



BUDGET BRIEFS

Vol 11/ Issue 7

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

The **Swachh Bharat Mission-Urban (SBM-U)** is the Government of India's (Gol's) nation-wide 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)
- 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.

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

HIGHLIGHTS

₹ 41,765 cr

Gol allocations for Ministry of Housing and Urban Affairs (MoHUA) in FY 2018-19

₹ 2,500 cr

Gol allocations for SBM-U in FY 2018-19

SUMMARY & ANALYSIS

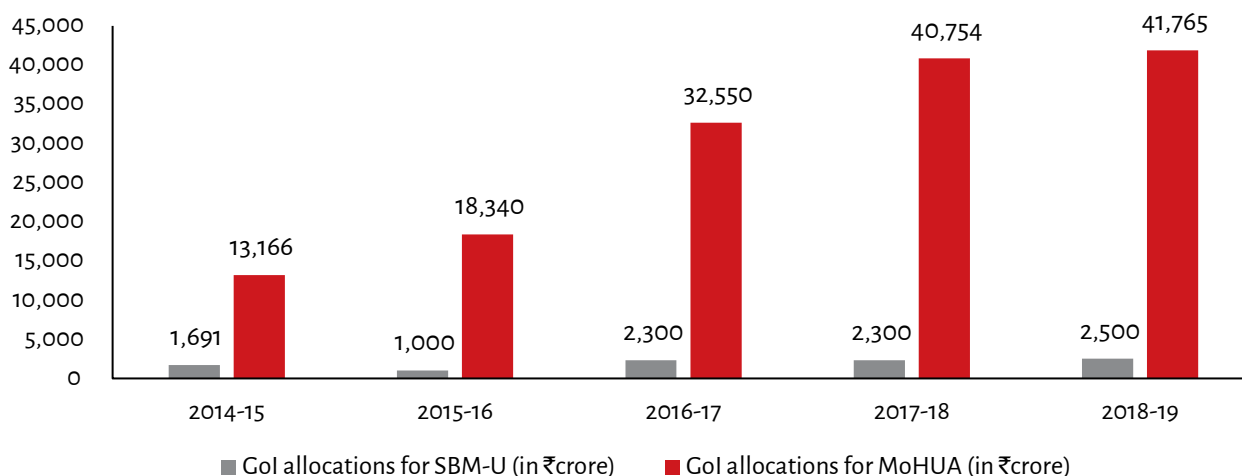
- In FY 2018-19, SBM-U allocations increased by 9 per cent to ₹2,500 crore. Gol has cumulatively allocated 69 per cent of its total estimated share across 4 of the 5 mission years.
- Only 38 per cent had been released for Solid Waste Management (SWM) to states till 31 March 2018.
- As of November 2018, a total of 53.64 lakh Individual Household Latrines (IHHLs) had been constructed accounting for 81 per cent of the revised IHHL target. Seven states and UTs have met their respective targets.
- By November 2018, 88 per cent of targets for Community Toilets (CTs) and Public Toilets (PTs) were complete.
- By November 2018, 71,797 wards or 85 per cent of the total identified wards had achieved 100 per cent door-to-door waste collection. However, only 46 per cent of total waste generated was processed.
- As on 31 March 2018, 15 states and UTs covering 2011 Urban Local Bodies (ULBs) had been declared ODF as per the 23rd Standing Committee Report on Urban Development tabled in July 2018. However, according to the ODF Certification Portal, 6 states and UTs had achieved 100 per cent ODF status and 9 others were close to achieving it as on 1 January 2019.

- Launched on 2 October 2014, the Swachh Bharat Mission-Urban (SBM-U) is Government of India's (GoI's) 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,
 - Ensure 100 per cent collection and scientific processing of Municipal Solid Waste,
 - Convert insanitary toilets to pour flush toilets,
 - Eradicate manual scavenging,
 - Bring about 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 (O&M) 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 (CSR), and the Swachh Bharat Kosh.
- In FY 2018-19, GoI allocated ₹2,500 crore to the scheme, an increase of 9 per cent from the previous year.

SBM-U ALLOCATIONS INCREASED AFTER TWO FISCAL YEARS



Source: India Expenditure Budget, Vol 2, for Ministry of Urban Development till Union Budget 2017-18 and Ministry of Housing and Urban Affairs for FY 2018-19. Available online at: <https://www.indiabudget.gov.in/vol2.asp>.

Note: Figures are in Rupees crore and are Revised Estimates (RE), except for FY 2018-19 which are Budget Estimates (BE).

- According to the Union Budget, ₹7,291 crore had been allocated from FY 2014-15 to FY 2017-18. However, according to the 23rd Standing Committee report on action taken dated July 2018, the updated figure for funds allocated as on 31 March 2018 stood at ₹7,540 crore.

