The Swachh Bharat Mission-Gramin or SBM-G is Government of India’s (GoI’s) flagship rural sanitation programme run by the Ministry of Jal Shakti (MJS).

Using government data, this brief reports on trends for SBM-G along the following parameters:
- Allocations and expenditures;
- Physical progress of toilets built;
- Expenditures incurred under Information, Education, and Communication (IEC);
- Solid Liquid Waste Management (SLWM) activities; and
- Coverage and Open Defecation Free (ODF) status.

Cost share and implementation:
For the construction of Individual Household Latrines (IHLs), funds are shared between GoI and states in a 60:40 ratio. For the North Eastern Region (NER) states and Himalayan states, the ratio is 90:10 for all components. For UTs, GoI provides 100 per cent, except for Community Sanitary Complexes where the cost is borne by GoI and the community in a 90:10 ratio.

HIGHLIGHTS

- **₹ 21,518 cr**
  GoI allocations for Department of Drinking Water and Sanitation (DDWS) in FY 2020-21

- **₹ 9,994 cr**
  GoI allocations for SBM-G in FY 2020-21

SUMMARY & ANALYSIS

- For FY 2020-21 Budget Estimates (BEs), GoI allocated ₹9,994 crore to SBM-G, the same as the previous year’s BE but a 20 per cent increase from the Revised Estimates (REs).

- Cumulatively, since the start of the Mission till FY 2020-21, GoI allocations for SBM-G stand at ₹69,692 crore. As on 5 December 2019, states had spent ₹56,391 crore or 91 per cent of funds released by GoI.

- On 2 October 2019, the completion date for the Mission, 100 per cent of all villages across all states and UTs had been declared Open Defecation Free (ODF).

- Of the 5,99,963 villages declared ODF till 2 October 2019, 97 per cent of villages had undergone the first level of ODF verification, and 25 per cent had undergone the second level of verification.

- In September 2019, DDWS released a new sanitation strategy, which aims at sustaining gains made under SBM-G, including any households that may have been left behind, and ensuring all villages have access to Solid and Liquid Waste Management (SLWM).
TRENDS IN GOI ALLOCATIONS AND RELEASES

■ In October 2014, Government of India (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 2 October 2019.

■ In FY 2019-20, GoI integrated the former Ministry of Drinking Water and Sanitation (MDWS) and Ministry of Water Resources, River Development, and Ganga Rejuvenation to form a single ministry, called the Ministry of Jal Shakti (MJS). SBM-G, earlier under MDWS, now falls under the purview of the Department of Drinking Water and Sanitation (DDWS) within MJS.

■ In September 2019, DDWS released a new ten year rural sanitation strategy, till 2029, with a focus on Open Defecation Free (ODF) Plus, which entails sustaining ODF behaviours, including any new households or those that may not have access to toilets, constructing Community Sanitary Complexes (CSCs) as required, and ensuring every village has access to Solid and Liquid Waste Management (SLWM).

■ DDWS also aims to support the mitigation of single-use plastic through campaigns under the Information, Education, and Communication (IEC) activities component of SBM-G. The strategy is aligned towards Sustainable Development Goal (SDG) 6—Clean Water and Sanitation.

Allocations

■ Between FY 2019-20 Revised Estimates (REs) and FY 2020-21 Budget Estimates (BEs), allocations for DDWS increased by 17 per cent.

■ SBM-G is the largest scheme within the DDWS (erstwhile MDWS), accounting for 56 per cent of the Department’s allocations on average. With the integration of ministries to form MJS, the proportion of the total Ministry budget allocated for SBM-G increased from 45 per cent in FY 2019-20 REs to 46 per cent in FY 2020-21 BEs.

■ GoI allocations for SBM-G have been decreasing after reaching their highest Mission allocations of ₹16,948 crore in FY 2017-18. In FY 2018-19, ₹14,478 crore was allocated to the scheme, 15 per cent lower than the previous year. There was a further decline of 8 per cent in FY 2019-20.

■ In FY 2020-21 BEs, GoI allocated ₹9,994 crore to SBM-G – the same as the Budget Estimate (BE) for FY 2019-20, but 20 per cent more than the REs.

