

# GUIDELINES FOR SWACHH BHARAT MISSION (GRAMIN)



MINISTRY OF DRINKING  
WATER AND SANITATION



एक कदम स्वच्छता की ओर

OCTOBER, 2017

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Guidelines for  
SWACHH BHARAT MISSION  
GRAMIN

(Revised as on October 2017)



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## ABBREVIATIONS

AEO	Assistant Executive Officer
AIP	Annual Implementation Plan
AIR	All India Radio
APL	Above Poverty Line
ASHA	Accredited Social Health Activist
BCC	Behavioral Change Communication
BDO	Block Development Officer
BPL	Below Poverty Line
BPMU	Block Project Management Unit
BSO	Block Sanitation Officer
CAS	Community Approaches to Sanitation
CBO	Community-Based Organisation
CCDU	Communication and Capacity Development Unit
CEO	Chief Executive Officer
CLTS	Community-Led Total Sanitation
CRSP	Central Rural Sanitation Programme
CSC	Community Sanitary Complex
CSR	Corporate Social Responsibility
DAVP	Directorate of Advertising & Visual Publicity
DD	Doordarshan
DRDA	District Rural Development Agency
DSBM	District Swachh Bharat Mission
DSBMMC	District Swachhh Bharat Mission Monitoring Committee
DWSC	District Water and Sanitation Committee
DWSM	District Water and Sanitation Mission
GOI	Government of India
GP	Gram Panchayat
HRD	Human Resource Development
IAY	Indira Awas Yojana
ICDS	Integrated Child Development Scheme
IEC	Information, Education and Communication
IHHL	Individual Household Latrine
IPC	Interpersonal Communication
JMP	Joint Monitoring Program
KRC	Key Resource Centre
M&E	Monitoring & Evaluation
MDWS	Ministry of Drinking Water and Sanitation
MHM	Menstrual Hygiene Management
MIS	Management Information System
MLALADS	Member of Legislative Assembly Local Area Development Scheme
MLC	Member of Legislative Council
MNREGS	Mahatma Gandhi National Rural Employment Guarantee Scheme
MPLADS	Member of Parliament Local Area Development Scheme

NBA	Nirmal Bharat Abhiyan
NFDC	National Film Development Corporation
NGO	Non-Governmental Organisation
NGP	Nirmal Gram Puraskar
NIC	National Informatics Centre
NRC	National Resource Centre
NRDWP	National Rural Drinking Water Program
NRHM	National Rural Health Mission
NRLM	National Rural Livelihood Mission
NSSC	National Scheme Sanctioning Committee
NSSO	National Sample Survey Organisation
ODF	Open Defecation Free
PAC	Plan Approval Committee
PC	Production Centre
PHC	Public Health Centre
PHED	Public Health Engineering Department
PPP	Public Private Partnership
PR	Panchayati Raj
PRA	Participatory Rural Appraisal
PRI	Panchayati Raj Institution
PTA	Parent Teachers Association
RALU	Rapid Action Learning Unit
RDAC	Research and Development Approval Committee
RSM	Rural Sanitary Mart
SBCC	Social & Behavior Change Communication
SBM (G)	Swachh Bharat Mission (Gramin)
SHG	Self Help Group
SLSSC	State Level Scheme Sanctioning Committee
SLTS	School Led Total Sanitation
SLWM	Solid and Liquid Waste Management
SO	Support Organisation
SPMU	State Project Monitoring Unit
SSA	Sarva Shiksha Abhiyan
SSBM	State Swachh Bharat Mission
SWSM	State Water and Sanitation Mission
TSC	Total Sanitation Campaign
VGf	Viability Gap Funding
VWSC	Village Water and Sanitation Committee
WASH	Water, Sanitation and Hygiene
WSSO	Water and Sanitation Support Organisation

# 1. IMPORTANCE OF SANITATION

Safe sanitation means promotion of safe disposal of human excreta, right use of toilet and avoiding open defecation as well as management of solid and liquid waste. Poor sanitation is a primary cause for many deadly diseases, deaths among children under age five, contamination of ground water sources, loss of family income on account of increased health costs, and compromised human dignity. In managing safe sanitation at each level - household, community, and governments, understanding impacts of poor sanitation, contribution of all key stakeholders including communities, implementation of safe sanitation processes is considered crucial.

## ***Impact on health***

Exposure to contaminated drinking water sources and food with pathogen-laden human waste is a major cause of diarrhoea, and can be affected by cholera, trachoma, intestinal worms, malaria, ascariasis, etc.

WHO observed that one gram of feces can contain 10,000,000 viruses, 1,000,000 bacteria, 1,000 parasite cysts and 100 parasite eggs. Open and untreated human excreta can interact with food through soil, water and crops unless this fecal-oral route is broken through adopting safe sanitation and hygiene practices.

## ***Impact on children and women***

Poor sanitation specially affects children under age of five, as their immunity is not strong enough yet to fight the many diseases caused by poor sanitation. Severe diarrhea alone, the second biggest killer of children in developing countries, kills 1.5 million children each year. Research showed that long-term malnutrition as a result of parasites in the child's body prevents necessary physical and cognitive development and also leads to stunted growth.

Addressing sanitation alone can reduce many of these unwanted effects among children.

Children falling frequently ill, miss school often leading to poor performance. An infected child is also likely to spread infections to his/her peers. When girl students reach adolescence, absence of separate and clean toilet facilities cause discomfort, discourage them to attend school while menstruating and eventually drop out of school.

In addition to health and social burden on young girls and women, poor sanitation also forces them to experience fear, shame, and harassment while having to defecate in the open.

## ***Impact on environment***

Inadequate sanitation and waste management have direct impacts on the environment. Untreated sewage flowing directly into water bodies affect coastal and marine ecosystems, contaminate soil and air, exposing millions to disease.

## ***Impact on economy***

A study by the World Bank says that absence of toilets and conventional sanitation cost India 6.4% of its GDP in 2006. The economic impact of poor sanitation for India is at least USD 38.5 billion every year under Health, Education, Access time and tourism.

# 2. BACKGROUND OF SANITATION IN INDIA

2.1 The rural sanitation programme in India was introduced in the year 1954 as a part of the First Five Year Plan of the Government of India. The 1981 Census revealed rural sanitation coverage was only 1%. The International Decade for Drinking water and Sanitation during 1981-90, began giving emphasis on rural sanitation. Government of India introduced the Central Rural Sanitation Programme (CRSP) in

1986 primarily with the objective of improving the quality of life of the rural people and also to provide privacy and dignity to women. From 1999, a “demand driven” approach under the “Total Sanitation Campaign” (TSC) emphasized more on Information, Education and Communication (IEC), Human Resource Development (HRD), Capacity Development activities to increase awareness among the rural people and generation of demand for sanitary facilities. This enhanced people’s capacity to choose appropriate options through alternate delivery mechanisms as per their economic condition. Financial incentives were provided to Below Poverty Line (BPL) households for construction and usage of individual household latrines (IHHL) in recognition of their achievements.

2.2 To generate awareness on sanitation, the first Nirmal Gram Puraskars (NGP) were awarded to recognise the achievements and efforts made at the GP level in ensuring full sanitation coverage and achieving other indicators of open defecation free GPs. While the award gained popularity in bringing about a desire in the community for attaining Nirmal Status, there have been issues of sustainability in some awardee GPs.

2.3 The ‘Nirmal Bharat Abhiyan’ (NBA), the successor programme of the TSC, was launched from 1.4.2012. The objective was to accelerate the sanitation coverage in the rural areas so as to comprehensively cover the rural community through renewed strategies and saturation approach. Nirmal Bharat Abhiyan (NBA) envisaged covering the entire community for saturated outcomes with a view to create Nirmal Gram Panchayats. Under NBA, the Incentives for IHHLs were enhanced and further focussed support was obtained from MGNREGS. However, there were implementation difficulties in convergence of NBA with MGNREGS as funding from different sources created delays.

### **3. SWACHH BHARAT MISSION**

To accelerate the efforts to achieve universal sanitation coverage and to put focus on safe sanitation, the Prime Minister of India launched the Swachh Bharat Mission on 2<sup>nd</sup> October, 2014. The Mission Coordinator shall be Secretary, Ministry of Drinking Water and Sanitation (MDWS) with two Sub-Missions, the Swachh Bharat Mission (Gramin) and the Swachh Bharat Mission (Urban), which aims to achieve Swachh Bharat by 2019, as a fitting tribute to the 150th Birth Anniversary of Mahatma Gandhi, which in rural areas shall mean improving the levels of cleanliness in rural areas through Solid and Liquid Waste Management activities and making Gram Panchayats Open Defecation Free (ODF), clean and sanitised. ODF would mean 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 institution(s) using safe technology option for disposal of faeces, as defined by the Ministry. The Mission shall strive for this by removing the bottlenecks that were hindering the progress, including partial funding for Individual Household Latrines from MGNREGS, and focusing on critical issues affecting outcomes.

The Guidelines of SBM(G) and the provisions hereunder are applicable with effect from 02.10.2014.

### **4. OBJECTIVES**

To achieve “Swachh Bharat” by 2019, the main objectives of the SBM(G) are as under:

- a) Bring about an improvement in the general quality of life in the rural areas, by promoting cleanliness, hygiene and eliminating open defecation
- b) Accelerate sanitation coverage in rural areas to achieve the vision of Swachh Bharat by 2<sup>nd</sup> October 2019
- c) Motivate communities and Panchayati Raj Institutions to adopt sustainable sanitation

practices and facilities through awareness creation and health education

- d) Encourage cost effective and appropriate technologies for ecologically safe and sustainable sanitation
- e) Develop, wherever required, community managed sanitation systems focusing on scientific Solid & Liquid Waste Management systems for overall cleanliness in the rural areas
- f) Create significant positive impact on gender and promote social inclusion by improving sanitation especially in marginalized communities

## 5. STRATEGY

The Strategy is to move towards a 'Swachh Bharat' by making it a massive mass movement that seeks to engage everyone in the task of cleaning homes, work places, villages, cities and surroundings, in a collective quest.. The focus is to provide flexibility to State governments, as sanitation is a State subject, to decide on their implementation policy, use of funds and mechanisms, taking into account State specific requirements. This is to enable States to develop an Implementation Framework that can utilise the provisions under the Mission effectively and maximize the impact of the interventions. The Government of India's role would be to complement the efforts of the State governments through the focused programme being given the status of a Mission, recognizing its dire need for the country. The key elements of the Strategy include:

- Augmenting the institutional capacity of districts for undertaking intensive behaviour change activities at the grassroots level
- Strengthening the capacities of implementing agencies to roll out the programme in a time-bound manner and to measure collective outcomes
- Incentivizing the performance of State-level institutions to implement behavioural change activities in communities

It is suggested that Implementation Framework of each State be prepared with a road map of activities covering the three important phases necessary for the Programme:

- (i) Planning Phase
- (ii) Implementation Phase
- (iii) Sustainability Phase

Each of these phases will have activities that need to be specifically catered for, with concrete Plans of Action, which shall need specific preparation and planning.

### 5.1 PLANNING

**5.1.1 State Level Planning:** A project proposal shall be prepared by the District, incorporating Gram Panchayat-wise details and scrutinized, and consolidated by the State Government into a State Plan.

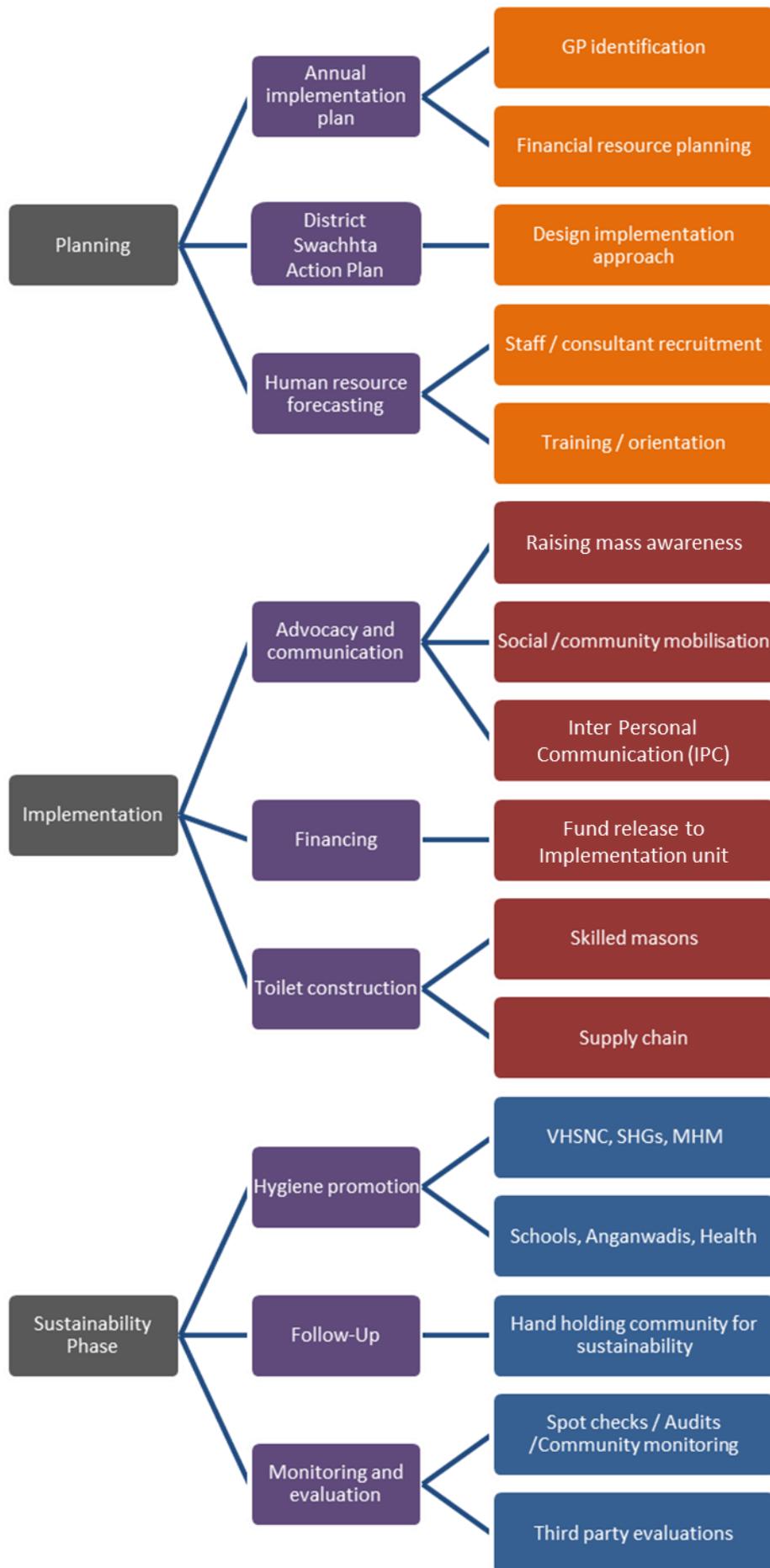


Figure 1: A schematic representation of SBM(G) Programme Implementation

The State Plans shall provide details of the IEC, BCC, triggering exercise, capacity building, implementation, financial support and monitoring activities planned in each district, consolidated for all Gram Panchayats. The State Plan will be shared with the Government of India (Swachh Bharat Mission Gramin - Ministry of Drinking Water and Sanitation). This Plan will include a five-year Project Implementation Plan (PIP) along with five independent Annual Implementation Plans (AIP). The State Project Implementation Plans currently prepared by States on a perspective basis shall be revised based on the baseline data and the revised norms of the SBM(G). The AIP plans shall be approved by the Ministry each year. An Annual Communication Plan should also be included in the AIP of all States. On the basis of formative research and consultation rounds, the State shall develop a tailor-made Communication Strategy, a Communication Plan, and material, and will train community mobilisers to use these tools. The States will be allowed to make inter-district changes in allocation of resources to the individual districts within the overall funding of the State as per the approved Annual Implementation Plan (AIP).