Releases

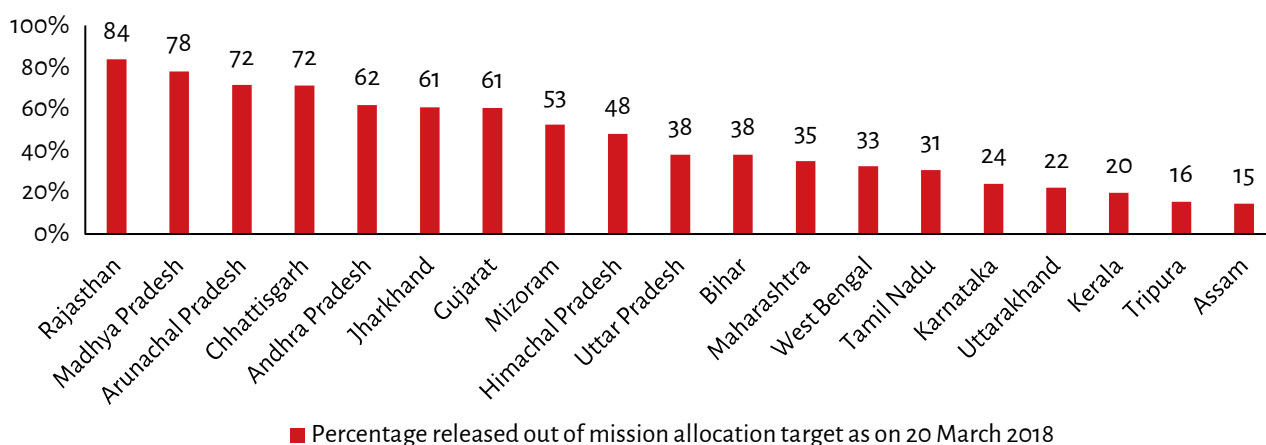
- The first instalment of GoI releases is contingent on states submitting a proposal on anticipated demand and a brief concept note. Subsequent instalments are to be released based on the submission of City Sanitation Plans, State Sanitation Strategy, utilisation certificates of previous grants, physical 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 2017-18, out of the total Gol allocation of ₹7,540 crore, ₹6,645 crore, equivalent to 88 per cent had been released. This is only 45 per cent of the total Gol mission target allocation.
- Utilisation of Gol funds has been even lower. Till 31 March 2018, only 40 per cent or ₹3,032 crore of Gol funds had been utilised. According to the 23rd Standing Committee Action Taken Report tabled in July 2018, this was partially due to because additional Utilisation Certificates(UCs) amounting to ₹1,935 crore for FY 2017-18 were pending. Accounting for these UCs, total expenditure as a proportion of total funds released, increases to 75 per cent of the released funds and 66 per cent of the funds allocated. No data was available on release and utilisation of funds for FY 2018-19 at the time of preparing this brief.

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 were only available till 20 March 2018 at the time of preparing this brief.
- Release of funds in FY 2017-18 was concentrated in a few states. Of the total quantum of funds released by Gol in FY 2017-18 till 20 March 2018, 62 per cent was released to four states namely, Uttar Pradesh (25 per cent), Madhya Pradesh (15 per cent), Maharashtra (13 per cent), and Rajasthan (9 per cent).
- Till 20 March 2018, Rajasthan had already received 84 per cent of its total mission allocations. Similarly, Madhya Pradesh (78 per cent), Arunachal Pradesh (72 per cent), and Chhattisgarh (72 per cent) had also received a high proportion of their mission allocations.
- In contrast, releases were low in some states. Eleven states and UTs received less than 30 per cent of their mission allocations including states such as Assam, Kerala, Karnataka, Odisha, Punjab, Tripura, and Uttarakhand.
- On the other hand, eight states and UTs had not been released any funds for the financial year till 20 March 2018. These include: Tripura, Odisha, Nagaland, Kerala, and Himachal Pradesh. In fact, none of these states had received even half their mission allocations till 20 March 2018.