SBM-G ALLOCATIONS INCREASED BY 20% FROM 2019-20 TO 2020-21


Note: Figures are in Rupees crore and are Revised Estimates (REs), except for FY 2020-21 which are Budget Estimates (BEs).
Releases

- Budgets for SBM-G are determined through a process of negotiation between GoI and state governments. The negotiation is based on project proposals called Annual Implementation Plans (AIPs) which are supposed to be developed at the Gram Panchayat (GP) level and consolidated at district and state levels. Final approvals rest with the MDWS, now DDWS, within the MJS. Funds are released based on approved budgets, in a consolidated manner for all components without any specific component-wise allocation.

- Overall, ₹62,146 crore had been released by GoI for SBM-G from 2 October 2014 till 23 July 2019, including ₹8,698 crore released from Extra Budgetary Resources of ₹15,000 crore allocated to SBM-G in FY 2018-19.

- In FY 2019-20 till 23 July 2019, ₹4,361 crore or 44 per cent of the allocations for the year had been released by GoI. This funding had been released to states as ‘Performance Incentive Grants’ under the World Bank grant to GoI for SBM-G.

- Of the total amount released by GoI in FY 2019-20 till 23 July 2019, Uttar Pradesh received ₹736 crore or 17 per cent, followed by Maharashtra and Rajasthan which received 9 per cent each.

- Within the SBM-G budget allocations, special provisions are made for the North Eastern Region (NER) states, Scheduled Castes (SCs), and Scheduled Tribes (STs). As per GoI guidelines, 10 per cent of the annual budget must be earmarked for the NER. Similarly, 22 per cent of the annual funding is to be dedicated to the Scheduled Castes Sub Plan (SCSP) and 10 per cent to the Tribal Sub Plan (TSP).

- Not all earmarked funds for the NER have been released. While the NER received 100 per cent of the fund allocated till FY 2017-18, only 83 per cent of the allocated funds were released to NER in FY 2018-19.

- Moreover, funds were released predominantly in the last quarter of the fiscal year. On average, only 45 per cent of the total funds allocated to NER states were released during the first three quarters of each Mission year.

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**44% OF GOI FUNDS HAD BEENReleased TO STATES TILL JULY 2019**

![Graph showing percentage of GoI funds released to states till July 2019]


**Note:** Figures are in Rupees crore and are Revised Estimates (REs).
The pace of fund release of SCSP and TSP funds was more on schedule. On average, 70 per cent of SCSP and 67 per cent of TSP were released by GoI to states during the first three quarters of each Mission year. Since complete data for SCSP and TSP was not publicly available as of 20 January 2020, the total proportion of allocations released could not be calculated for FY 2019-20.

The Ministry of Finance set up the Swachh Bharat Kosh (SBK) to receive voluntary contributions from individuals and as part of Corporate Social Responsibility to facilitate the implementation of SBM. SBK funds are released to states based on sanction orders from the SBK Governing Council.

Till 31 December 2017, ₹450 crore had been given to states from the SBK. Although subsequent cumulative data is unavailable, sanction orders show that in FY 2018-19 ₹288 crore had been released to eight states as per their specific needs, including Tamil Nadu (₹80 crore), Jharkhand (₹60 crore), Uttar Pradesh (₹40 crore), and Tripura (₹40 crore).

Expenditures

Funds available constitutes releases and opening balances. For FY 2019-20, expenditure data was only available for GoI releases at the time of writing. Thus, analysis has been undertaken only of GoI share of releases and opening balances.

Expenditures under the scheme have been higher than funds available resulting in large negative opening balances. In FY 2015-16, only Karnataka had a negative opening balance. In FY 2016-17, 14 states had negative opening balances, ranging from a debit of ₹3 crore in Goa to a debit of ₹506 crore in Odisha. Subsequently, in FY 2017-18, nine states, and in FY 2018-19, six states started with negative opening balances.

In FY 2019-20, till 3 July 2019, expenditure exceeded funds released by GoI by ₹1,155 crore. Opening balance data for FY 2019-20 is not publicly available, hence expenditure out of total funds available cannot be calculated.