The Baseline Survey data from 2013, collected and entered by States on the IMIS of MDWS by 31.1.2015, will be considered as the base for all States whose survey is complete. For other States, the data entered on completion of the Survey will be taken as the base data.

**5.1.2 District Level Planning:** For purposes of effective planning and implementation of SBM(G), it is proposed that 'district' be considered the base unit of intervention, with the goal of creating ODF GPs. The District Collectors/Magistrates/CEOs of Zilla Panchayats are expected to lead the Mission, so as to facilitate district-wide planning of the Mission and optimum utilization of resources. Each district is expected to undertake a strategic planning exercise to make the District Open Defecation Free in a time bound manner. It is suggested that the districts develop a 'District

Swachhta Plan (DSP)<sup>1</sup> for the rest of the Mission period against which monitoring will be done.

The DSP exercise should include establishing the baseline status, scope of work for making the district ODF, timelines, arrangement for implementation of behavior change initiatives and construction of toilets. Capacities needed to undertake the task should be ascertained and reflected. Plan and arrangements for important tasks like demand generation, choice of technology, construction supervision, geo-tagging of toilets, conversion of insanitary to sanitary toilets, making defunct toilets functional, verification of ODF declared villages etc. are to be indicated in the District Swachhta Plan. The plan is to be prepared in a consultative manner such that ownership is ensured from all stakeholders.

## 5.2 IMPLEMENTATION

### 5.2.1 Behaviour Change/IEC

Behaviour change has been the key differentiator of Swachh Bharat Mission and therefore emphasis is placed on Behaviour Change Communication (BCC). BCC is not a 'stand-alone' separate activity to be done as a 'component' of SBM-G, but about mobilising and nudging communities into adopting safe and sustainable sanitation practices through effective BCC.

**Collective Behaviour Change:** The suggested approach would be to adopt Community Approaches to Sanitation (CAS) focusing heavily on triggering entire communities and on achieving collective behavioral change. Emphasis is to be placed on awareness generation, triggering mindsets leading to community behaviour change and demand generation for sanitary facilities in houses, schools, Anganwadis, places of community congregation, and for Solid and Liquid Waste

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<sup>1</sup> An indicative format for districts to develop a 'District Swachhta Plan' is available on the SBM(G) IMIS at Form H19.

Management activities. Since Open Defecation Free villages cannot be achieved without all the households and individuals conforming to the desired behaviour of toilet use every day and every time, community action and generation of social norms are key.

**Inter Personal Communication (IPC):** Focus will be on use of Inter Personal Communication (IPC), especially for triggering of demand and use of toilets through social and behavioural change communication and house-to house interventions. Hygiene and sanitation intervention to include an essential element of social behaviour change, alongside infrastructure, without which the desired outcomes cannot be achieved.

**5.2.2 Adequate Capacities:** Significant strengthening of the implementation mechanism is envisaged. Administrative and technical experts (e.g. in IEC and BCC, capacity building, technical supervision, SLWM and Monitoring and Evaluation) are to be engaged at the State, District and Block levels. Ministry has empaneled 36 Key Resource Centres(KRCs) and these can be engaged by States and Districts for local level capacity building.

**5.2.3 Swachhagrahis:** There is a need for a dedicated, trained and properly incentivized sanitation workforce at the village level. An army of 'foot soldiers' or 'Swachhagrahis', earlier known as 'Swachhata Doots' could be developed and engaged through existing arrangements like Panchayati Raj Institutions, Co-operatives, ASHAs, Anganwadi workers, Women Groups, Community Based Organisations, Self-Help Groups, water linemen/pump operators etc. who are already working in the GPs, or through engaging Swachhagrahis specifically for the purpose. In case existing employees of line departments are to be utilised, their original Line Departments have to be in clear agreement to the expansion of their roles to include activities under the Swachh Bharat Mission.

States are to decide on the guidelines for their engagement and the honorarium/remuneration, which is essential to attract dedicated and serious workers. Expenses on the Swachhagrahis may be borne through the IEC component of the SBM(G). However, no permanent cadre of Swachhagrahis is to be created. The incentives to anyone including Swachhagrahis who motivate households for toilet construction may be upto Rs. 150 per toilet constructed, or an appropriate amount per village being declared ODF, or any variation of fixed or variable component as decided appropriate by the State. Provision of honorarium post-construction should also be provided to ensure sustainability.

Capacity Building of each of these persons has to be ensured. Role of such workers, including health and ICDS workers, in communicating the consequences of poor sanitation, open defecation and its impact on health on the Community, must be emphasised.

Qualifications for engagement as Swachhagrahis:

1. The individual must be a resident of the GP in which she/he is being engaged and serve on a full time basis.
2. She/he must have access to toilet and should not be practicing open defecation.
3. She/he should possess good command over local language/dialect.

Guidance for engagement of Swachhagrahis:

- The Swachhagrahi shall be a voluntary position with high visibility and motive of social service and not an employment. This message has to be clearly spread in the GP during the selection process itself. However, the Swachhagrahis must be paid an appropriate incentive for their contribution to making villages ODF.
- The GP/VWSC can engage Swachhagrahis for identification of beneficiaries, motivating, assisting in IEC and construction, maintaining records, and ensuring sustained latrine use by every person in each household in the village.

- Each village shall have at least one *Swachhagrahi*. Preference shall be given to women candidates. GPs with more than two *Swachhagrahis*, shall ensure there be at least one woman.
- The *Swachhagrahi* may be issued an identity card and a suitable kit that may include stationery such as pen, notebook, register etc as required, with caps and shirts with SBM(G) logo and suitable design through IEC funds.
- Immediately after engagement as *Swachhagrahi*, induction training may be conducted preferably at the Block or District level or as decided by DWSM. The kit may be given immediately after the training.
- Monitoring the performance of *Swachhagrahis* should be incorporated in the programme monitoring as per suggested criteria in *Swachhta Doot Guidelines 2011*.
- Provision of awards for *Swachhagrahis* doing exemplary work may be made at district and State level, to be distributed on special occasions.

**5.2.4 Civil Society Organisations (CSOs):** The State may also work through Civil Society Organisations with a mutually agreed upon incentive structure. In case of engaging CSOs, the *Swachhagrahis* may be made responsible to the CSO, who will also take the responsibility of paying them incentives.

Reputed Civil Society Organisations (CSOs), Self-Help Groups (SHG), NGOs, international, national and local level organizations with a proven track record of working in specific fields in the social sector may be involved in IEC/BCC/triggering, capacity building, monitoring and if found appropriate, in implementation. Local level mobilisation on sanitation has to be focused, as this cannot be substituted by other communication methods.

**5.2.5 National Rural Livelihood Mission (NRLM):** NRLM is being implemented across India through a huge network of SHGs, Village

Organizations (VO) of SHGs in the villages, Block level and District level Federations of SHGs for improving quality of life, besides strengthening livelihood options. States may tie up with State Project Management Units of NRLM for utilizing the huge network of SHGs for effective IEC and BCC, triggering demand and promoting area-specific toilet design and specification. The SHGs can also be effectively used as a micro financing unit for sanitation infrastructure. The Revolving Fund available under the SBM(G) may also be utilized through the NRLM mechanism. Arrangements for this can be made at the State level. SHGs may also be utilized for working as Rural Sanitary Marts (RSMs) in remote areas where bulk procurement and delivery of quality hardware for toilet construction may be assured through such a system. Funding for this shall also be permitted under SBM(G).

**5.2.6 Sanitation technologies:** While it has been found that twin pit pour flush toilet technology is the most responsive technical option in most geographies, an illustrative list of technology options, with cost implications will be provided to meet the user preferences and location-specific needs. This list shall be continuously updated as new technologies are found and communicated to the beneficiaries providing them with the choice of technological options. MDWS would assist in the preparation of such information. It shall be ensured that sanitary toilets are constructed, which ensure safe confinement and disposal of faeces. Appropriate participation of the beneficiary/communities, financially or otherwise in the setting up of the toilets is advised to promote ownership and sustained use, both at the household and community levels.

The built-in flexibility in the menu of options is to give the poor and the disadvantaged families' opportunity for subsequent upgrading of their toilets depending upon their requirements and financial position.

**5.2.7 Availability of water:** Conjoint programmes may be prioritised at the District

and GP levels under SBM(G) and the National Rural Drinking Water Programme (NRDWP), to maximize the availability of water in villages which is an important factor for sustaining sanitation facilities created. Rural School Sanitation focusing on separate toilets for girls and boys remains a major intervention which shall be implemented under the programmes of the Department of School Education. Water will be provided inside the toilets for both boys and girls. Toilets in Anganwadis shall be provided by the Department of Women and Child Development. Children can be effective sanitation communicators to spread the message of safe sanitation to all. This Mission shall specifically focus on such a campaign, involving educational institutions in rural areas.

**“Coverage of Piped Water Supply with at least 40 LPCD in ODF verified villages** - It has been decided that States/UTs may take up new piped water supply schemes for coverage of at least 40LPCD in the villages which have been verified as open defecation free. States are hereby requested to initiate actions for PWS/40 LPCD in such ODF verified villages on priority to provide coverage by March 2018.”(MDWS Ltr W-11041/9/2015-Water-I dated 10.06.2016)

**“Prioritisation of construction and maintenance of Anganwadi toilets** - It is recommended that State Governments prioritize construction of toilets in Anganwadis and ensure that the toilets are regularly cleaned and maintained. Gram Panchayats must make efforts to construct toilets in the new Anganwadis using the 14th FC grants or their own funds.” (MDWS, MoPR and MWCD, Joint D.O.No. 11/145/2015-CD.I, dated 11.04.2017)

**“Arranging for regular cleaning of school toilets and proper disposal of solid and liquid waste** – The 14th FC has devolved substantial grants to GPs to spend on basic services of which special priority is indicated for water supply and sanitation. While Gram Panchayats are the final decision-making authority on how the resources should be utilized, the Ministry of Panchayati Raj has issued a circular to instruct GPs to give priority to the provision as well as repair of drinking water systems including handwash and toilets in schools. Further, GPs may take lead in convening meeting with Parent Teacher Associations (PTA) and Village Education Committee and put in place proper arrangements for regular cleaning school toilets and disposal of solid and liquid waste generated in schools and may support such activities. To strengthen demand side, PTAs may be asked to approach GPs and indicate need for

proper water supply and sanitation systems as their priority and raise this in Gram Sabhas.” (MDWS, MoPR, MHRD Joint D.O.No.11/145/2015-CD.I, April 2016)

**5.2.8 Incentive:** The provision of incentive to the rural households for Individual Household Latrine Units is available to States which wish to provide the same. However, the Ministry encourages States and Districts to motivate households to make self-investment for construction of households. This may also be used to maximize coverage so as to attain community outcomes. States will have flexibility regarding the utilization of the incentive. Incentives, if given, may be done so to the individual households or to the community as a whole where the community model is necessarily adopted to trigger the demand in GPs/Blocks/Districts, or to a combination of both. Since the incentive for one IHHL is Rs.12,000, the State will be eligible to receive the entire amount (shared between the Central and State Governments). However, the incentive charged on the Mission will be used entirely on the sanitation sector. States will decide on the methodology of the actual construction of toilets to follow triggering of demand under the Programme. Fund flow for IEC, Triggering, capacity building, monitoring activities can be done through the Gram Panchayats or through other agencies like administrative departments, CSOs, NGOs, SHGs etc. as decided by the State. In case of cash transfer, the bank account of the beneficiary may be linked to their Aadhar number, wherever possible. In order to implement DBT, Aadhar seeding of digitized beneficiary database has been mandated. In addition, implementation of parent-child account will enable tracking of the fund utilization and also help in financial management reforms.<sup>2</sup>

**5.2.9 Flexibility to States:** States will have flexibility regarding the utilization of the IHHL incentive. The provision of incentives for IHHLs

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<sup>2</sup> Parent-child account models implemented in Bihar and Madhya Pradesh shared in Annexure X

for rural households is available to States (from the IHHL component) in addition to extensive motivational and behavioral change interventions (from the IEC component). This may also be used to maximize coverage so as to attain community outcomes.