ASSAM AND TRIPURA HAVE RECEIVED THE LOWEST AMOUNT OF THEIR REVISED MISSION ALLOCATIONS

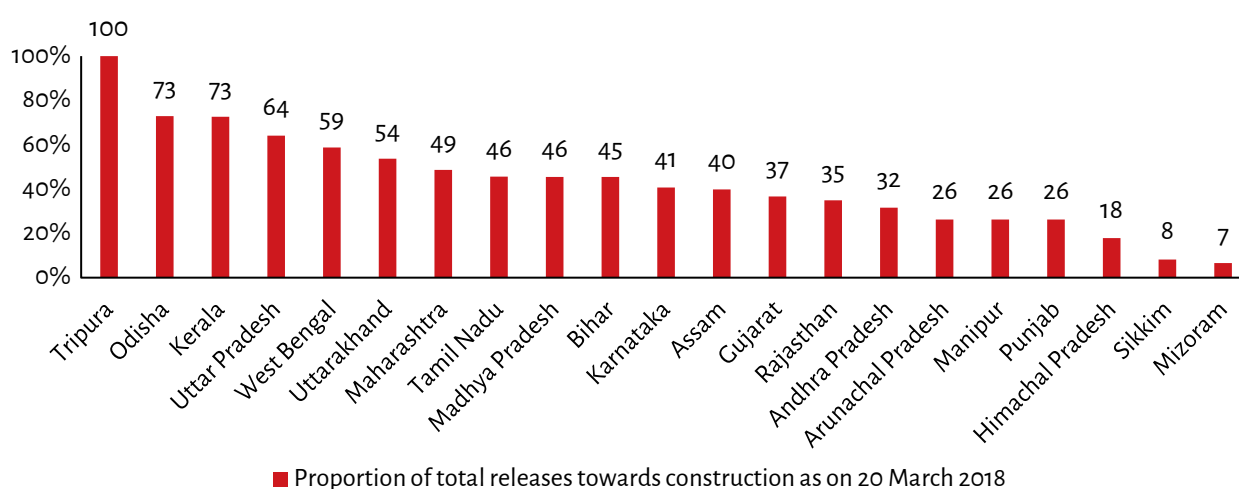


Source: (1) State-wise release of funds from Lok Sabha Unstarred Question Number 3984, answered on 20 March 2018. Available at: <http://164.100.47.190/loksabhaquestions/annex/14/AU3984.pdf>. (2) Mission Targets from SBM-U website. Available online at: http://164.100.228.143:8080/sbm/content/writereaddata/financial_progress.pdf. Last accessed on 10 January 2019.

TRENDS IN COMPONENT-WISE ALLOCATIONS AND EXPENDITURES

- SBM-U has six components and funds are released by Gol for each of these. These include –
 - 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.
 - Construction of Community Toilets (CTs) for 20 per cent of the urban population previously defecating in the open.
 - Construction of Public Toilets (PTs) for floating population (presumed at 5 per cent of total urban population).
 - Solid Waste Management (SWM) covering 80 per cent of the urban population (allowing for a 2 per cent increase year on year).
 - Information, Education and Communication (IEC) and Public Awareness.
 - Capacity Building and Administration (CB&A).
- Since the start of the mission, most of Gol's releases have been for toilet construction and SWM. Softer aspects such as IEC and capacity building have received lower resources than mandated in the guidelines.
- **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 or single pit latrine). 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. Northeastern and hilly states are to contribute ₹1,200 per IHHL. Incentives, however, vary across states depending on the willingness of the state to increase its share.
- Toilet construction (IHHLs and CTs) has been a predominant activity for most states. Till 20 March 2018, 100 per cent of all releases in Tripura were for toilet construction. Odisha and Kerala recorded 73 per cent of all releases towards construction.
- In contrast, releases for toilet construction were low in Himachal Pradesh (18 per cent), Sikkim (8 per cent), and Mizoram (7 per cent).

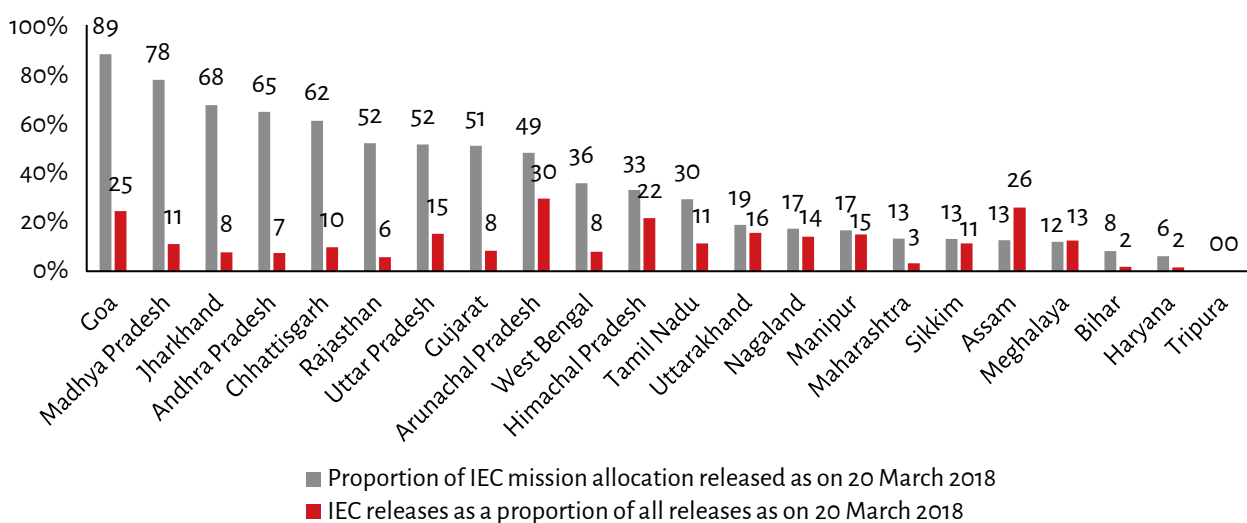
ALL THE RELEASES IN TRIPURA WENT FOR CONSTRUCTION TILL 20 MARCH 2018



Source: (1) State-wise release of funds from Lok Sabha Unstarred Question Number 3984, answered on 20 March 2018. Available at: <http://164.100.47.190/loksabhaquestions/annex/14/AU3984.pdf>. Last accessed on 10 January 2019.