From the start of the Mission till 5 December 2019, cumulative expenditure of GoI funds by states stood at ₹56,391 crore. Uttar Pradesh had the highest cumulative expenditure at ₹11,370 or 20 per cent of the overall expenditure.

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 (CSCs);
- Construction of school toilets and hygiene education;
- Construction of Anganwadi toilets; and
- Setting up of Rural Sanitary Marts or production centres and retail outlets responsible for manufacturing and marketing low-cost hardware.

At the time of publication, complete state-wise and component-wise data on releases and expenditures was not publicly available post July 2019. A Right to Information (RTI) query was filed in November 2019 but no response has been received till 1 February 2020.

Expenditure on toilet construction

In order to provide households with access to toilets, two types of toilets are outlined in the SBM-G guidelines: IHHLs and CSCs.
IHHLs are basic low-cost toilets. The Mission provides an incentive for construction with priority given to Below Poverty Line (BPL) households and certain categories of Above Poverty Line (APL) households, such as SCs, STs, small and marginal farmers and landless labourers, physically handicapped (now Divyang), and women-headed households. The incentive of ₹12,000 is to be given to eligible households after the construction of an IHHL. The funds are shared between GoI and states in a 60:40 ratio.

Expenditure on construction of IHHLs accounts for the largest share of spending. From FY 2015-16 to FY 2017-18, over 95 per cent of expenditure had been towards construction of IHHLs. In FY 2018-19, this proportion decreased to 91 per cent.

The proportion of expenditure on IHHLs out of total expenditure from GoI funds further decreased to 67 per cent in FY 2019-20 (as on 3 July 2019). There are, however, state variations. Arunachal Pradesh had incurred less than 1 per cent, and Sikkim had incurred no expenditure on IHHL construction, as a share of total expenditure in the same time period. Other states with relatively low expenditure on IHHL out of total expenditure as on 3 July 2019 were Mizoram (2 per cent), Himachal Pradesh (5 per cent), and Meghalaya (17 per cent).

**Expenditure on IHHLs as a proportion of total expenditure has been decreasing**

<table>
<thead>
<tr>
<th>State</th>
<th>IHHLs as a Proportion of Total Expenditure of GoI Funds</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jharkhand</td>
<td>100%</td>
</tr>
<tr>
<td>Chhattisgarh</td>
<td>98%</td>
</tr>
<tr>
<td>West Bengal</td>
<td>96%</td>
</tr>
<tr>
<td>Haryana</td>
<td>92%</td>
</tr>
<tr>
<td>Meghalaya</td>
<td>86%</td>
</tr>
<tr>
<td>Himachal Pradesh</td>
<td>67%</td>
</tr>
<tr>
<td>Mizoram</td>
<td>56%</td>
</tr>
<tr>
<td>Arunachal Pradesh</td>
<td>40%</td>
</tr>
</tbody>
</table>

Source: RTI response by DDWS dated 3 July 2019.

Community Sanitary Complexes (CSCs) can only be constructed under SBM-G when there is a lack of land or space near households in the village for the construction of IHHLs, and the community raises a specific demand for the same. The community or GP must also take responsibility for the operation and maintenance (O&M) of the complex. The maximum amount per CSC prescribed under the SBM-G guidelines is ₹2 lakh, shared between GoI, state government, and community/GP in a 60:30:10 ratio. CSCs can also be built in public spaces where a large number of people congregate or transit, such as markets, bus stands, etc.

In FY 2018-19, overall expenditure on CSCs has been less than 1 per cent of the total expenditure, with 20 states and UTs reporting less than 1 per cent of total expenditure on CSCs.

In the period FY 2015-16 to FY 2018-19, overall, Sikkim spent more than a quarter of its total expenditure on CSCs, the highest in the country. From FY 2016-17 to FY 2018-19, Sikkim reported 26 per cent, 30 per cent, and 32 per cent of expenditure on CSCs, respectively.