Ideally, the construction activities should be taken up by the individual beneficiaries themselves with support from/or through agencies in the village. States may decide to provide incentive to households in two or more phases at different stages of construction and usage. In the case of community incentive model, the State may also release the funds to an entire village after it has been open defecation free for a significant length of time. Both of these outcomes are to be measured through a robust follow-up monitoring system.

**5.2.10 Monitoring mechanisms:** A robust monitoring arrangement has to be put in place to monitor Open Defecation Free status of a village, the implementation of Solid and Liquid Waste Management projects as well as the construction and use of household toilets, school and Anganwadi toilets, and Community Sanitary Complexes. The monitoring also has to use a robust community led system, like Social Audit.

Community-based monitoring and vigilance committees are essential to create peer pressure. States may decide the delivery mechanisms to be adopted to meet the community needs. In the context of striving for saturation and its consequent implications, it is suggested that the planning for implementation should be at the District level. A systematic criteria for targeting GPs and an appropriate district wide IEC/IPC/social mobilization campaign should be carried out.

An effective monitoring mechanism shall be put in place for monitoring both - outputs (toilet construction) and of outcomes (toilet usage), which could, inter-alia, be in the monitoring of open defecation in the GP. In view of the time scale of the Mission, the monitoring system

shall also have Rapid Action Learning Units (RALU) at the National, State and District levels tasked with studying and analyzing action taken across the country in the rural sanitation programme, evaluating their impact, identifying good practices for up-scaling and also suggesting innovations and a range of options for implementation.

#### **5.2.11 Rapid Action Learning Unit (RALU):**

RALU should be put in place at the National, State and District levels (if found to be required by States), to monitor, evaluate, to provide advice on corrective action and upscale good practices. These units will be small, flexible and specialized to meet these needs and to find fast and effective ways forward, developing, sharing and spreading solutions. This will be based on learnings about Action (what is happening in the field) and from Action (by trying out through Innovative action). RALU will be up to date with field activities under SBM(G), and carry out activities including brainstorming, field trials of innovative approaches, research, sharing and feedback. Detailed instructions on RALU will be issued by MDWS. RALU will be funded through the Administration Component of the SBM(G) from which Monitoring and Evaluation funds are to be provided.

Knowledge Management agencies at the National, State and District levels may also be tasked with studying and analyzing action taken across the country in the programme, evaluating their impact, identifying good practices for up-scaling and also suggesting innovations and a range of options for implementation. States will be assisted to leverage strength of centrally empaneled Knowledge Resource Centres (KRCs<sup>3</sup>) which can be leveraged for local level capacity building, and also knowledge networks, online portals/blogs/ websites, e-learning/ virtual learning systems, and social media to ensure that knowledge processes, protocols are in place,

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<sup>3</sup> <http://mdws.gov.in/key-resource-center-training>

and that knowledge flows freely through the Mission and across all levels.

5.2.12 The Mission shall aim to saturate, on priority, the States/Districts/GPs in all major river basins of India e.g. Sutlej, Ravi, Beas, Ganga, Yamuna, Godavari, Narmada, Tapi, Kaveri, and Brahmaputra. This will ensure the outcomes required for pollution free rivers in addition to ODF communities.

5.2.13 To accelerate coverage in Gram Panchayats selected under the Sansad Adarsh Gram Yojana, these GPs may be selected on priority for coverage under the SBM(G).

## 5.3 SUSTAINABILITY

### 5.3.1 Verification of ODF communities

The term 'ODF' has been defined by GoI and indicators for the same have been developed. To institute credible process to verify villages against these indicators, an effective verification mechanism is a must. As sanitation is a State subject, and States are the key entities in implementation of the programme, the mechanism for ODF verification may best be evolved by the States themselves. The role of the Centre will be to cross-share processes adopted by different States and evolve a mechanism to validate a small percentage of GPs/villages declared ODF by the States and further facilitate and guide the States where there is large difference in evaluation of Centre/State.

5.3.2 Following broad guidelines<sup>4</sup> (indicative only) are provided to help the States evolve their verification process:

a) The process of ODF verification will start with a Gram Sabha or village resolution of self-declaration of achievement of ODF status.

b) The unit of verification may be a village.

c) Since ODF is not a one-time process, at least two verifications may be carried out. The first verification must be carried out within three months of the declaration to verify the ODF status. In order to ensure sustainability of ODF, a second verification may be carried out around six months after the first verification.

d) The State will ensure at least one level of verification of all households in every village that declares itself ODF. If some States may have more than one level of verification, the subsequent verifications can be on a sample basis.

e) The States have flexibility to verify against more indicators beyond GoI's list.

f) The State may choose the means of verification – State's teams or a third party. The State's teams may have non-government, independent, reputed people, including journalists who will cross verify villages/blocks/districts. If a third party is engaged, there will be clear ToRs and standards. Voluntary teams are preferable.

g) The block officials, community may be involved during the process of verification.

h) The verifying teams will have to be appropriately trained to understand ODF definition.

i) Questionnaires may be designed for both village and household levels. The State can design their own proforma for evaluation using their format or use the annexed<sup>5</sup> survey. However, the indicators defined in the definition of ODF must be captured in the survey.

**“Clarification on ODF declaration, verification and sustainability of ODF Status** - It is observed that despite declaration and verification, there are instances of 'slip-back' by some households or 'outsiders'. It may be noted that an ODF declared

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<sup>4</sup> Detailed ODF verification guidelines are available on [www.sbm.gov.in](http://www.sbm.gov.in)

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<sup>5</sup> A model checklist, with suggested questions and options for evaluation has been prepared and annexed at Annexure V

and verified village, district or State does not necessarily lose its ODF status on account of the temporary 'slip-back'. If an ODF declared village is found to have gaps in its status during the verification, the district administration needs to ensure that such gaps are plugged. The ODF declared and verified villages and districts must continue to focus on intensified IEC and behavior change campaigns to ensure that their ODF status is restored and sustained until the practice of defecating in the open by the entire community is eliminated. Any institutional issues that may be found, such as inactive Nigrani Samitis at the village level must be addressed till instances of open defecation are stopped. (MDWS, DO.No.S110/3/2015-SBM, August 22, 2017)

### 5.3.3 Sustaining ODF communities

The achievement of ODF involves working on behaviour change to a great extent, sustenance of which requires concerted efforts by the community. Many districts and States have evolved parameters to maintain sustainability of ODF. The following are indicative means to achieve sustainability, and States may adopt other measures as deemed suitable.

#### A. ODF achievement through community engagement

It is important that ODF has been achieved through a focus on collective behavior change and demand generation, and not through a supply-driven mode. The self-declaration of a village as ODF should be based on a gram sabha resolution, after confirmation by the Nigrani Samiti of the village.

Prior to declaring a village/district ODF, due diligence may be ensured. However, verification may not be considered a pre-condition to declaration and can be undertaken after declaring ODF.

#### B. Rigorous ODF verification

The process of ODF verification, as indicated in the guidelines, is to be duly followed while verifying the ODF status. The verification mechanism adopted by each district in a State must be uniform and as per the protocol issued by the State. States are advised to include surprise checks during dawn/dusk in their verification protocol. The credibility and

independence of the manpower deployed for verification is crucial, as also their orientation and training. For accountability, the ODF protocol of the State may also clearly define the administrative level at which the village is declared/verified as ODF.

Besides the ODF verification, States may also put in place mechanisms for qualitative evaluation of ODF processes in different districts to draw up lessons for cross-sharing and learning.

#### C. Continual engagement with ODF villages

It is important that the district administration/SBM(G) implementation machinery engages with ODF villages for at least nine months after ODF declaration (3 months till first verification, and another 6 months thereafter till the second verification). During these nine months, the following types of activities may be undertaken/coordinated in the ODF declared village:

- *ODF Plus activities:* Water, cleanliness of water sources and public water bodies, decentralized solid and liquid waste management, 3Rs (Reduce, Recycle and Reuse), drains, maintenance of school and Anganwadi toilets, hand-washing and personal hygiene, hand-washing in school before Mid-Day-Meal, awareness and training on pit emptying and faecal sludge management etc.
- These activities can be undertaken as part of Swachh Bharat through SBM(G) or in convergence with other schemes. Instructions have been issued on the conduct of Gram Sabhas to deliberate on the Index of Village Swachhta. These Gram Sabhas may deliberate in depth on the activities that may be taken up.
- *Social Developmental activities:* Anti-liquor, anti-dowry, anti-gambling, universal education, anti-child marriage, benefits to disabled, skill building activities, tree plantation

- *Prioritization of other development schemes in ODF villages:* The State Government can take policy decision regarding prioritizing State Government's schemes such as - water supply schemes, internal roads, watershed, housing etc. in ODF villages similar to Government of India's advisory.
- *Social Audit and discussion of ODF sustainability in Gram Sabhas*

"Priority allocation from Centrally Sponsored Scheme for ODF villages - It is directed to refer to the para 43 of the Budget Speech 2016-17 which states that *in order to continue this momentum, priority allocation from Centrally Sponsored Schemes (CSS) will be made to reward villages that have become free from open defecation.* Concerned Ministries/Departments are to ensure this announcement is adhered to and guidelines of CSS of the concerned Ministry/Department are modified to ensure the same." (Ministry of Finance Ltr F. No. 64(06)/PF.II/2016, dated 13.07.2016)

#### **D. Reorienting role of motivators/ Swachhagrahis**

The role of motivators/Swachhagrahis may be reoriented to carry out the above activities. Similarly, the role of district/Block/cluster coordinators may be reworked in tune with the activities required for sustainability.

#### **E. Processes to support sustainability**

- 'Walk of Pride' may be made a regular feature to be carried out by the village on a monthly basis for around nine months even upon achievement of ODF.
- ODF celebrations should be integrated during celebration of various festivals to promote it as a socio-cultural achievement.
- Villages may consider yearly celebration of ODF achievement day.
- The issue of ODF sustainability should be included on the agenda of all Gram Sabha meetings.
- Gram Panchayat may pass resolution regarding dos and don'ts for ODF sustainability. This may include imposition of fines on defaulters (open defecators), and/or mechanisms for engagement, or

community and peer pressure to stop them from defecating in the open.

- The village has to ensure that any new houses that come up post ODF achievement construct their own toilets. Also, a provision should be made for visitors/migrants through a community toilet or any other means.
- The villages should identify vulnerable people or those people who are likely to revert to open defecation and continue engagement with them to prevent so.
- Adequate arrangements should be made to tackle the sanitation needs during congregations, fairs etc.
- Erstwhile places of open defecation may be developed for planting trees, including trees considered sacred, so as to dissuade people from defecating there.
- A taskforce comprising of officials, motivators and natural leaders may be set-up at block/district levels. The taskforce may meet periodically and keep an eye on activities being undertaken for sustainability. Media may also be engaged to keep a watch on ODF sustainability.
- The State may also examine its incentive structure for construction of toilets and if required, reorient it in such a way that promotes sustainability. For example, some States consider postponement of incentive payment for a few months to confirm usage.

#### **F. Continual role of Nigrani committees, Natural leaders**

Nigrani committees/ natural leaders/ Panchayat representatives who have played critical role in making the village ODF need to continue morning and evening follow-up for at least nine months after ODF declaration. They should also be actively involved in triggering other villages. The district administration should hold regular meetings with them, involve them in various development activities. The district administration should also use social media

extensively to cross-share good practices in different villages.

#### **G. Engagement with schools and Anganwadis**

The Education Department and Woman and Child Development Departments should be involved closely in the sustainability phase. In the village, maintenance of school and Anganwadi toilets should be regularly discussed in the meetings of Village Education Committee and Parent Teacher Association. There should be regular discussions in school by teachers with children on sustaining ODF activities. The school sanitation club activities should be continued.

#### **H. Recognizing and awarding sustained performance**

The State/districts should continue to felicitate publicly Swachhata Champions. The States may also institute award schemes for villages that sustain ODF status.

## **6. COMPONENTS OF SBM (G)**

All States will develop a detailed implementation strategy and plan based on but not limited to the components mentioned below:

### **6.1 Start-Up Activities**

- a. Updating baseline survey - Conducting preliminary survey to assess the status of sanitation and hygiene practices
- b. Orientation of key personnel at the district/GP level and preparation of District Plans
- c. Preparation of State Plan (Programme Implementation Plan – PIP)

6.1.1 All States are to ensure data entry of all households' on the MIS. Any household not entered by the States on the MIS will not be entitled for funds under SBM (G). However, total incentive shall be restricted as per the PIP.

6.1.2 The baseline survey data will be updated by States in April of every year to take into account changes in the GP during the preceding year. This does not envisage re-survey of GPs, but only entry of incremental changes that may have happened in the GP in the preceding year. The updates will be based on a summary revision of the Baseline data. Claims and objections will be filed by individual households for addition or deletion to the Baseline data. The summary revision will be based on a transparent disposal of claims and objections in a Gram Sabha meeting. This will help in updating the status of households with IHHs. Once a village obtains ODF status, the maintenance of the ODF status will be the responsibility of the community. Any new household added to the village must have access to toilets. The State will also be given the option to make corrections in the MIS Baseline data, after approval from MDWS, where there is reasonable explanation for such changes.

6.1.3 Expenditure on Start-up activities will be booked against the IEC Component.

### **6.2 Information, Education, Communication (IEC)**

6.2.1 The Swachh Bharat Mission (Gramin) is not about constructing toilets but aims at behavior change of the masses to adopt better sanitation practices. Therefore, information, education and communication (IEC) strategies, planning and their effective implementation is the key to the success of Swachh Bharat. Thus, IEC activities are not to be treated as 'stand-alone' activity as a 'component' of SBM-G, but the SBM-G is largely about effective IEC to nudge communities into adopting safe and sustainable sanitation practices.

6.2.2 Out of the central fund allocation under SBM(G), 8% is to be utilised on IEC activities. Out of this, 3% is to be utilized at the Central level (MDWS) on a pan India campaign. This shall highlight national priorities on sanitation, hygiene and cleanliness.