- **IEC:** According to the SBM-U guidelines, 15 per cent of Gol's share must be spent on IEC. Of this, 12 percent of the IEC funds are to be released to the states, while the remaining 3 per cent is to be used for Gol mass media campaigns. The total allocation towards IEC during the mission period is reported as ₹1,828 crore. Of this, ₹1,462 crore is to be released by Gol to states.
- Release of funds under IEC has been low and in none of the mission years has the targeted 12 per cent been achieved. The total quantum of releases, however, is slowly picking pace. Between April 2014 and January 2017, only 11 per cent of Gol's IEC allocation had been released to states. By 20 March 2018, this proportion increased to 39 per cent. In contrast, Gol had released 69 per cent of its own mission allocation for mass media campaigns.
- Consequently, the share of IEC in total Gol releases has also been rising. In FY 2014-15, 11 per cent of total Gol releases were for IEC. This decreased to 7 per cent in FY 2015-16 but increased again to 14 per cent in FY 2016-17. In FY 2017-18 (till 20 March 2018), 16 per cent of all Gol releases were for IEC.
- There are, however, state variations. In Mizoram, Arunachal Pradesh and Jammu and Kashmir, 41 per cent, 30 per cent, and 27 per cent of all releases between FY 2014-15 and FY 2017-18 (till 20 March 2018), had been for IEC, respectively. In contrast, only 2 per cent of all releases in Haryana and Bihar were for IEC.
- As a proportion of IEC mission allocations, most major states such as Madhya Pradesh, Jharkhand, Andhra Pradesh, Chhattisgarh, and Uttar Pradesh had received more than half their allocations till March 2018. In contrast, IEC releases were less than 10 per cent of the IEC mission allocation in Bihar (8 per cent), and Haryana (6 per cent).

BIHAR RECEIVED ONLY 8% OF IEC ALLOCATION AND MADHYA PRADESH RECEIVED 78% AS ON 20 MARCH 2018

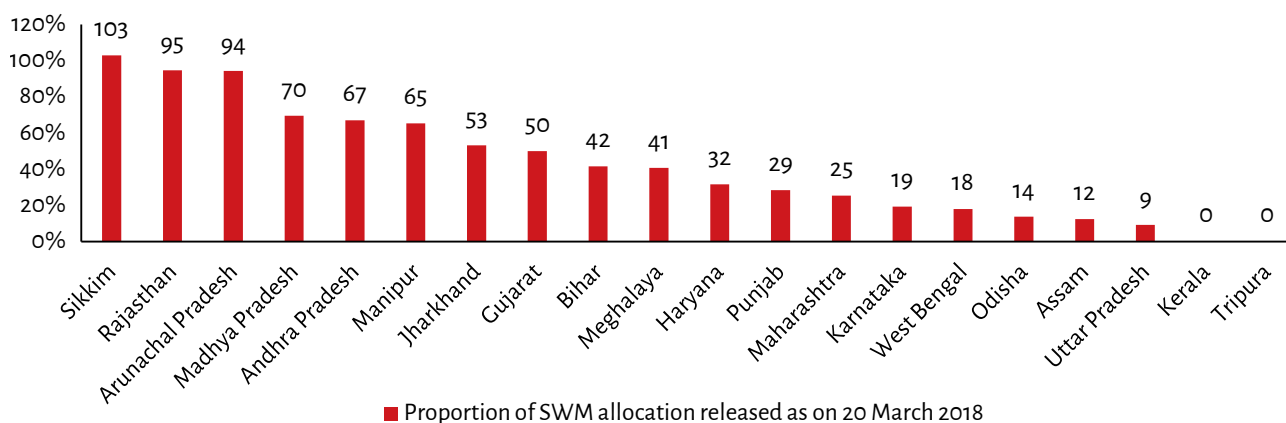


Source: (1) State-wise release of funds from Lok Sabha Unstarred Question Number 3984, answered on 20 March 2018. Available at: <http://164.100.47.190/loksabhaquestions/annex/14/AU3984.pdf>. (2) Mission Targets from SBM-U website. Available online at: http://164.100.228.143:8080/sbm/content/writereaddata/financial_progress.pdf. Last accessed on 10 January 2019.

- **SWM:** SWM refers to a systematic process of ensuring that solid waste is disposed 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 prior to processing, treatment, and finally 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 little over a year left in the mission, only 38 per cent or ₹2,797 crore had been released to states till 31 March 2018.