In FY 2019-20 (till 23 July 2019), only 1 per cent of the total expenditure out of GoI funds reported by states had been on CSCs. State-wise data on expenditure on CSCs was not publicly available at the time of writing.
Targets

- The “Baseline Survey” for SBM-G, conducted in FY 2012-13, was the list which determined the target number of households for toilet provision. Since the “Baseline Survey” data has been revised several times in the course of the Mission (as allowed by SBM-G guidelines, updated in October 2017), the target number of households keeps varying. As a result, despite its name, the “Baseline Survey” does not in fact reflect the baseline status of household toilet access, but is instead a dynamic listing of locally identified households eligible to receive an incentive under SBM-G.

- The number of target households eligible for SBM-G incentive has been declining. In FY 2019-20, the total number of households listed in the “Baseline Survey” (including both with and without toilets) decreased by 6,07,279 households between 1 July 2019 and 29 November 2019.

- Additionally, some states reported a decrease in the number of households that had been provided with access to toilets. The degree of variation in targets and past achievements differs across states. For instance, in Rajasthan, as on 1 July 2019, 21,29,328 households were reported to have been provided access to IHHLs in FY 2017-18. This number decreased by 1,52,403 households to 19,76,925 households as on 29 November 2019. Similarly, in Bihar, the number of households reported to have been provided access to IHHLs in FY 2015-16 reduced by 3,027 households in the time period 1 July 2019 to 29 November 2019.

Trends in Toilet Construction

- As on 2 October 2019, the target Mission completion date, access to toilets had been reported to be 100 per cent, a 2 per cent increase from 98 per cent toilet coverage reported on 1 July 2019. According to the SBM-G Management Information System (MIS), 16,35,29,331 households have access to toilets (as on 29 November 2019).

- During the Mission period, 2 October 2014 to 2 October 2019, the largest proportion of IHHLs had been constructed in FY 2017-18 (32 per cent), followed by FY 2018-19 (24 per cent), and then FY 2016-17 (23 per cent). Only 2 per cent of total IHHL construction took place in the final year of the Mission.

- While overall only 1 per cent of households were provided access to toilets through CSCs, Punjab had the highest number of households provided with toilet access through CSCs – more than 3 lakh or 13 per cent. Goa and Mizoram also had a high proportion with 11 per cent of all households in both states with access to toilets through CSCs.

- Despite Punjab having the highest proportion of households accessing CSCs and other non-IHHL toilets, the proportion of expenditure on CSCs out of total expenditure was less than 1 per cent from FY 2014-15 to FY 2018-19. On the other hand, Sikkim reported over 25 per cent of its total expenditure on CSCs, the highest in the country, yet no household was reported to have access to CSCs as per the SBM-G MIS data till 29 November 2019.

Left out of baseline (LOB)

- DDWS had advised all states and UTs to identify rural households that did not have toilet access and provide the necessary support for toilet construction. Subsequently, another category of beneficiaries called “Left Out of Baseline” (LOB) was added on the SBM-G MIS to add those households that had previously been left out of the “Baseline Survey”. The number of beneficiaries that could be added in this category was based on the number approved by the erstwhile MDWS.

- On 9 November 2018, a total of 95,26,433 LOB households were approved by MDWS. As per the SBM-G MIS, the details of 78,33,730 LOB households had been added and 100 per cent of LOB households had been provided with toilet access as on 29 November 2019.

- Of the total households with access to toilets (16+ crore households), 5 per cent had been categorised as LOB. In Uttar Pradesh, 12 per cent of all households with access to toilets had been categorised as LOB—the highest out of all states and UTs. This is followed by Arunachal Pradesh, Gujarat, and Tripura which had 7 per cent of households accessing toilets categorised as LOB.

- Nine states and UTs, including Himachal Pradesh and Kerala, had no household listed in the LOB category, indicating that all eligible households had been covered by the “Baseline Survey”.

Access to Toilets

- Subsequent rounds of the National Sample Survey (NSS) clearly indicate an increase in household access to latrines. As per 69th round of the NSS, 41 per cent of rural households had access to latrines. This increased to 71 per cent as per the 76th round, conducted from July-December 2018.