6.2.3 The remaining 5% of central share allocation shall be used at the States on IEC/BCC/IPC and all related communication activities, and on capacity building. The State must put in its share of funds for IEC keeping with the Centre-State sharing in the ratio of 60:40 between GoI and the State Governments. States should spend at least 60% of the overall IEC allocation (Central and State share) on Inter-Personal Communication.

6.2.4 **Role of States for IEC:** The States are to lead the IEC/BCC Plans and be responsible for percolation of BCC interventions across the State.

- Developing State BCC/IEC Strategy and Plans
  - Ensure that Planning and Budgeting exercise for IEC/BCC activities has been done for all districts
- Operationalise State Level Activities
  - Mass Media: Amplification of National IEC advertisements on TV/Radio/Community Radio, and/or creative design of State-specific creative material for mass media dissemination
  - Use of social media: Maintaining active Facebook and Twitter pages around Swachh Bharat Mission
  - Regular felicitation of local champions at the State level
  - Using local celebrities to spread the message of SBM
  - Explore further use of innovative tools like Community Radio for connecting directly with local communities
- Ensuring all IEC positions at the State and district level HR Structure are filled appropriately
- Engaging relevant agencies, liaison with Development Partners and forming partnerships to implement the IEC/BCC Plans in the State
- Regular monitoring of progress and timely reporting on the IMIS

- Contributing to 'Swachh Sangraha', Knowledge Management Portal of SBM -G
- Facilitating organization of workshops, conferences, and consultations from time to time for advocacy, capacity building and knowledge sharing among the officials working on sanitation at the grassroots, the media, sector experts, sanitation policy researchers, etc.

IEC/BCC activities should be carried out in the post-ODF phase as well to continue focus on issues such as cleaning and maintenance of toilets, emptying of toilet pits by the household, continuation of usage, developing Gram Panchayat mechanisms to ensure sustainability, ensuring water for sanitation, SLWM activities etc.

6.2.5 **Role of Districts for IEC:** Districts are to prepare a detailed IEC plan as the first part of their Annual Implementation Plans as per their overall strategy to reach all sections of the community. This is to be done with the resources of the IEC consultants at the district level and the State level. Support of local NGOs may be taken for interpersonal communication, selecting motivators, triggering activities etc. Recommendations of RALU should feed into the IEC plans. Assistance of other agencies with expertise in preparing and implementing IEC, BCC plans can be taken. The Annual IEC Action Plan should be approved by the DWSC/DWSM. The Communication and Capacity Development Units (CCDUs) / Water and Sanitation Support Organizations (WSSOs) set up at the State level having IEC Consultants must also support the districts in developing good IEC plans, implementing, and monitoring the same.

Districts are required to:

- Develop detailed IEC Plans for the district (fill relevant sections of the District Swachhta Plan)
- Develop an annual calendar of IEC activities
- Ensure enrollment of one or more IEC Consultants at district level

- Enlist the services of the Zila Swachh Bharat Prerak in scaling up IEC activities
- Use of social media: Maintaining active Facebook and Twitter pages around Swachh Bharat Mission
- Monitor IEC implementation in all GPs

**Detailed guidance on IEC activities are included in IEC Guidelines for States and districts issued by MDWS.**

6.2.6 Funds required for implementing the IEC plan may be provided to Blocks, Gram Panchayats and/or agencies involved in its implementation, under the IEC component. The development of all material<sup>6</sup>/templates may be standardized by the district or the State Mission, if required, in consultation with expert agencies.

6.2.7 The IEC funds should broadly be used in both the pre-ODF and the post-ODF phases so that sustaining the momentum is possible. The project districts, however, shall have the flexibility of deciding this division depending on the baseline survey reports and rate of acceleration of sanitation coverage.

**“Clarification on IEC activities and utilization of IEC funds under SBM(G) - SBM(G) guidelines do not link expenditure of IEC funds with actual expenditure on toilet construction. The IEC activities can be carried out independently without linking it with toilet, construction, subject to ceiling allowed for IEC expenditure”.** (MDWS Ltr No.S -11011/1/2014-SBM, dated 02.12.2016)

**“Clarification on Swachh Bharat Mission (Gramin) implementation –** The guidelines do not make any distinction on the basis of place of stay of person, since the programme focuses at achievement of complete open defecation free communities and provision of access to safe sanitation to all. State may therefore take appropriate decision at their end, also keeping in view the provision of other statutes. Toilets should be provided to be people staying on encroached lands under SBM(G), the same will be delinked from any form of tenure

security or right of title on such land.” (MDWS Ltr No.S-18/10/2015-SBM-Part(1), dated 28.04.2016)

6.2.8 Funds available under IEC may be used for imparting hygiene education to the rural communities, public, as well as students in educational institutions. Although WASH in Schools will be the domain of the HRD Ministry/Department of School Education, the IEC plan should include a component for raising awareness among students, teachers and parents.

6.2.9 Funds available for IEC may be used to raise awareness, disseminate information and skills on Menstrual Hygiene Management. IEC plans should include this component for raising awareness among all stakeholders.

6.2.10 The entire State level Plan for IEC should be approved by the State Level Scheme Sanctioning Committee.

## 6.3 Capacity Building

This component is for building capacities of stakeholders and sanitation workers, the Swachhagrahis/Sena, members of PRIs, VWSCs, functionaries of BPMU, DWSM, ASHA, Anganwadi workers, SHG members, masons, CSOs/NGOs, etc. The training may be on various approaches of IEC promoting behavioural change including Triggering (CAS), IPC and House to House communication etc., masonry work, plumbing, construction and maintenance of toilets, and for Solid and Liquid Waste Management works.

Central and State level Training Institutes, Resource Centers/Key Resource Centers (KRCs<sup>7</sup>) many of which are being centrally empaneled and can be engaged directly by States and districts at pre-defined rates, District Resource Centers, and empaneled NGOs/CBOs and agencies with experience in capacity building should be engaged for such training.

<sup>6</sup> National IEC material is available to States and districts at [tinyurl.com/sbmic](http://tinyurl.com/sbmic) and [tinyurl.com/sbmic2](http://tinyurl.com/sbmic2).

<sup>7</sup> <http://mdws.gov.in/key-resource-center-training>

The District Swachhta Plan of each district should have details of the annual Capacity Building Action plan covering every GP in the district, with identification of the training institute/agency, training components and the intended trainees, with definite timelines. The Capacity building exercise shall be monitored by district authorities, and Swachhata mission of the States.

Funding for the Capacity Building Action plan will be from the IEC budget, with sharing pattern of expenditure between GoI and State in ratio of 60:40.

## 6.4 Construction of Individual Household Latrines

6.4.1 A duly completed household sanitary latrine unit shall comprise of i) a sanitary substructure (that safely confines human faeces and eliminates the need for human handling before it is fully decomposed), ii) a super structure with water facility, and iii) a hand wash unit for cleaning and handwashing. The Mission aims to ensure that all rural families have access to safe toilets and therefore safe technology options are an important component of toilet choice. There are various safe sanitation technologies available like the Twin Pit, Septic Tank with soak pit, Eco-san, Bio-toilets amongst others. The Ministry encourages the promotion of Twin-Pit technology for most parts of the country, however States may look to develop other safe technologies as well, and States shall disseminate information about available technologies and their costs to the beneficiary to enable him/her to make an informed choice.

**“Clarification regarding availability of water for toilets** – It is desired that facility for water storage, handwashing and cleaning of toilets, if not already there, maybe created/strengthened along with construction of a toilet. As sanitation is primarily a behavioral and demand driven issue, this includes behaviour for hygiene as well. Many households may already have provision for water within the house or nearby places, and it suffices if the person uses the

same for toilet purposes and there remains no need for him to invest in a separate water storage facility such as a tank or wash-basin along with constructing a toilet. Prescribing a specific structure leads to supply-driven approach and the user may not use the same, leading to wasteful expenditure. It is therefore clarified that while availability of water for toilet need to be pushed for, the choice of the toilet structure maybe left to the beneficiary/community.” (MDWS Ltr No.S-18/10/2015-SBM, dated 20.07.2015)

6.4.2 While GoI provides flexibility to States in choosing the right toilet technology depending on topography, ground water levels, soil conditions, etc., properly constructed twin-pit toilets are known to have advantages such as low-cost, ease of building, low water consumption, etc.

6.4.3 States can also consider the construction of ‘Row’ toilets and complexes for a group of families, especially where it is not possible to construct IHHLs. It should be ensured that the toilets constructed for individual households meet the minimum design specifications to ensure their sustainability. Care shall be taken to ensure that these toilets are not over-designed and over-constructed (eg: building unnecessarily large pits), to keep them affordable and to prevent contamination of drinking water. States have to ensure that such tendencies are restricted through effective communication. Appropriate information has to be provided to the beneficiary regarding the maintenance of the toilets provided. The toilets must have a superstructure acceptable to the beneficiaries, as poor quality of toilets constructed has been one of the main complaints against earlier sanitation programmes. Various options for the superstructure should be explored and information about the options available are to be provided to the beneficiary for him/her to choose from.

6.4.4 For optional design specifications for some of the onsite technologies of toilets, a

Handbook on Technical Options for On-site Sanitation<sup>8</sup>, issued by the Ministry may be referred to. This publication shall be updated from time to time.

6.4.5 While selecting eligible households for providing incentive under SBM(G), following order of preference shall be ensured:

- a. BPL
- b. APL
  - i. SC/ST
  - ii. Persons with disability
  - iii. Widow/old age pensioners
  - iv. Landless labourers with homestead
  - v. Small farmers
  - vi. Marginal farmers
  - vii. Women headed households

While ensuring the above order of preference, priority may be accorded to cover the households (against each category as mentioned above) having:

- i. Pregnant and lactating mothers covered by Maternal Health Programmes of Central and State Governments, including Janani Suraksha Yojana under National Rural Health Mission, and;
- ii. Girl children covered by any scheme benefiting the girl child

6.4.6 The incentive amount provided under SBM(G) to Below Poverty Line (BPL) /identified APL households shall be up to Rs.12,000 for construction of one unit of IHHL and to provide for water availability including storage for hand-washing and cleaning of the toilet. The aim of the incentive is not to provide the full cost of the toilet but to facilitate a positive change in behavior for people to undertake construction of toilet on their own.

6.4.7 Central Share of this incentive for IHHLs from Swachh Bharat Mission (Gramin) shall be

<sup>8</sup>

[http://www.mdws.gov.in/sites/default/files/Final\\_Handbook.pdf](http://www.mdws.gov.in/sites/default/files/Final_Handbook.pdf)

Rs.7,200 (60%) and the State share will be Rs.4,800 (40%)<sup>9</sup>. For North Eastern States, Jammu & Kashmir and Special Category States, the Central share will be 10,800 (90%) and the State share Rs.1,200 (10%). Special category States are those States declared so by the Government of India from time to time, with the objective to bring these States on par with the development levels of other States. In addition to the North East States including Sikkim, currently Uttarakhand, J&K and Himachal Pradesh are also considered as Special Category States.

6.4.8 The beneficiary is to be encouraged to contribute in the construction of his/her IHHL to promote ownership. The beneficiary may also be encouraged to voluntarily surrender his/her incentive. State Governments also have the flexibility to provide higher incentive for a household toilet, for higher unit costs from sources other than SBM(G). However, this additional funding cannot be from the Central share of any other Centrally Sponsored Scheme.

6.4.9 States shall have the flexibility to decide on the implementation mechanism to be followed. The construction of household toilets may be undertaken by the individual beneficiaries themselves with support from/or through agencies in the village, which is ideal. States may also decide to give the incentive to the individuals, or to communities where the model is adopted to trigger the demand in GPs/Blocks/Districts, or to the Gram Panchayats on the achievement of community objectives.

States should also ensure that the quality of toilet is maintained through sample physical verification through its officers

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<sup>9</sup> The funding pattern as on 5<sup>th</sup> April, 2015 has been revised w.e.f FY 2015-16 as shared in Annexure VI. Funding pattern for 8 North-Eastern States and 3 Himalayan States – Jammu and Kashmir, Himachal Pradesh and Uttarakhand – will be 90:10 basis for all components of SBM(G). For UTs, the funding pattern will be 100% by the Central Government, except in CSCs where funding will be 90:10 (Centre:Community).

6.4.10 Payment of incentives may be in cash or in the form of construction materials or credit vouchers for such materials. In case of individuals being paid the incentive, if required, States may decide to provide incentives to households in two phases, one at the pre-construction stage and the other on completion of construction and usage. In case, cash incentive is provided to the individual, Direct Beneficiary Transfer (DBT)<sup>10</sup> maybe ensured. However, the community/GP incentive, if any, may only be released after the village unit is open defecation free for a significant length of time. Both of these outcomes are to be measured through a robust follow up monitoring system.

6.4.11 Any incentive for the IHHL, provided to the community/GP, **if given**, shall be used only for sanitation activities. The ultimate objective is to ensure behavior change and wean people away from open defecation.

6.4.12 All houses constructed with the Central and/or State assistance should invariably have a safe sanitation facility as an integral part. Provision will be separately included in the Pradhan Mantri Awas Yojana – Gramin (PMAY-G) for provision of functional toilets for PMAY houses.

6.4.13 APL families not covered by the above incentives will be motivated and triggered to take up construction of the household latrines on their own. The IEC activities focusing on behaviour change will provide comprehensive coverage to all the families in the GP without exception. APL families facing fund problems may be assisted through the Revolving Fund as outlined in the guidelines, or through low cost financing from NABARD, banks and financial institutions.

6.4.14 Construction of ‘insanitary latrines’ as defined in ‘The Prohibition of Employment as Manual Scavenger and Rehabilitation Act, 2013’

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<sup>10</sup> Notification on DBT along with case studies at Annexure X

at Para 2.(1) (e) is not permitted in the rural areas. States must ensure complete survey of GPs on priority for presence of any insanitary toilets. The insanitary latrines, if any, should be converted to sanitary latrines and the sharing pattern for incentive for the targeted beneficiaries shall be identical to that of construction of individual household latrines.