- State-wise information is only available till 20 March 2018 and does not cover the entire FY 2017-18. As per data available, six states namely Rajasthan (14 per cent), Madhya Pradesh (12 per cent), Maharashtra (11 per cent), Gujarat (11 per cent), Tamil Nadu (8 per cent), and Andhra Pradesh (8 per cent) account for 64 per cent of all releases for SWM during the mission period.
- Sikkim, Rajasthan, and Arunachal Pradesh had received over 90 per cent of their mission allocations. In contrast, releases were low in Uttar Pradesh (9 per cent), and Uttarakhand (9 per cent). States such as Tripura and Kerala had not received any funds for SWM.

SIKKIM RECEIVED MORE THAN ITS SWM MISSION ALLOCATION BY 20 MARCH 2018

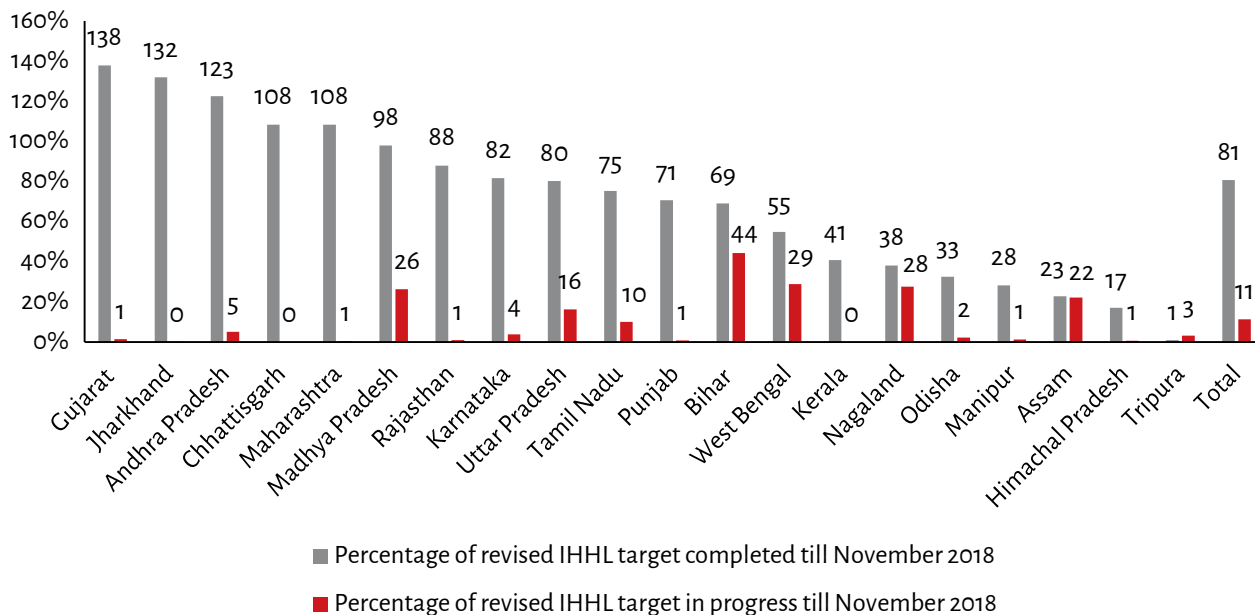


Source: (1) State-wise release of funds from Lok Sabha Unstarred Question Number 3984, answered on 20 March 2018. Available at: <http://164.100.47.190/loksabhaquestions/annex/14/AU3984.pdf>. (2) Mission Targets from SBM-U website. Available online at: http://164.100.228.143:8080/sbm/content/writereaddata/financial_progress.pdf. Last accessed on 10 January 2019.

TRENDS IN COMPLETIONS AND ACHIEVEMENTS

- **IHHLs:** 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 lakh IHHLs. Data on completion of IHHLs, at the time of preparing this brief, was only available as on November 2018.
- As on November 2017, 42.72 lakh IHHLs had been constructed accounting for 64 per cent of the revised mission target. One year later, as on November 2018, a total of 53.64 lakh IHHLs had been constructed across India, accounting for 81 per cent of the revised IHHL mission target.
- By November 2018, 7 states and UTs, including Gujarat, Jharkhand, Andhra Pradesh, Chhattisgarh, and Maharashtra had met their revised mission targets. Gujarat had constructed toilets amounting to 138 per cent of its total revised mission target, and Jharkhand had completed 132 per cent of its mission target. In contrast, completion rates were low in Tripura (1 per cent), Himachal Pradesh (17 per cent), and Mizoram (18 per cent).

