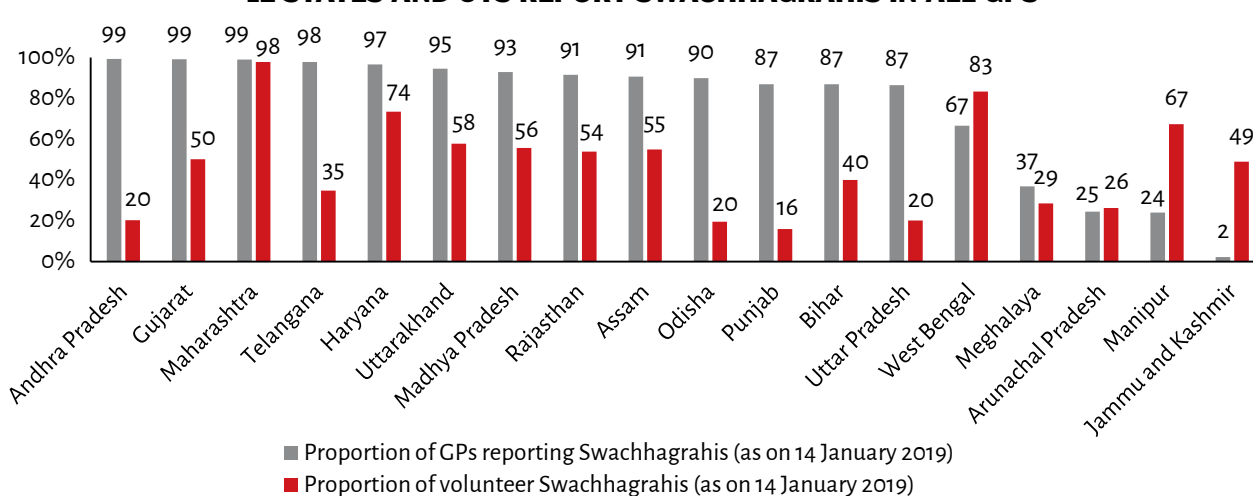
SIKKIM ONLY STATE TO SPEND MORE THAN 10% OF GOI FUNDS ON IEC



Source: RTI response received from MDWS, as on 21 December 2018.

- Some ODF states like Sikkim and Haryana seem to be placing more efforts on IEC activities and have incurred more than 5 per cent of all expenditure since FY 2016-17 on IEC. Others like Tamil Nadu (13 per cent), Gujarat (13 per cent), and Andhra Pradesh (14 per cent) have also incurred a larger share of expenditure on IEC in FY 2018-19.
- According to the SBM-G 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.
- Since the start of the mission and as on 14 January 2019, 89 per cent of all 2,58,646 GPs reported the presence of at least one Swachhagrahi. As on 15 January 2018, this proportion was 70 per cent of 2,57,041 GPs. Of the total of 5,78,902 Swachhagrahis engaged; 48 per cent were working on a voluntary basis.
- There are, however, significant state wise differences. Only 12 states and UTs, had managed to engage Swachhagrahis in all their GPs. States such as Arunachal Pradesh, Manipur, and Jammu and Kashmir had engaged Swachhagrahis in less than a quarter of their GPs.

12 STATES AND UTs REPORT SWACHHAGRAHIS IN ALL GPs



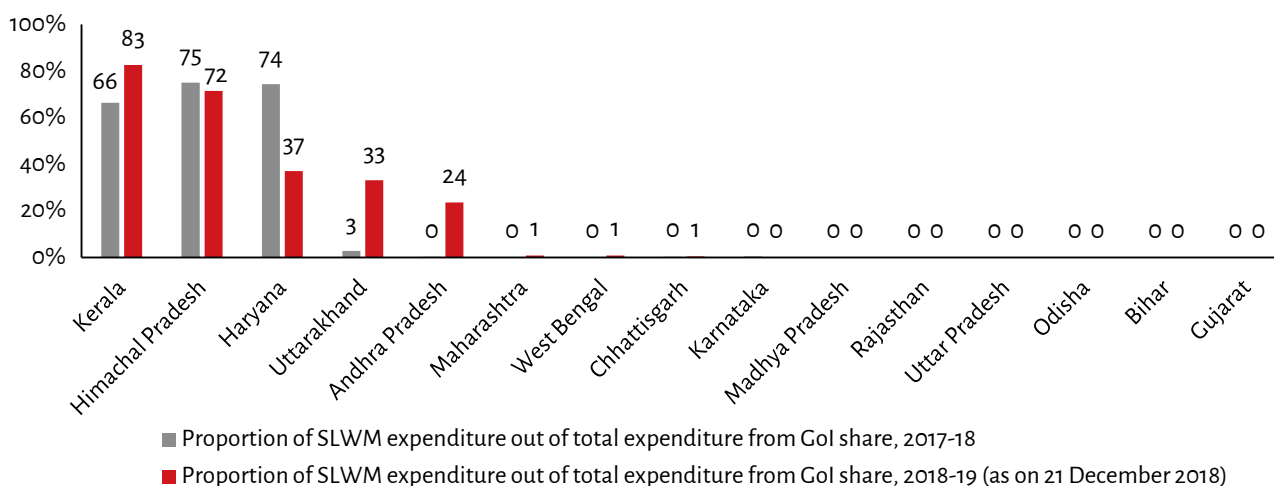
Source: SBM dashboard, Format F24. Available online at: https://sbm.gov.in/sbmReport/Report/Panchayat/SBM_SwachhagrahiDetails.aspx. Note: There is a difference in the sum total of volunteer and paid Swachhagrahis and the total given by 174. It does not, however, impact the state-wise proportions. Last accessed on 14 January 2019.