## **6.5 Availability of Sanitary Material - through Rural Sanitary Marts (RSM), Production Centers (PC), Self Help Groups (SHG)**

6.5.1 In many States, good quality sanitary material and hardware are accessible through the market with the private sector providing such material competitively. In such States RSMs/PCs are not required.

6.5.2 However in a few States, the penetration of sanitary materials in the market is still inadequate. In such cases, States can decide to utilize the provision of the Rural Sanitary Marts (RSM) and Production Centres (PC).

6.5.3 The Rural Sanitary Mart (RSM) is an outlet dealing with the material, hardware and designs required for the construction of sanitary latrines, soakage and compost pits, vermi-composting, washing platforms, certified domestic water filters and other sanitation and hygiene accessories. The primary aim of an RSM is to provide materials, services and guidance needed for constructing different types of latrines and other sanitary facilities in close proximity to the beneficiaries. RSMs need to ensure that a variety of pans (Rural, ceramic, HDP, fiberglass) are available for the beneficiaries at reasonable rates. RSM should especially have those items required as a part of the sanitation package. It is a commercial venture with a social objective.

6.5.4 Production Centers are the means to produce cost effective affordable sanitary materials at the local level as per local demand suitable for rural consumption. States have to

ensure that monitoring mechanism is set up to ensure that the quality and cost of the products being produced and marketed are of acceptable quality. They could be independent or part of the RSMs.

6.5.5 The Production Centers/Rural Sanitary Marts can be opened in areas where they are required and operated by SHGs/Women Organizations/Panchayats/NGOs etc. Support of private entrepreneurs may also be taken for ensuring an effective supply chain.

6.5.6 In all cases, the Gram Panchayats have to ensure the availability of a pool of trained masons whose services can be utilised for the construction of toilets.

6.5.7 DWSM/DWSC/GPs should have a Memorandum of Understanding (MoU) with the RSMs/PCs along with a system of joint monitoring evolved to ensure that the RSMs & PCs are on track with production plans as per requirement. RSMs should have a method of quality certification of its products and a band of trained masons and motivators.

6.5.8 Quality standards (where notified by BIS or by MoDWS) for each of the items of purchase should be strictly adhered to. This is an important requirement as poor quality products supplied from the RSM/PC can significantly derail the programme.

6.5.9 An interest free loan up to Rs.5 lakh can be given out of the Revolving Fund available with the district in each case for establishing a RSM/PC. Loans from the Revolving Fund for RSM/PC shall be recovered in 12-18 installments after one year from the date of receiving the loan. States may decide on the number of RSM/PCs to be set up as per requirement, ideally with one such unit per block. However large blocks having more than 10,000 population may have multiple RSM/PCs.

6.5.10 The RSM/PC will prepare a Business Plan for each financial year and submit to the DWSM/DWSC for review. Such plan should be practical enough to provide hardware support

for saturating all the villages with IHHLs and other forms of toilets, in its areas of operation. The Business Plan should also reflect sufficient income generation to be able to return the amount to the Revolving Fund of the DWSM/DWSC in fixed installments. Each RSM/PC should report to DWSM/DWSC every six months about its performance against the Business Plan. The District RALU shall monitor the performance of the RSM/PC and provide feedback of necessary interventions to the RSM/PC and to the DWSM/DWSC.

6.5.11 There are an increasing number of Self Help Groups (SHGs) that have come into being under various livelihood support programmes. These SHGs are present extensively in many States. The potential for a sanitation supply chain built around SHGs can be explored and set up by States, which can address the problem of reach, given the widespread adoption of SHGs in the country. States can decide to extend suitable financial support to the SHGs in line with the RSMs and PCs, if necessary, by adopting suitable convergence frameworks with the parent programme.

## **6.6 Provision of Revolving Fund at the District**

6.6.1 A Revolving Fund may be created at the district level out of the SBM(G) funds. The Revolving Fund may be given to Societies, Self Help Groups or other groups as decided by the States, whose credit-worthiness is established for providing cheap finance to their members, for the construction of toilets. Loan from this fund should be recovered in 12-18 installments. States will have the flexibility to decide other terms and conditions for sanction of the Revolving fund.

6.6.2 This Revolving Fund can be accessed by APL households not covered by incentives under the guidelines. Households which have availed incentives under any earlier sanitation scheme can also access such finance as loans. Those households (BPL and APL) covered under the incentive can also approach for financing

under the Revolving Fund to meet the additional cost of improved toilets with bathing facility. Registered SHGs with proven credentials can approach the DWSM for such funding. Upto 5% of the district project outlay subject to maximum of Rs. 1.50 crore, can be used as Revolving Fund, including funding for setting up of RSM/PCs. Provision of the Revolving Fund in a district shall be approved by the DWSM/DWSC and shall be shared between Centre and State on an 60:40 (90:10 for NE and Special Category States) basis.

## 6.7 Micro Financing of Construction of Toilets

6.7.1 To enable the provision of low cost financing to individual households for the construction of household latrines and to leverage the network of NGOs and SHGs identified by agencies like NABARD and other financial institutions, in the wake of the need for universalisation of sanitation facilities, possibilities of setting up a micro-financing arrangement should be explored by the States and the MDWS. This will facilitate converging financial resources, management skills and outreach capabilities to cover the demand of toilets for households not eligible for direct incentives under SBM(G), and/or for those households interested to build a more expensive toilet.

6.7.2 States and districts may examine possibilities to access credit at the local level to further the financing of sanitation activities which may be taken up either independently or in convergence with Swachh Bharat Mission activities. Such financing can be inter-alia through banks, recognized financial institutions or through livelihood programmes.

## 6.8 Community Sanitary Complex (CSC)

6.8.1 Community Sanitary Complexes comprising of an appropriate number of toilet seats, bathing cubicles, washing platforms, wash basins, etc. can be set up in the village at a

location acceptable and accessible to all. Ordinarily, such complexes shall be constructed only when there is lack of land in the village for construction of household toilets and the Community/GP owns up to the responsibility of their operation and maintenance and raises a specific demand for the same. Such Complexes can be developed at public places, markets, bus stands, etc., where large scale congregation of people takes place.

6.8.2 The maintenance of such Complexes is very essential, for which the Gram Panchayat should own the ultimate responsibility and the Operation and Maintenance should be assured. User families, in case of complexes specifically meant for households, may be asked to contribute a reasonable monthly user charge for cleaning & maintenance. For complexes in places of community congregation, pay and use model may be encouraged. The proposal for putting up CSC will be approved by the State level Scheme Sanctioning Committee (SLSSC). Suitable Operation and Maintenance, and monitoring guidelines may be issued by the State to ensure proper maintenance of the complex.

6.8.3 For establishing such complexes in rural areas, the 'Handbook on Establishment and Management of Community Sanitary Complexes in Rural Areas'<sup>11</sup>, issued by the Ministry may be referred to.

**"Priority allocation from Centrally Sponsored Schemes for ODF villages** – Priority allocation from CSS will be made to reward villages that have become free of open defecation." (Ministry of Finance Ltr. F.No.64(06)/PF.II/2016, dated 13.07.2016)

**"Prioritisation of 14th Finance Commission for improving water and sanitation in rural areas** - As the Fourteenth Finance Commission has emphasized on the services relating to sanitation and water, it is imperative that the capacities of GPs are strengthened to help them in carrying out this mandate by sustained handholding. GPs may be

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<sup>11</sup><http://swachhbharatmission.gov.in/sbmcms/writereaddata/images/pdf/technical-notes-manuals/Community-Sanitary-Complex.pdf>

advised to utilize a predominant part of the 14<sup>th</sup> Finance Commission grants on improving basic services like water supply and sanitation. The GPs could consider setting up and managing projects relating to SLWM, public toilets, providing household connections for water supply and O&M of village level water supply schemes, utilizing the 14<sup>th</sup> Finance Commission grants” (MDWS, MoPR Joint D.O.No.S-18012/59/2015-SBM, dated 11.08.2015)

“The village community includes labour (both permanent and temporary). Section 9 of Plantation Labour Act, 1951, stipulates that:

- a) There shall be provided separately for males and females in every plantation a sufficient number of latrines and urinals of prescribed types so situated as to be convenient and accessible to workers employed therein.
- b) All latrines and urinals provided under sub-section (i) shall be maintained in a clean and sanitary condition. Hence there is a provision under the Act to enforce provision of latrine for plantation workers. This provision can be effectively used by the local administration to cover those labourers, who are ineligible for incentive under the SBM(G) scheme.” (Joint Ltr D.O No S-18012/69/2015-SBM, dated 05.02.2016)

6.8.4 The maximum support per unit prescribed for a Community Sanitary Complex is Rs.2 lakh. Sharing pattern amongst Central Government, State Government and the Community shall be in the ratio of 60:30:10. The Community contribution, however, can be made by the Panchayat out of its own resources, from grants of the Finance Commission, from any other fund of the State duly permitted by it, or from any other source as obtained from the State, District or GP. For funding CSC/public toilets, States may also source additional funds from CSR/CSO/NGOs for raising the cost of individual complexes. The mode may be Public Private Partnership (PPP)/VGF which should cater to the need of operation and maintenance of the facilities. Water supply to these CSCs will have to be assured under the NRDWP before a CSC is sanctioned.

## 6.9 Equity and inclusion

6.9.1 Equity and inclusion are of significance in the sanitation and hygiene sector. Providing access to the different categories of people who are not able to access and use safe sanitation facilities shall be a priority of the implementing agencies. Women, children, people of certain castes, faiths and ethnicities, older people, pregnant women, people with disabilities (*Divyangjan*), geographically marginalised populations in remote areas, as well as those living in areas where it is difficult to construct simple toilets due to high water tables, sandy soils or hard rock may be given priority while planning for coverage. These categories of people may also include, among others, those who are socially and economically marginalised and those who are unable to use sanitation facilities constructed with standard designs. Requirements and sensitivities relating to gender<sup>12</sup> including dignity and safety issues shall be taken into account at each stage of planning, implementation and post implementation management of sanitation issues.

6.9.2 Girls and women have hygiene and sanitation needs linked to their menstrual cycle. Women suffer in the absence of knowledge about safe practices on MHM. There are several examples where CSOs and SHGs have worked with the community, informed them about safe menstrual hygiene practices, and also developed economic models to meet the demand for sanitary napkins. This is one area where CSOs and SHGs can play a key role.

6.9.3 Funds available under the IEC component may be used to raise awareness and skills on Menstrual Hygiene Management (MHM), specifically amongst adolescent girls in schools. IEC plans should include an MHM component for raising awareness among all stakeholders. Funds under the SLWM component can also be used for setting up of

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<sup>12</sup> Refer to Guidelines on Gender at Annexure XI

incinerators in schools, PHCs and public toilets, for the safe disposal of menstrual waste.

6.9.4 Many elderly, pregnant women, parents with young children, sick or injured persons may have difficulty with balance, squatting or lifting, etc. Inclusive planning of water and sanitation services benefits the larger community and therefore provision of 'accessible' sanitary facilities<sup>13</sup>, shall be made during the construction of toilets. Suggested models and cost estimates shall be prepared and circulated for the same.

**"Accessibility of persons with disabilities to all community toilets constructed under SBM(G) -** Provision for accessibility to disabled persons may be made in all community toilets constructed under SBM(G)." (MDWS Ltr No.S-18020/91/2016-SBM, dated 09.08.2016)

## **6.10 Solid and Liquid Resource Management**

6.10.1 The objective of SBM(G) is to bring about improvement in the cleanliness, hygiene and the general quality of life in rural areas. Solid and Liquid Waste Management (SLWM) is one of the key components of the programme to create clean villages. To this end, it is essential that the IEC interventions focus on Solid and Liquid Waste Management so as to create a felt need for these activities among the population. This must lead to the setting up of systems for scientific disposal of waste in such a way that has a tangible impact on the population. The Community /Gram panchayat has to be motivated to come forward, demand such a system, and subsequently operate and maintain.

6.10.2 Once the demand is created, to ensure that the resources are used efficiently, SLWM is to be taken up in project mode for each Gram

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<sup>13</sup> A technical handbook on sanitation facilities sensitive to the needs of people with disabilities is available at <http://www.mdws.gov.in/handbook-accessible-household-sanitation-persons-disabilities-pwds>

Panchayat (GP) with financial assistance capped for a GP on the basis of number of households to enable all GPs to implement sustainable SLWM projects. The total assistance under SBM(G) for SLWM projects shall be worked out on the basis of total number of households in each GP, subject to a maximum of Rs.7 lakh for a GP having up to 150 households, Rs.12 lakh up to 300 households, Rs.15 lakh up to 500 households and Rs.20 lakh for GPs having more than 500 households. Funding for SLWM project under SBM(G) is provided by the Central and State Government in the ratio of 60:40. Any additional cost requirement is to be met by funds from the State/GP and from other sources like Finance Commission, CSR, Swachh Bharat Kosh and PPP model.

6.10.3 Under Solid and Liquid Waste Management, the following activities, inter-alia, may be undertaken:

*i. For Solid Waste Management:* States are to decide the technologies suitable to their areas. Technologies identified by the Committee on Technologies may also be considered for implementation. Collection, segregation and safe disposal of household garbage, decentralised systems like household composting and biogas plants shall be permitted. Activities related to maximum reuse of organic solid waste as manure should be adopted. Such technologies may include vermi-composting or any other composting method, individual and community biogas plants. Funds allocated for Solid and Liquid Waste Management may be used to implement safe disposal solutions for menstrual waste (used sanitary cloths and pads) and setting up incinerators in schools, women's Community Sanitary Complexes, Primary Health Centres, or in any other suitable place in village and collection mechanisms, etc., can be taken up. Appropriate technologies that are socially acceptable and environmentally safe may be considered.

*ii. For Liquid Waste Management:* States are to identify suitable technologies and may focus on

maximum reuse of liquid waste for agriculture purposes with least operation and maintenance costs. For collection of waste water, low cost drainage/ small bore system, soakage pit may be adopted.