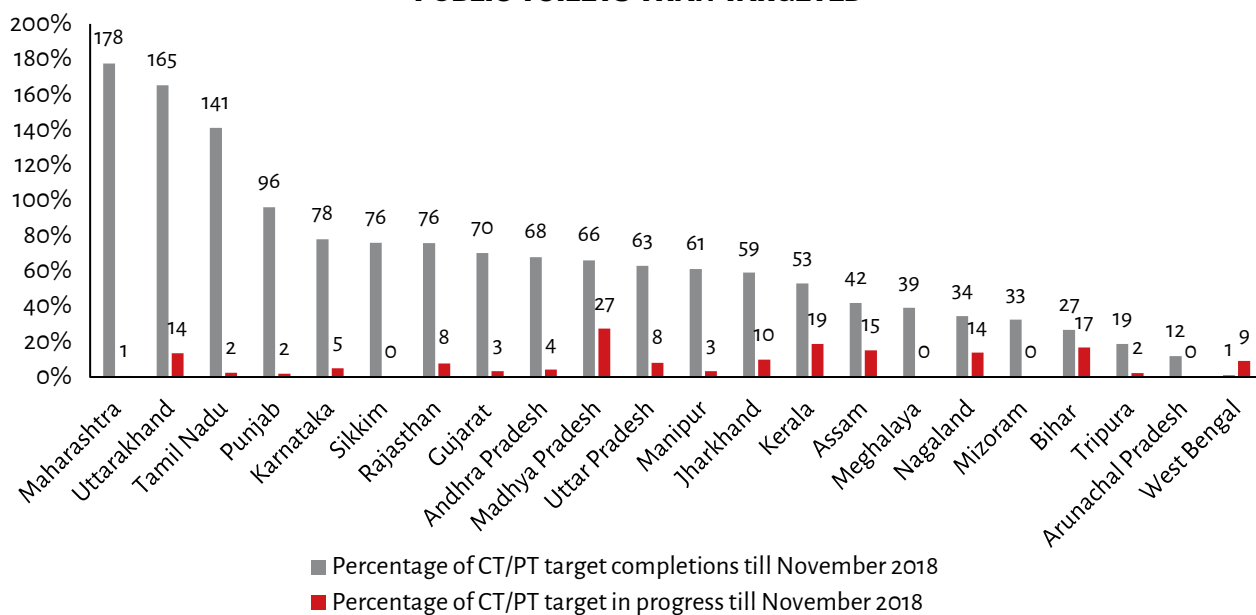
81% OF REVISED IHHL MISSION TARGET COMPLETED ACROSS INDIA TILL NOVEMBER 2018



Source: (1) Revised IHHL Targets from SBM-U website. Available at: <http://164.100.228.143/sbm/home/#/SBM>. (2) IHHL progress and completion from Status of Implementation Report. Available online at: http://swachhbharaturban.gov.in/writereaddata/Statewise_status_of_implementation.pdf. Last accessed on 10 January 2019.

- Community and Public Toilets (CT/PTs):** Targets for CT/PTs are based on the number of seats and not blocks. At the start of the mission, SBM-U set a target of constructing 5,07,587 CT/PTs by 2019. The number of CT/PTs completed has increased significantly. In November 2017, only 40 per cent of targeted CT and 48 per cent of targeted PTs were complete. By November 2018, for both CTs and PTs, 88 per cent of mission targets were complete and another 8 per cent were under construction.
- Construction of CT/PTs is concentrated in a few states. Maharashtra alone accounts for 24 per cent of total CT/PT constructions (completed and in progress) across the country. Tamil Nadu (19 per cent), Uttar Pradesh (9 per cent), Madhya Pradesh (6 per cent), and Karnataka (6 per cent) are the other states with high construction achievements. Together, these five states account for almost 64 per cent of all CT/PTs constructions.
- A comparison between the mission targets set and the completed rates indicate that Maharashtra, Uttarakhand, Himachal Pradesh, Tamil Nadu and Chhattisgarh had exceeded their mission targets for CT/PT constructions by November 2018. Haryana and Punjab at 97 per cent and 96 per cent, respectively were close to achieving their mission target.
- Other states such as Karnataka (78 per cent), Sikkim (76 per cent), Rajasthan (76 per cent) had completed more than half their mission targets during the same period. In contrast, progress has been slow in Bihar which had constructed only 27 per cent of its mission targets. Similarly, Tripura (19 per cent), Arunachal Pradesh (12 per cent), and West Bengal (1 per cent) also had a number of CTs/PTs left to be constructed by November 2018.