- Despite this improvement, Odisha had the lowest percentage of households with latrine access at 49 per cent, followed by Uttar Pradesh (52 per cent), and then Jharkhand (58 per cent).

The National Annual Rural Sanitation Survey (NARSS) Round-2, conducted between November 2018 and February 2019, covered a sample of 92,411 households across 6,136 villages in 29 states and 3 UTs. The survey found that out of the total households surveyed, 82 per cent had exclusive access to a toilet, 10 per cent had shared access to a toilet, 2 per cent had access to a community toilet, and 7 per cent did not have access to a toilet.

![7% OF HOUSEHOLDS IN RURAL INDIA DID NOT HAVE ACCESS TO A LATRINE AS PER NARSS DATA](image)


**Toilet Technology**

- The construction of twin-pit toilets is promoted under SBM-G, as human faeces are converted into organic manure within one year. DDWS had also issued a technical handbook suggesting specifications for toilets for safe disposal of faeces which inter alia provides size of toilet pits and distance of the toilet from a water source to prevent ground and surface water pollution.

- The 76th round of NSS showed that the majority (51 per cent) of rural toilets had soak pits. The promoted twin pit technology accounted for only 11 per cent of rural toilets, whereas 22 per cent of toilets had single leach pits.

![MOST TOILETS USED SEPTIC TANKS FOR DISPOSAL OF EXCRETA, AS PER NSS DATA](image)

As per NARSS Round-2, safe disposal methods for households toilets include septic tanks with soak pits, single leach pits, double leach pits or twin pits, closed pits, and closed drains with sewer system. Septic tanks (with and without soak pits) were used in 37 per cent of toilets, and 29 per cent of toilets had double leach or twin pits, the toilet technology recommended by the SBM-G guidelines.

Bihar and Assam had the highest proportion of public toilets (6 per cent) with unsafe methods of excreta disposal as per NARSS Round-2 data.

**Solid and Liquid Waste Management (SLWM)**

- SBM-G provides funds for SLWM up to a cap of ₹7/₹12/₹15/₹20 lakh for GPs having up to 150/300/500/more than 500 households, respectively.

- Expenditures on SLWM have been low but are picking up pace. In FY 2018-19, 4 per cent of total state expenditure and 4 per cent of total GoI expenditure was on SLWM. In FY 2019-20 (till 3 July 2019), on average, 5 per cent of total expenditure from GoI funds was on SLWM.

- States with the highest share of total GoI expenditure on SLWM include Mizoram (91 per cent), Meghalaya (30 per cent), Uttarakhand (21 per cent), and Himachal Pradesh (20 per cent). In contrast, 26 states and UTs reported no expenditure on SLWM out of GoI funds in FY 2019-20, till 3 July 2019.

**26 STATES AND UTS REPORTED NO EXPENDITURES ON SLWM IN 2019-20 TILL 3 JULY 2019**

Source: RTI response by DDWS dated 3 July 2019.
Information, Education, and Communication (IEC) Activities

- According to the 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 GoI level, and 5 per cent at the state level.

- The expenditure on IEC has been increasing over the years. In FY 2015-16, no expenditure on IEC was reported. In FY 2016-17, 1 per cent (₹82 crore) of total expenditure by states from funds released by GoI was on IEC. This increased to 2 per cent (₹208 crore) in FY 2017-18, and further to 4 per cent of GoI funds (₹491 crore) in FY 2018-19.

- In FY 2018-19, including both state and GoI shares, expenditure on IEC remained at 4 per cent of total expenditure. Haryana (26 per cent) and Sikkim (23 per cent) spent the highest proportion of total expenditure on IEC.

- In FY 2019-20 (till 3 July 2019), the expenditure on IEC out of total expenditure of GoI funds was the highest in Tripura (21 per cent), followed by Kerala (13 per cent), Punjab (5 per cent), Tamil Nadu (5 per cent), and Maharashtra (1 per cent). As on 23 July 2019, the total expenditure on IEC in FY 2019-20 out of GoI funds amounted to ₹35 crore, greater than the amount spent on SLWM in the same time period.

Source: RTI response by DDWS dated 3 July 2019.