6.10.4 For treatment of waste water, the following technologies, inter-alia, may be considered:

- a. Waste Stabilization Pond (WSP) technology
- b. Duckweed based waste water treatment
- c. Phytorid Technology (developed by NEERI)
- d. Anaerobic decentralized waste water treatment

6.10.5 For details on the technologies suitable for rural areas, a handbook on “Technical Options for Solid and Liquid Waste Management in Rural areas” and other publications issued by the Ministry of Drinking Water and Sanitation may be referred to on the Ministry website under ‘Publication’.

6.10.6 All GPs are to be targeted for coverage with an SLWM project. SLWM projects for each GP should be part of the Annual District Plan. The Annual District Plan should be approved by State level Scheme Sanctioning Committee (SLSSC). Each individual SLWM project may be approved at the DWSC level as per the technical and financial rules of the individual States.

6.10.7 Every State should have at least one SLWM Consultant at the State level and one SLWM Consultant in each District DWSM/DWSC to guide the preparations of the SLWM projects for each GP. Assistance of professional agencies/NGOs may be sought to prepare/develop/test/implement such projects. The project preparation, supervision and monitoring costs of SLWM projects payable to such agencies may be made a part of the project cost itself. Maintenance costs for the first five years of operation may be made a part of the project cost. SLWM projects can be made financially viable by dovetailing funds from other programmes and sources of funding like MGNREGS, MPLAD, MLALAD funds, Finance

Commission, CSR contribution, Swachh Bharat Kosh, donor funding, etc. Funding from programmes of other Ministries and departments may also be converged.

6.10.8 Sustainable Operation and Maintenance systems have to be put in place before the SLWM projects are taken up.

6.10.9 The Ministry of Drinking Water and Sanitation shall publish information and manuals including technical information on SLWM on the MDWS website from time to time.

## **6.11 Administrative Charges**

6.11.1 States shall be permitted to utilize funds under this component as per requirement. The Administrative Charges shall normally permit expenditure on salary of temporary staff and agencies deployed for the execution of various components of the SBM(G) at State, District, Block and GP levels, support services, fuel charges, vehicle hire charges, stationery, monitoring & evaluation activities, TA/DA to Inter-State and Inter-District survey teams deputed for monitoring and verification, and exposure visits.

6.11.2 In order to implement the projects professionally, Specialists/ Consultants/Agencies from the fields of IEC, Human Resource Development, School Sanitation & Hygiene Education, SLWM, Monitoring and Evaluation etc. may be hired at the State and district levels for the project period.

6.11.3 State Governments are advised to post a government officer as a full-time Block Sanitation Officer. Until that is made operational, the State governments may officially assign SBM(G) activities to a senior official posted at the Block level. He/She may be assisted by a Block Coordinator and a Data Entry Operator engaged on contract who shall be provided emoluments to be decided by State. This Block level arrangement shall be tasked with handholding, supervising and

monitoring every GP in the implementation of the scheme.

6.11.4 Every Block shall be provided with one computer with accessories. Internet connection including monthly charges shall be permissible per block.

6.11.5 Administrative component to be utilised annually, will be up to 2% of programme expenditure in a year. This will be adjusted at the district level where the authority will be to incur expenditure of 1.8%. The State will be authorised to incur expenditure upto 0.2% of total program expenditure of all districts taken together. Sharing pattern of expenditure will be 60:40 between Centre and State, which will be adjusted at the end of financial year. Unspent balance in this component will be carried over to the next year.

6.11.6 To ensure that monitoring and evaluation activities are carried out in the States, 5% of all the funds available at the State level for administrative expenditure shall be utilised for relevant monitoring and evaluation studies of the programme. State will make arrangements for concurrent monitoring and social audits. Third party/independent evaluations and impact studies may also be conducted by reputed national level agencies empanelled for the purpose.

6.11.7 The following items of expenses are specifically prohibited under *Administrative Expenses*:

- a. Purchase of vehicles
- b. Purchase of land and buildings
- c. Construction of official buildings and rest houses (this excludes toilet units needed for SBM(G) projects)
- d. Expenses for any political party and religious organisations
- e. Expenses for gifts and donations
- f. Temporary transfer of funds to any other scheme or fund in the State

## **7. NATIONAL SCHEME SANCTIONING COMMITTEE**

7.1 National Scheme Sanctioning Committee (NSSC) will be constituted under SBM(G) for specific periods to approve or revise the Perspective Plan called the Project Implementation Plan (PIP) for the States/districts, and the Annual Implementation Plan (AIP) as and when received the State/UT Governments duly approved by the State Level Scheme Sanctioning Committee (SLSCC) and finalized by the Appraisal Committee.

7.2 The constitution of the NSSC shall be as follows:

1. Secretary, Ministry of Drinking Water And Sanitation - Chairperson
2. Additional Secretary & Financial Advisor, Ministry of Drinking Water and Sanitation
3. Secretary in-charge of rural sanitation of the State whose proposal is to be considered
4. Joint Secretary in-charge of Sanitation, Ministry of Drinking Water And Sanitation - Member Secretary
5. Two experts on rural sanitation as nominated by the Chairperson

## **8. IMPLEMENTING AGENCIES**

Implementation of SBM(G) requires large scale social mobilization and monitoring. A five-tier implementation mechanism should be set up at the National/State/District/Block/Village level as given below.

### **8.1 National Swachh Bharat Mission (G) – NSBM(G)**

8.1.1 The Swachh Bharat Mission will be set up at the Ministry of Drinking Water and Sanitation. Secretary DWS will be the Mission Director, to be assisted by Additional Secretaries, Joint Secretaries, Directors, Deputy Secretaries and Technical Advisors as is decided by the Government of India from time to time.

8.1.2 The Mission will have a Monitoring and Evaluation Cell which shall be responsible for carrying out relevant and suitable annual or

biannual monitoring exercises of the implementation of the SBM(G) in States, in consultation with other agencies like NSSO, Registrar General of India. The Cell shall be responsible for coordination with States and districts on Monitoring. The Cell shall also monitor the reports and publications brought out by various agencies and organizations regarding the changing sanitation situation in the country.

8.1.3 The Cell will also have the responsibility of monitoring the activities of all other Ministries of Government of India and individual States / UTs with respect to the Swachh Bharat Mission.

8.1.4 The Cell will work towards developing the SBM(G)-MIS of the Ministry in coordination with the NIC.

8.1.5 The Mission will have a Communication Cell that shall prepare and implement the Annual and long term Communication Plan for the Swachh Bharat Mission (G). The Cell will coordinate with the Ministries of I & B, DAVP, DD, AIR, NFDC and other communication agencies on the plan. The cell will also monitor the Communication Plan and activities of States to ensure commonality of focus and purpose.

8.1.6 The National Resource Centre (NRC), a group of experts in various aspects of sanitation and water supply, situated within the MDWS shall be a technical assistance unit to the Swachh Bharat Mission (G).

## **8.2 State Swachh Bharat Mission [SSBM(G)] - State Water and Sanitation Mission (SWSM)**

8.2.1 As a step towards achieving coordination and convergence among State Departments dealing with Rural Sanitation, Rural Drinking Water Supply, School Education, Health, Women and Child Development, Water Resources, Agriculture, Publicity etc. a State Swachh Bharat Mission (Gramin) [SSBM(G)] -

should be set up at the State/UT level. It shall be a registered society under the aegis of the Department/Board/Corporation/Authority/Agency implementing rural water supply and sanitation programme in the State.

8.2.2 While States shall decide on an appropriate structure, there should be an Apex Committee at the State level to aid and advise the State Mission. The Committee should be headed by the Chief Secretary with Secretaries in-charge of PHED, Rural Development (RD), Panchayati Raj (PR), Finance, Health, Information and Public Relations (I&PR) as members. Principal Secretary / Secretary of the Department in-charge of Sanitation in the State shall be the nodal Secretary responsible for all the SSBM(G) activities and for convening the meetings of the Mission. Experts in the field of sanitation, hydrology, IEC, HRD, MIS, media, NGOs etc. may be co-opted as members.

8.2.3 The State Swachh Bharat Mission (Gramin) [SSBM(G)], may be located within the implementing Department of the State government with the Minister-in-Charge of the Department as the Chairperson of the Governing Body. The Principal Secretary/Secretary in charge of the implementing Department will be the Vice Chairman and the Mission Director, the Member Secretary.

8.2.4 The SSBM(G) Directorate headed by a senior State level official shall supervise implementation of SBM(G) in the project districts at the State, facilitate convergence mechanism between line departments, ensure preparation of the Annual Implementation Plan for each district as per requirement, consolidate the same into the Annual Implementation Plan of the State, share and discuss the same with the MDWS/NSBM(G), receive Grant-in-aid from Centre and disburse to the DWSMs/ Zila Parishad/ DRDA as per requirement. States shall provide adequate administrative, technical and support staff for the State Mission.

Remuneration of all government employees in the Mission will be borne by the State. The SSBM(G) can engage technical experts as Consultants to be supported under the programme.

8.2.5 The State Level Scheme Sanctioning Committee (SLSSC) is a Committee comprising of representatives of various technical departments, institutions and organizations as decided by the State Government to examine and approve district projects and other proposals of technical nature at the State level. The Committee shall have a representative from Ministry of Drinking Water and Sanitation.

**8.2.6 Water and Sanitation Support Organization (WSSO)/ Communication and Capacity Development Unit (CCDU) currently in place for sanitation shall be merged with the SSBM(G).** In case drinking water supply and sanitation are being looked after by different departments, the WSSO (Sanitation) may be merged with the SSBM(G).

8.2.7 Accounting arrangements for the SSBM(G) shall be as existed for the SWSM, and as amended by the MDWS and State Government from time to time.

8.2.8 The administrative support component of the SSBM(G) shall ideally consist of the following human resources at a minimum:

Director:	1
State Coordinator:	1
Consultants:	
HRD/Capacity Building Specialist:	1
IEC Specialist:	1
M & E Specialist:	1
SLWM Specialist:	1
MIS Specialist:	1
Accountant:	1
Data Entry Operator:	2

States are to decide on the specializations and emoluments of all Consultants. However, States should keep parity with the emolument

structure of other programmes like MGNREGS and NRLM.

### **8.3 District Swachh Bharat Mission [DSBM(G)]**

8.3.1 A District Swachh Bharat Mission [DSBM(G)] is to be formed at the district level with suitable changes in the existing District Water and Sanitation Mission/Committee (DWSM/C). As the line departments will play catalytic role in implementation of the programme, the role of the District Collector/Magistrate/CEO Zilla Panchayat shall be pivotal.

8.3.2 While States shall decide on an appropriate mechanism, the suggested composition of DSBM(G) is as follows:

- DSBM(G) shall be headed by Chairman of Zilla Parishad. The District/Deputy Commissioner/Magistrate/CEO Zilla Panchayat shall be the Executive Vice Chairman.
- The members would be – all MPs/MLAs and MLCs of the district and Chairperson of the concerned Standing Committees of the Zilla Parishad or their representatives; CEO/AEO of the Zilla Parishad; District Officers of Education, Health, Panchayati Raj, Social Welfare, ICDS, PHED, Water Resources, Agriculture, Information and Public Relation;
- NGOs can be identified by the DSBM(G) and co-opted into the Mission as members.
- CEO of the District Panchayat/Parishad; the Executive Engineer of PHED/District Engineer of the ZP/ any other officer approved by SSBM(G) shall be the Member Secretary.
- The Mission shall meet at least once a quarter.
- DSBM(G) should plan and advise on implementation of the SBM (G) in the district with appropriate IEC strategies and convergence mechanisms with all line departments.

8.3.3 A District Swachh Bharat Mission Management Committee (DSBMMC) chaired by the District Collector/Magistrate and comprising of all district level officers of relevant departments and all BDOs/ Block level officer in charge of sanitation, shall be formed and shall meet once a month to plan and monitor the implementation of the Mission. The Committee will carry out regular Block and GP level reviews. The District/Deputy Commissioner/Magistrate/CEO Zilla Panchayat shall be the nodal officer responsible for the implementation of the Mission. Remuneration of all government employees in the Mission will be borne by the State. The DSBMMC can engage technical experts as Consultants to be supported under the programme.

8.3.4 Accounting arrangements for the DSBM(G) shall be as existed for the DWSSM, and as amended by the MDWS and State Government from time to time.

8.3.5 At the implementation level of the district, the following human resources shall ideally be ensured in the DSBM(G):

District Coordinator i/c of SBM(G):	1
Assistant Coordinator (Tech.)	1
Consultants:	
IEC/Equity/Social and Behavioural Change Communication:	1
HRD/Capacity Building:	1
M & E cum MIS:	1
Technical expert-Sanitation & Hygiene:	1
SLWM :	1
Accountant:	1
Data Entry Operator:	2

States are to decide on the specializations and emoluments of all Consultants. However States should keep parity with the emolument structure of other programmes like MGNREGS and NRLM.

## 8.4 Block Programme Management Unit (BPMU)

8.4.1 The role of Block level intervention in the rural sanitation sector needs to be significantly strengthened to provide guidance, support and monitor sanitation status in GPs. The Block level is the ideal unit for providing support to a GP or a group of GPs. States should finalise the Block level arrangements as per requirements.

8.4.2 Ideally, State has to set up a Block Programme Management Unit (BPMU). The BPMU shall work as a bridge between the district experts and the GPs, and provide continuous support in terms of awareness generation, motivation, mobilization, training and handholding of village communities, GPs and VWSCs. The BPMU will serve as an extended delivery arm of the District Mission in terms of software support and act as a link between [DSBM(G)] and the GPs/ VWSCs/ village communities.

8.4.3 The State Governments are expected to post a Government officer as a full time Block Sanitation Officer (BSO). Till such arrangements are made, the State may designate a senior block level official as the BSO. He may be assisted by a Block Coordinator and a Data Entry Operator engaged on contract who shall be provided emoluments to be decided by States. This Block level arrangement shall be tasked with handholding, supervising and monitoring of the programme and the quality of toilets being constructed and their usage every GP. Social Mobilisers may be needed at the Block level to assist village level workers or Swachhata Sena.