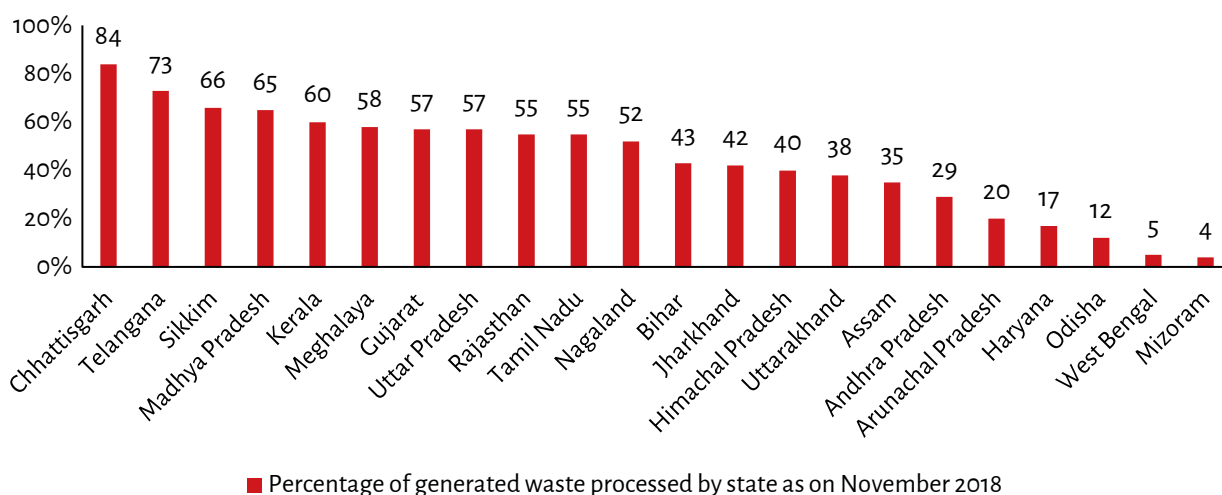
MAHARASHTRA, UTTARAKHAND AND TAMIL NADU CONSTRUCTED MORE COMMUNITY AND PUBLIC TOILETS THAN TARGETED



Source: CT/PT mission targets from Lok Sabha Unstarred Question Number 2506, answered on 30 November 2016. Available online at: <http://164.100.47.190/loksabhaquestions/annex/10/AU2506.pdf>. (2) CT/PT targets from Status of Implementation Report. Available online at: http://swachhbharaturban.gov.in/writereaddata/Statewise_status_of_implementation.pdf. Last accessed on 10 January 2019.

- **Waste Collection:** Between 2014 and 2019, SBM-U aims to achieve 100 per cent door-to-door waste collection. By November 2018, 71,797 wards or 85 per cent of the total identified wards had achieved 100 per cent door-to-door waste collection.
- As of November 2018, India generated 1,45,128 Metric Tons of waste every day. Eleven states, namely Andhra Pradesh, Delhi, Gujarat, Karnataka, Madhya Pradesh, Maharashtra, Rajasthan, Tamil Nadu, Telangana, Uttar Pradesh, and West Bengal were responsible for 83 per cent of the total waste generated.
- Processing of waste, however, remained low. At an all India level, only 46 per cent of total waste generated was processed as on November 2018. States such as Chhattisgarh, Telangana, Sikkim, Madhya Pradesh, and Kerala processed at least 60 per cent of the waste they generated.
- In contrast, while Maharashtra accounted for 16 per cent of all waste generated nationally, it processed 44 per cent of the waste it generated. This, however, is an increase from 34 per cent as on November 2017. Uttar Pradesh, which accounted for 12 per cent of all waste generated across the country has seen significant improvements in waste processing. In November 2017, only 20 per cent of waste was processed by the state. This increased to 57 per cent as on November 2018.

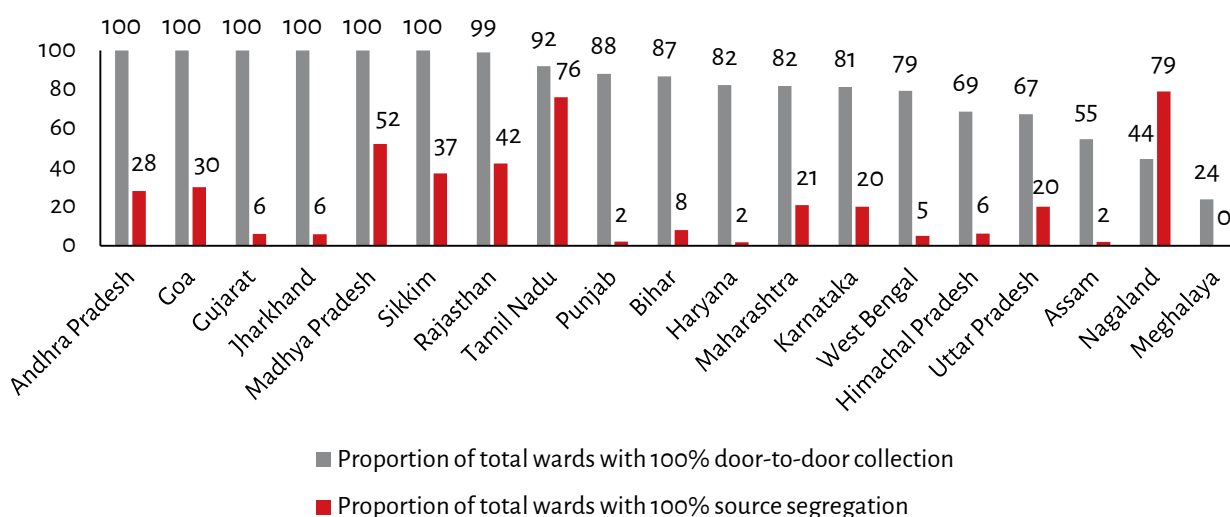
46% OF WASTE GENERATED IN INDIA WAS PROCESSED AS ON NOVEMBER, 2018



Source: Status of Implementation Report. Available online at: http://swachhbharaturban.gov.in/writereaddata/Statewise_status_of_implementation.pdf. Last accessed on 10 January 2019.