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Swachhagrahis

- According to the SBM-G guidelines, states may mobilise frontline workers known as Swachhagrahis to work towards behaviour change within GPs. While Swachhagrahis 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 till 22 November 2019, 92 per cent of all 2,58,657 listed GPs reported the presence of at least one Swachhagrahi. There were, however, significant state-wise differences in the number of Swachhagrahis per GP. Only 17 states and UTs had engaged Swachhagrahis in all their GPs. Chhattisgarh had the highest number of Swachhagrahis (91,063, both paid and voluntary), followed by Uttar Pradesh (78,155).
OUTCOMES

ODF Declaration and Verification

- SBM stresses the objective of achieving ODF status, i.e. ‘the termination of faecal-oral transmission, defined by
  - no visible faeces found in the environment/village; and
  - every household as well as public/community institutions using safe technology option for disposal of faeces’
  as per 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 has to undergo multiple rounds of verification, at the block, district,
  and state levels, before being accepted.

- As sanitation is a state subject, verification of the ODF status is carried out at the state level. As per the guidelines
  at least two verifications must be carried out – one within the first three months of ODF declaration, and the
  second after six months of the first ODF verification. While the verification process must capture the two essential
  features of ODF status mentioned above, it is up to states to decide the verification mechanism and protocol.

- On 2 October 2019, the completion date for SBM-G, 100 per cent of all villages across all states and UTs had been
  declared ODF. Of these, 85 per cent of all districts nationwide and 88 per cent of all blocks had been verified ODF.

- From FY 2015-16 to FY 2018-19, the pace of village ODF declaration increased significantly: from 8 per cent of
  villages in FY 2015-16, to 35 per cent in FY 2018-19. In FY 2019-20, the remaining villages (7 per cent) were declared
  ODF.

**55% OF VILLAGES IN ODISHA WERE DECLARED ODF IN 2019-20**

![Bar chart showing percentage of villages declared ODF in different states for various years]

As on 1 July 2019, 85 per cent of villages had completed the first level of ODF verification, and 19 per cent villages had completed the second level of verification. By 2 October 2019, the percentage of villages that had undergone the first level of ODF verification increased to 97 per cent, and villages that had undergone the second level of verification increased to 25 per cent.

In the same time period, the number of villages reported on the SBM-C MIS also decreased. On 2 October 2019, 5,99,963 villages were reported on the MIS, a decrease from the 6,00,498 villages that were visible on the MIS portal as on 1 July 2019. Earlier, on 18 January 2019, 6,00,521 villages were reported on the MIS.

Both rounds of ODF verification in villages had been completed in nine states and UTs, including Andhra Pradesh, Arunachal Pradesh, Chhattisgarh, Gujarat, Haryana, and Kerala, as on 2 October 2019. In 12 states and UTs, including Madhya Pradesh, Rajasthan, Manipur, Maharashtra and Tamil Nadu, the first round of the village ODF verification process had been completed, but the second round had not been started.

Despite being one of the first few states to be declared ODF, 99 per cent of villages in Haryana had completed the first round of ODF verification, and second round had not started. Verification even at the first level was low in states such as Goa (5 per cent), Bihar (73 per cent), and Nagaland (79 per cent).

Although 26 states and UTs had been declared ODF before NARSS Round-2 (before November 2018), instances of open defecation (visible faeces) were found in spaces that were used for open defecation in the past in 7 per cent of all villages surveyed, near and around open grounds in 6 per cent of the villages, and alongside roads in 6 per cent of the villages.

In Odisha, open defecation appeared to continue in areas that were used for open defecation in the past in 40 per cent of villages, the highest in the country. Additionally, the safe disposal of child faeces was a challenge as unsafe disposal methods were observed in 24 per cent of households surveyed.

Toilet Usage

As per the 76th round of NSS, toilet usage is greater among females than males. Out of the households with access to latrines, 95 per cent males and 96 per cent females reported regular latrine usage, and 4 per cent of males and 3 per cent of females with access to latrines reported never using the latrine.

As per NARSS Round-2 data, toilet usage stands at 97 per cent, and the usage of toilets by females is slightly higher than that by males.