8.4.4 States can also set up a sub-block i.e. cluster level units in places where there are a large number of GPs in a Block. A team of Social Mobiliser and technical supervisor may be engaged for 20-30 GPs. States are to decide on the emoluments of all persons engaged at the Block and Cluster levels.

8.4.5 Capacity building and generating awareness including Triggering demand among the community on various aspects of sanitation will be taken up by BPMUs though the designated CSO/Swachhagrahis/Sena etc. It will also help the GPs in achieving ODF status, sustaining and building on it with effective motivation and low cost management of solid and liquid wastes.

8.4.6 Expenditure towards these personnel may be incurred from the Administrative head of the SBM(G).

## **8.5 Gram Panchayat/ Village Water and Sanitation Committee**

8.5.1 The Gram Panchayats have a pivotal role to play in the implementation of the programme. States may decide to channel the fund flow for activities at the GP level through the Gram Panchayat institution. All Institutions and Committees working within the GP framework have to prioritize sanitation within their programmes.

8.5.2 A Village Water and Sanitation Committee (VWSC) shall be constituted as a sub-committee of Gram Panchayat, for providing support in terms of motivation, mobilization, implementation and supervision of the programme. The VWSC should play a crucial role in the comprehensive and saturation approach to ODF Grams. The membership of a VWSC may have representation from each Ward of the GP and 6 more members. Women should form 50% of the members. There should be representation from SCs and STs and poorer sections of the society. This committee should function as a Standing Committee on Water and Sanitation of the Gram Panchayat and should be an integral part of the Village Panchayat. The composition and functions of the VWSC can be determined by the State Government.

8.5.3 A separate account may be opened for each Village and Water Sanitation Committee of a GP and "Sarpanch/Pradhan" of the GP should

be the Chairperson of each VWSC. The Swachh Bharat Funds should be routed through the account of the VWSC/GP. The account shall be subject to audits held from time to time including Social Audit.

8.5.4 The GPs and the VWSCs shall endeavor to make their GPs ODF and Swachh at the earliest. States should recognise and confer awards to such GPs.

8.5.5 While the participation of the local bodies is advised, there shall be flexibility at the State and district levels to decide on the methodology of the implementation of the programme depending on local conditions and the role that the GPs and the VWSCs shall play.

## **8.6 Role of MDWS in Ensuring Adequate Infrastructure**

The creation of adequate infrastructure for the implementation of the SBM(G) in the State, shall be monitored by the MDWS, which may issue necessary advisories on the matter. Approval of the AIP of the States and release of assistance may be made contingent on compliance with such directions

## **9. ROLE OF PANCHAYATI RAJ INSTITUTIONS**

9.1 As per the Constitution 73rd Amendment Act, 1992, Sanitation is included in the 11th Schedule. Accordingly, Gram Panchayats have a pivotal role in the implementation of SBM(G). The programme may be implemented by the Panchayati Raj Institutions at all levels. Their exact role shall be decided by the States as per the requirement in the State. The GPs will participate in the social mobilization for the triggering demand, construction of toilets and also maintenance of the clean environment by way of safe disposal of waste. Experienced and reputed NGOs can be considered for participation for assisting in carrying out Inter-personal Communication and Training. Community Complexes constructed

under the SBM(G) will be maintained by the Panchayats/Voluntary Organizations/Charitable Trusts through funds available from Finance Commissions, user charges, other State funds, CSR funds etc. Gram Panchayats can also contribute from their own resources for school sanitation and Solid and Liquid Waste Management infrastructure over and above the prescribed amount. The districts shall endeavour to obtain support for GPs from Businesses, Corporates, social organisations, and Institutions like Banks and Insurance Companies for the creation of assets and the operation and maintenance. The GPs will act as the custodian of the assets such as the Community Complexes, environmental sanitation infrastructure, drainage etc. constructed under SBM(G). GPs can also open and operate the Production Centers/Rural Sanitary Marts.

9.2 GPs can play a key role in promoting regular use, maintenance and upgrading of toilets, SLWM components and Inter-Personal Communication for hygiene education. Agencies who are in the frontline of implementation have a key role in ensuring that safety standards are being met with all components of SBM(G), e.g. the distance between water source and a latrine – adhering to the minimum distance for IHHL and Community Sanitary Complexes, regulating pit-depth, pit lining to prevent pollution, collapse of pit, etc. The same will apply to key hygiene behaviour such as keeping the environment around hand pumps / water sources clear, tidy and free of human and animal excreta.

9.3 Both Block level and district level PRIs must regularly monitor the implementation of the Programme. GPs must also play a role in the monitoring of the SBM(G) programme. The GP will organise and assist in organizing Social Audits of the programme. Social Audit meeting will be held in each GP once in six months. The DSBM(G) and the BPMU shall be responsible to ensure that this schedule is adhered to.

9.4 An important part of crystallizing community level action towards ODF is the

adoption of a GP wide resolution or pledge to be taken as milestone of the triggering activity. This can be an important process towards ODF status in the GP and has to be used appropriately and effectively.

9.5 The responsibility of Social Audit of the programme shall be given to any specific village level body/committee/SHG etc. which shall be carried out in coordination with the GP.

## **10. ROLE OF COMMUNITY BASED ORGANISATIONS/ NON-GOVERNMENTAL ORGANISATIONS/ SELF-HELP GROUPS/ SUPPORT ORGANISATIONS**

10.1 If utilized effectively, CBOs/NGOs/SHGs/other organisations can have a catalytic role in the implementation of SBM(G). The outreach and ground level connect that such organisations can deliver can be tapped in the Programme to achieve positive results. They can be for active involvement in the IEC activities including in Triggering leading to demand generation and sustained use of the facilities, in capacity building, assistance in construction and ensuring sustained use of sanitation facilities.

10.2 Ideally, every GP should have one Support Organization (S.O.) associated with it for assisting in furthering the sanitation programme. The State and District Missions may take necessary steps to provide for an S.O. to each GP.

10.3 *Awareness generation and information dissemination:* These Organisations can generate mass awareness of the community against open defecation, hygiene and environmental sanitation, safe drinking water, etc. by planning and implementing diverse, effective and multiple evidence based participatory communication strategy.

10.4 *Institutional building:* CBOs/NGOs/SHGs/other Organisations can be engaged for implementation of block level institutions like BPMU by engaging human resources, following the stipulations in respect to qualifications, experience, compensation, etc. They can play a significant role in the capacity building of the community in developing and implementing Village Sanitation and Water Security Plan, environmental sanitation inclusive of Solid and Liquid Waste Management (SLWM) and capacity building of members of PRI, VWSC ,VOs and grass root level workers .

10.5 *Capacity building:* These organisations can be effectively engaged for capacity building process as National, State and District level Key Resource Centers. After ensuring their credentials and past records, they may be engaged for preparing modules for functionaries (i.e. District Coordinators, Block Coordinators, Cluster Coordinators, BDOs, PRI, grassroots level workers like Swachhagrahis, ASHA, Anganwadi workers, SHGs, PRI, teachers, members of VWSCs, masons etc.

10.6 *RSM/providers of quality hardware for toilets:* In many States, with varieties of options of toilet parts like pan, pan trap, tiles, rings for pits, lid of pit, pipes, doors, roof are available even at Block level. Households have the options of purchasing varieties of toilet parts of their choice at Block level near GPs. However, in some States where GPs are situated in remote areas, RSM is still an inevitable requirement for ensuring supply chain of individual household toilets, community toilets school toilets and Anganwadi toilets. CBOs/NGOs/SHGs/other organisations may be engaged effectively in ensuring quality bulk supply of hardware for toilets. However, to ensure sustainability through supply of quality components and construction of toilets, the specifications of materials like ceramic pans, pan traps, pipes, super structure of bricks, brick lining in pits or rings made of concrete, depth and diameter of

pit, roof of asbestos/tin, doors with iron frame, twin pits, etc. should be stipulated.

10.7 *Monitoring and Evaluation:* CBOs/NGOs/SHGs/other Organisations may also be engaged to conduct monitoring and evaluation surveys and Participatory Rural Appraisals (PRA) specifically to determine key behavior and perception changes regarding sanitation, hygiene, water use, O&M, etc, either by themselves or as a partner to the GP. The S.O can assist in Social Audits.

10.8 *Selection of CBOs/NGOs/SHGs/other Organisations:* It has to be ensured that organisations of repute, good track record and experience in social sectors are engaged. They should be selected by a fair and transparent process based on competence, ability and capacity. Keeping in view the State-specific requirements vis-à-vis prevailing situation, the eligibility or qualifying criteria should be defined. The agencies selected should have evidence based skill, specialization and experience in the desired field. Adequate resources need to be allocated, so that capacities of CSOs can be built, for enabling them to deliver effectively. Monitoring of the performance of such organizations has to be done once every six months by the District Collector/ Deputy Commissioner/ Magistrate/CEO Zilla Panchayat and only those showing satisfactory results are to be retained. As these organizations shall be working at the GP and Block levels, it shall be the responsibility of the District Collector/Deputy Commissioner/Magistrate/CEO Zilla Panchayat to ensure the engagement and performance of these agencies.

10.9 These Organisations should work in the supervision of the DSBM(G) and the BPMU and in coordination with the district level RALU. States shall choose such dedicated CBOs/NGOs/SHGs/other Organisations with a good track record following a transparent process. The work of these Organisations should be reviewed at least quarterly.

## 11. ROLE OF CORPORATE BODIES/PSU and CORPORATE SOCIAL RESPONSIBILITY

11.1 Corporate houses should be encouraged to participate in the SBM(G) as an essential part of the Corporate Social Responsibility (CSR). There is realisation that a healthy workforce can contribute towards better services for their output. Getting popularity for marketing of their products and services or mere status also attract corporate houses towards taking up social causes and increasing interaction with people. Thus, SBM(G) can serve as a platform for the Corporate Houses to help address their CSR.

11.2 The MDWS has released the Corporate Collaboration Framework which suggests how corporates can associate with the SBM(G). The Corporate/PSUs may take up the issues of sanitation through IEC, HRD or through direct targeted interventions such as:

- a) Establish demonstration fields/ rural sanitation parks for exposure of various technology options available under SBM to the rural populace
- b) Organise exhibitions/sanitation *melas*
- c) Provide necessary exposure to the children in schools about proper sanitation and hygiene
- d) Provide additional incentive to rural households in form of suitable sanitary materials or create sanitation facilities for the rural populace through appropriate local organisation
- e) Provide sanitary complexes in markets, other public places, around work places or alike
- f) Provide assistance in effective Solid and Liquid Waste Management technology and resources
- g) Provide trained manpower for maintenance of sanitation facilities and/or SLWM establishments

- h) Propagate the programme through mass media and GP level interventions
- i) Adopt habitations/villages/GPs to make them ODF

11.3 The MDWS also has issued guidelines<sup>14</sup> to facilitate the involvement of CSR resources in sanitation works. States can use these guidelines as a base to develop their own procedure to attract/receive and utilise CSR funds.

“Allocation of CSR fund by CPSEs for Swachh Bharat activities - A Group of Secretaries constituted for ‘Swachh Bharat and Ganga Rejuvenation’ has recommended for spending 33% of the CSR funds by Central Public Sector Enterprises (CPSEs) towards achieving goal of Open Defecation Free country. As per item no. (i) of Schedule VII of the Companies Act, 2013, CPSEs under their Corporate Social Responsibility (CSR) policy may select a number of activities including sanitation, contribution to ‘Swachh Bharat Kosh’ set up by the Central Government.” (Ministry of Heavy Industries & Public Enterprises Ltd No.CSR-01/0003/2016-Dir(CSR), dated 01.08.2016)

11.4 The MDWS has also enlisted 32 CBOs/NGOs services of which can be utilised for the CSR supported sanitation projects. State Swachh Bharat Mission (G) will have a dedicated person who will be responsible to solicit and process CSR projects in the State. At the district level, one consultant shall be identified to work on CSR projects with Corporates, businesses, funding agencies as well as Gram Panchayats and implementing CBOs/NGOs.

11.5 The MDWS will assist in coordinating the implementation of CSR projects in sanitation.

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<sup>14</sup> Guidelines for Corporate Social Responsibility (CSR) in sanitation are available at: [http://sbm.gov.in/cfd/Document/Guidelines\\_CSR\\_SBM.pdf](http://sbm.gov.in/cfd/Document/Guidelines_CSR_SBM.pdf)

## 12. PROJECT FUNDING

### SBM(G) component-wise earmarking and funding pattern

S.No.	Component	Amount earmarked as percent of the SBM(G) project outlay	Contribution Share		
			GOI	State	Beneficiary Household/Community
a.	IEC, Start Up Activity and Capacity Building	Up to 8% of total project cost, with 3% to be utilized at the Central level and 5% at State level.	60%	40%	0%
b.	Revolving Fund	Up to 5%	60%	40%	0%
c.	(i) Individual Household Latrines	Actual amount required for full coverage	Rs.7200 (60%) [10,800 (90%) in case of NE States, J&K and Special category States]	Rs.4800 (40%) [1200 (10%) in case of NE States, J&K and Special category States]	0%
	(ii) Community Sanitary Complexes	Actual amount required for full coverage	60%	30%	10%
f.	Administrative charges	Up to 2% of the project cost	60%	40%	0%
g.	Solid/Liquid Waste Management (Capital Cost)	Actual amount as per SLWM project cost within limits permitted	60%	40%	0%

No additional funding from any other Centrally Sponsored Scheme will be permitted.

## 13. ANNUAL IMPLEMENTATION PLAN (AIP)/ INCENTIVISING GOOD PERFORMANCE

13.1 The main objective of the Annual Implementation Plan (AIP) is to provide a definite direction to the programme for creation of Swachh Gram. It is also required to provide basis for monthly and quarterly monitoring of physical and financial progress during the course of the financial year vis-à-vis the planned activities.

13.2 Achievements against the AIPs shall be the basis to incentivise States who perform well. Performances against the AIPs shall be evaluated and performances of States published on the MDWS website. A dashboard that ranks States periodically on a range of performance indicators would be prepared and shared with States.