- Not all states with 100 per cent door-to-door waste collection have achieved waste segregation at source. On average in India only 33 per cent of wards had 100 per cent waste segregation at source. Over 70 per cent of wards in Tamil Nadu and Nagaland segregated 100 per cent waste at source, as on November 2018. While all wards in Gujarat and Jharkhand have door-to-door waste collection, segregation at source in both states was 6 per cent.

ALL WARDS IN SIKKIM AND ANDHRA PRADESH RECORDED 100% DOOR-TO-DOOR WASTE COLLECTION BUT LESS THAN HALF RECORDED 100% WASTE SEGREGATION AT SOURCE



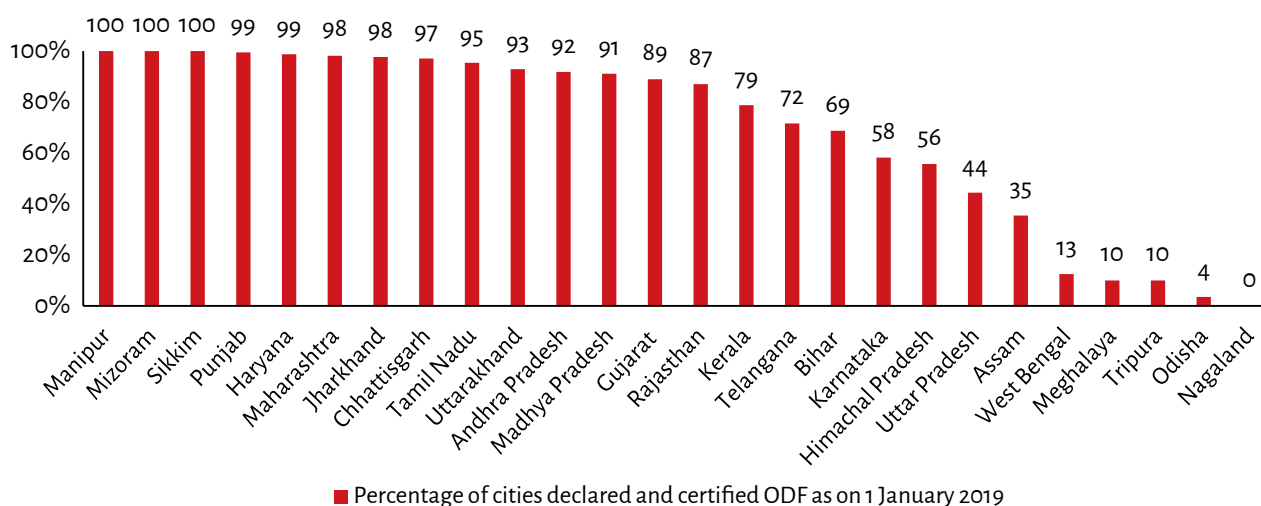
Source: (1) Status of implementation, Available at: http://swachhbharaturban.gov.in/writereaddata/Statewise_status_of_implementation.pdf. (2) Ministry of Housing and Urban Affairs, Twenty Second Standing Committee Report, Demand for Grants 2018-19. Available at: http://164.100.47.193/Isscommittee/Urban%20Development/16_Urban_Development_22.docx. Last accessed on 12 January 2019.

Note: The proportions of total wards with 100 per cent door-to-door coverage differ between the two sources. Since the Status of Implementation figures are the most recent, these have been used.

OUTCOMES

- The guidelines provide a detailed process of ODF declaration and verification. In the first stage, a ULB has to obtain ODF self-declaration 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 carries 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 granting ODF status.
- As on 31 March 2018, 15 states and UTs covering 2011 ULBs had been declared ODF as per the 23rd Standing Committee Report on Urban Development tabled in July 2018. However, as per data available from the ODF Certification Portal, 6 states and UTs (including Manipur, Mizoram, and Sikkim) had achieved 100 per cent ODF status and 9 other states and UTs were close to declaring themselves as on 1 January 2019.

MOST MAJOR STATES HAVE DECLARED AND CERTIFICIED THEIR CITIES AS ODF AS ON 1 JANUARY 2019



Source: ODF Certification Portal. Available at: <http://sbmodf.in/> Last accessed on 1 January 2019.