- Differences also exist across states in the number of Swachhagrahis identified per GP. Eleven states and UTs reported more than 3 Swachhagrahis per GP as on 14 January 2019. Interestingly, West Bengal reported Swachhagrahis in 67 per cent of GPs, but more than 6 Swachhagrahis per GP across the state. On the other hand, 20 states and UTs including Maharashtra, Gujarat, Uttar Pradesh, and Tamil Nadu have less than 2 Swachhagrahis per GP.
- 13 states and UTs have engaged more than half their Swachhagrahis on a volunteer basis. Daman and Diu (100 per cent), Nagaland (99 per cent), and Maharashtra (98 per cent) are the only states and UTs with more than 90 per cent Swachhagrahis on a volunteer basis.

Solid and Liquid Waste Management (SLWM)

- SBM-G provides funds for SLWM up to a cap of ₹7/12/15/20 lakh to be applicable for GPs having upto 150/300/500/ more than 500 households.
- Expenditure on SLWM has been very low but is picking up pace. Only ₹374 crore was spent across the country on SLWM from FY 2015-16 till 21 December 2018. This accounted for less than 1 per cent of all expenditure from Gol's share on SBM.

2 STATES ACCOUNT FOR 40% OF ALL SLWM EXPENDITURE



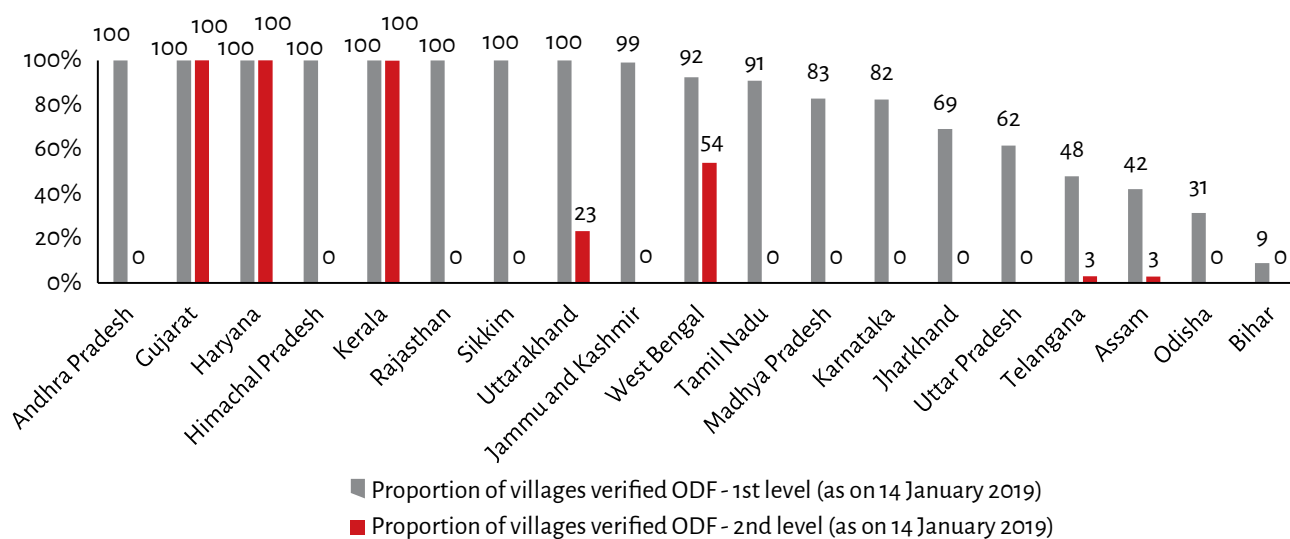
Source: RTI response received from MDWS, as on 21 December 2018.

- Andhra Pradesh (29 per cent) and Haryana (15 per cent) account for more than 40 per cent of all expenditure incurred on SLWM.
- Similarly, ODF states like Himachal Pradesh and Arunachal Pradesh have also incurred a significant share of their SBM expenditure on SLWM in FY 2018-19.

OUTCOMES AND OPEN DEFECATION

- SBM stresses the objective of achieving ODF status as ‘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 levels, and has to be subjected to multiple rounds of verification before being accepted.
- As of 14 January 2019, 27 states and UTs had been self-declared ODF, up from 10 states and UTs as on 15 January 2018. Uttar Pradesh, Bihar, Odisha, West Bengal, Telangana, Assam, Tripura, and Goa are the only states which remain.
- Out of a total of 6,00,521 villages, 5,44,332 (91 per cent) villages have been declared ODF. However, only 14 per cent have completed the second level of ODF verification, and 82 per cent have undergone the first level of ODF verification.
- One round of verification process was complete in 18 states and UTs and two rounds of verification had been completed in Gujarat, Haryana, Kerala, Chhattisgarh, and Daman and Diu. Interestingly, despite being the first few states to be declared ODF, no village in Himachal Pradesh and Sikkim has completed the second round of verification

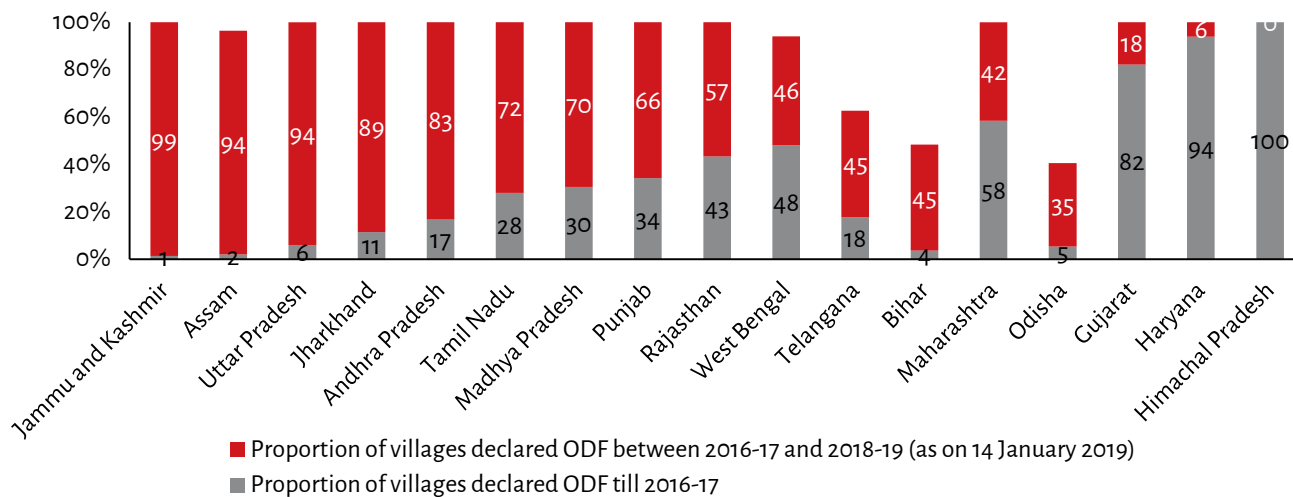
ALL VILLAGES IN GUJARAT AND HARYANA HAVE UNDERGONE TWO LEVELS OF VERIFICATION



Source: SBM dashboard, Format F42. Available online at: https://sbm.gov.in/sbmReport/Report/Physical/SBM_VillageODFMarkStatus.aspx. Last accessed on 14 January 2019.

- The pace of both declarations as well as verifications is increasing. Nine per cent of all declarations were made in FY 2015-16. This number increased to 25 per cent in FY 2016-17, 31 per cent in FY 2017-18, and 36 per cent in FY 2018-19.

77% VILLAGES IN UTTAR PRADESH DECLARED ODF IN 2018-19



Source: SBM dashboard, Format F42. Available online at: https://sbm.gov.in/sbmReport/Report/Physical/SBM_VillageODFMarkStatus.aspx. Last accessed on 14 January 2019.