13.3 The State AIPs should include detailed sections on the planning, implementation, and sustainability phases. The following information

shall be required in the AIP:

- Report on the progress made by the State in achieving the objectives of SBM(G) during the previous year against the AIP objectives;
- Reasons and comments for variation, if any;
- A detailed plan of the IEC, triggering and capacity building activities proposed to be taken up in the ensuing financial year;
- A plan of activities with physical and financial estimates under each component of the SBM(G) for the proposed financial year with agreed timelines. A summary of district level Plans is to be provided;
- Plan to convert dysfunctional toilets to functional
- Plan to convert insanitary toilets to sanitary
- Plan and approach to undertake geotagging of toilets
- Monthly/quarterly projected targets, so as to be able to monitor progress;
- Plans to ensure sustainability of the interventions made;

- j) Details of plans for monitoring and evaluation to be carried out at the State level;
- k) Write-up of success stories, best practices, innovations introduced, new technologies used etc.

13.4 The AIPs for the District should be prepared by consulting the plans of the Gram Panchayats. These GP plans should be consolidated into Block Implementation Plans and further into the District Implementation Plans. The State Mission Authority will suitably consolidate the District Implementation Plans as the State Implementation Plan.

13.5 There shall be a Plan Appraisal Committee (PAC) in the Ministry of Drinking Water and Sanitation, chaired by the Joint Secretary (Sanitation), with Principal Secretary i/c of Sanitation of the relevant State, the State SBM(G) Coordinator and the Director (Sanitation) in MDWS as members. The States/UTs shall prepare the AIP and submit the same before the commencement of the financial year on the basis of the balance works to be completed, to the Plan Approval Committee (PAC) in the MDWS. The proposed AIPs shall be discussed in the PAC and finalised with or without suggestions/modifications. The final AIP shall be prepared by the States based on allocation of funds and forwarded to the Ministry within a fortnight of the discussions in the PAC and shall be put up to the NSSSC for approval consequent to which it will be also be uploaded in the website through the online monitoring system. The recommendation of PAC for a financial year shall be valid for that financial year. Achievements in the AIP by the State in the preceding year shall be taken into account while finalising the AIP of the following year. States shall be permitted to prepare a supplementary AIP during the year if the progress of the AIP is satisfactory and further achievements are considered possible.

13.6 AIP should be prepared following the conjoint approach highlighting comprehensive sanitation and water coverage on the basis of

identification of Gram Panchayats. The enlistment of Gram Panchayats should be done in a manner such that all the Gram Panchayats in a Block/District are covered progressively so as to make the State "Swachh". The district AIP shall include details of IEC, IPC and Triggering exercise that will be taken up in the target GPs. The AIP budgeting should follow the cost norms of SBM(G) and should be compiled to project the financial demand of Central Share during the year.

13.7 States performing as per their plans will be incentivized. States achieving their targets prior to scheduled dates shall be further incentivized.

## **14. RELEASE OF FUNDS**

### **14.1 Release from Centre to State level implementing body**

14.1.1 The funds under SBM(G) will be released by the MDWS to the State Government accounts electronically as per directions of the Ministry of Finance issued from time to time. The State Governments shall release the funds to the State Swachh Bharat Mission (Gramin) {SSBM(G)} within 15 days of transfer of funds from Government of India. Any delay in such release shall lead to a penalty, i.e. a penal interest @12% p.a. for the delay. The SSBM(G) will operate a single Savings bank account in any Scheduled Commercial Bank (except foreign banks) or a bank authorized by the State Government, through which State Government funds are operated for all transactions relating to SSBM(G) including Central share, State share, Beneficiary share or any other receipt. The details of the SSBM(G) bank account has to be communicated to MDWS along with the name of the bank, IFSC Code and A/c. Number, etc. and should not be changed during the implementation of the project without prior permission of the MDWS. The funds released under the programme shall be through the Public Financial Management System (PFMS) of Government of India.

14.1.2 On the basis of approved demand of States as decided in the AIP every year and the availability of funds at the national level, a national allocation to all the States will be worked out for release of funds in two installments. In all cases where the second installment has been released unconditionally during the preceding year, States will be eligible for automatic release of the 1<sup>st</sup> installment during the financial year. Other States will be eligible for only 25% of the allocation. As per Ministry of Finance instructions, **the fund released in the first installment shall be 50% of the amount approved in the PAC and shall be reduced by the amount of opening balance/unspent balance in excess of 10% of the previous year's release to the State.**

14.1.3 The 2<sup>nd</sup> installment of funds, as approved in AIP, will be released on fulfillment of the following conditions:

- i) Receipt of a specific proposal from the State/UT with recommendation of the State Government with district wise physical and financial progress reports;
- ii) Annual Performance Report as required by MDWS from time to time;
- iii) Statement of Achievements of monthly/quarterly progress against the targets specified in the AIP;
- iv) Commitment of the State to release of proportionate State share into the SWSM account within fifteen days of release of central share;
- v) Utilization of 60% of the available funds with the SWSM i.e. opening balance, funds released as first installment of Grant-in-aid under SBM(G) during the year and interest earned thereon, Central Share and State Share separately;
- vi) Submission of Audited Statements of Accounts of the preceding financial year as per Annexure – I and II;
- vii) Submission of Utilization Certificates for Central and State Share separately in the prescribed Proforma as per Annexure-II

duly signed by the Member Secretary of SWSM, for the preceding financial year;

- viii) Any other condition(s) that may be specified by the Central government from time to time.

14.1.4 Any further release of funds during the financial year including incentives for good performance will be on the basis of production of necessary documents as may be required by the MDWS.

## 14.2 Release from State level to District level

14.2.1 The States/UTs shall release the Central grants received along with the matching State share to the District implementing agency/agencies [DSBM(G)] within 15 days of receipt of Central grants. SBM(G) funds released to the districts shall be on the basis of the District plans, the extent of demand generation in the district, the expenditure pattern and the balance funds. States shall enter the data of the transfer of funds to districts on the IMIS within 48 hours of the issue of such release order. States shall ensure the availability of funds in districts to ensure effective implementation of the programme.

14.2.2 In case the State fails to transfer funds (Central share and matching State share) to the districts within 15 days of receipt from the Government of India, a penal interest @12% p.a. for the delay shall be required to be transferred by the State Government to the Implementing Agencies along with the principal amount of the fund.

14.2.3 Inter-district transfer of funds made available under SBM(G) are allowed once during the financial year subject to the following:

- (a) Transfer of funds should be against changed physical targets (under AIP) in both districts, i.e. change in the fund availability in a district should reflect in the activities being taken up;

- (b) The transfer should be with prior approval of the Central Government;
- (c) Inter district transfer of funds, has to be reflected in IMIS of this Ministry by the State/district within 3 days of such transfer

14.2.4 As the District is the unit of implementation of the program, funds for the implementation of the Programme shall be managed at the district level. The District Implementing Agency will transfer the funds for the various activities taken up, to the Gram Panchayat or any other agency which has carried out the activities including distribution of incentives. The availability and utilisation of funds at the district level shall be monitored through the IMIS.

### 14.3 Interest earned on Funds Released under SBM(G)

The SBM(G) funds (Central and State) should be kept in a savings bank account. The household/beneficiary contribution, if any, need not be deposited in this account. The interest accrued on SBM(G) funds shall be treated as part of the SBM(G) resource. The District Implementing Agency has to submit utilization of interest accrued on SBM(G) funds along with claim/s for subsequent installments and it should be reflected in the Utilization Certificates.

## 15. MONITORING

15.1 Effective monitoring of outcomes will be a prime focus to be measured in terms of toilet usage as reflected in creation of ODF communities. Monitoring of outputs will also be done for administrative purposes such as monitoring of expenditure and assets created. The monitoring framework should be able to identify the following:

- Whether adequate IEC/IPC/Triggering activities have been carried out for behavior change;
- Whether toilets have been constructed as reported;

- Whether constructed toilets are being used;
- Whether ODF communities/GPs have been created;

15.2 The monitoring framework proposed will essentially be of two types:

(i) **Annual Monitoring Survey:** This shall be through a process initiated at the national level, focusing on a 3<sup>rd</sup> party independent monitoring of the sanitation status in rural areas across the country. Independent agencies shall take up such monitoring which shall conform to national and international requirements like the Joint Monitoring Programme (JMP).

(ii) **Concurrent monitoring:** There shall be a concurrent monitoring of the implementation of the Programme, ideally using community level participation. This should ideally use Information and Communications Technology (ICT) to feed data into the SBM (G) - MIS. The data of such monitoring shall be the main source of information for the Mission Directorates and the RALU at various levels.

Other monitoring activities in addition to the above may also be taken up.

15.3 The Swachh Bharat Mission (Gramin) at the national level, State Level and district level will have dedicated specialized Monitoring units constituting experts in the district which shall be responsible for monitoring the Mission activities which shall include field level monitoring. Monitoring reports will be prepared by the unit every quarter. The monitoring should be at GP/Cluster (where required)/Block and district levels.

15.4 Use of independent agencies/CSOs/NGOs for the concurrent monitoring of the programme is permitted. Central and State Missions may engage such agencies with experience in monitoring activities and having presence in the particular States for this purpose. Independent 3<sup>rd</sup> party evaluation of the programme can also be carried out at Central and State levels. This is to

be done by MDWS using Monitoring and Evaluation funds. At the State level, upto 5% of the permissible expenditure of the Administrative Component may be utilized for M&E activities.

## **16. MANAGEMENT INFORMATION SYSTEM (MIS) - REPORTS**

16.1 The Ministry of Drinking Water and Sanitation has developed an online monitoring system for SBM(G). Household level data with respect to sanitation facilities of all Gram Panchayats in the country is to be made available on the MIS by States on the basis of the Baseline Survey 2012-13. States shall be permitted to update the Baseline Survey status once a year in the month of March-April.

16.2 The main focus on the monitoring arrangements for the Mission is that of toilet usage through creation of ODF communities. The MIS shall be upgraded to enable reporting of creation of ODF communities and their sustenance.

16.3 All SBM(G) Project districts are to submit their physical and financial progress reports of the implementation of the Programme, every month through this online MIS for which user IDs and passwords have been provided to States, Districts and Blocks. GP-wise physical and financial progress for every month are to be entered along with photographs of the toilets in the SBM MIS, by the 10<sup>th</sup> of the following month by the Block or District level Sanitation Missions. A mobile based application for the same has been created in the IMIS to enable uploading of photos from site. The same has to be approved at the State level by the 15<sup>th</sup> of the month before it is forwarded by the MDWS.

16.4 Monitoring of the SBM(G) project should be carried out at all levels. At the District level, the District Collector /Deputy Commissioner/Magistrate/CEO Zilla Panchayat shall review the progress of the Mission in each

Gram Panchayat once in every fortnight. Similarly, Secretary in-charge of rural sanitation in the State must review progress with the district officials on a monthly basis.

16.5 States must ensure the following parameters of physical progress be adhered to on ground before declaring district ODF on MIS:

- 100% sanitation coverage in villages that have been declared ODF
- Conversion of dysfunctional toilets in ODF declared villages
- Conversion of insanitary toilets to sanitary
- Geo-tagging of toilets constructed under SBM(G)
- Verification of ODF declared villages

## **17. EVALUATION**

17.1 The States/UTs should conduct periodical Evaluation Studies on the implementation of the SBM(G) programme at the State level. Evaluation studies may be conducted through reputed Institutions and Organizations as decided by the State. Copies of the reports of these evaluation studies conducted by the States/UTs should be furnished to the Government of India. Remedial action should be taken by the States/UTs on the basis of the observations made in these evaluation studies. The cost of such studies can be charged to the Administrative Charges component of SBM(G).

17.2 At the central level, the performance of the States under the Mission shall be evaluated from time to time through agencies of repute.

## **18. TECHNOLOGY AND RESEARCH**

18.1 SBM(G) shall encourage suitable and safe sanitation technologies for toilets and Solid Liquid Waste Management Systems. The MDWS has a Committee for Suitable Technologies to examine technologies suitable for upscaling and implementation. The Mission has a list of acceptable technologies for which assistance

under this programme will be available. This will be updated from time to time. States can decide on technologies suitable for their areas. The beneficiary/communities shall also participate in the selection of technologies to be implemented.

18.2 Funding shall be available for research on all activities related to the Swachh Bharat Mission. Research institutes, organizations, NGOs and National/State level institutions involved in research/studies related to issues of health, hygiene, water supply and sanitation should be involved to develop new technologies in handling human excreta and waste disposal systems in the rural areas. The research/study outcome should enable improvement of technology, making it more affordable and environmentally safe to suit the requirements of different geo-hydrological conditions. This will encourage and promote ecologically sustainable long term solution for disposal of wastes. Research/study on latrine design, sustainable methods/ technologies for Solid and Liquid Waste Management in rural areas, appropriate technology to suit varying soil conditions, high water table situations, floods, water scarcity conditions, coastal areas will be priorities. Ecological sanitation/on-site waste management will be encouraged to prevent high costs of waste transportation and pollution of water bodies through discharge of untreated waste. Research on interventions like IEC, capacity building, and monitoring and evaluation will be permitted.

18.3 A Research and Development Approval Committee (RDAC) chaired by Secretary DWS, and consisting of technical and non-technical members to be decided by the MDWS from time to time, shall examine all research proposals and accord approval if found suitable.

18.4 States can also take up research proposals at their level under the Mission.

## **19. ANNUAL AUDIT**

19.1 All audits requirements of the Government of India and the CAG as decided from time to time will be followed.

19.2 The SSBM(G) will ensure that the accounts are audited by a Chartered Accountant selected from a panel approved by the CAG, within six months of the close of the financial year in accordance with the General Financial Rules of the Government of India and the audited statement of accounts is submitted to the Ministry.

**AUDIT REPORT**  
**[Consolidated Audit Report for SBM(G)]**

Containing following points (documents):

1. Auditor's Report
2. Receipt & Payment Account
3. Income & Expenditure Account
4. Balance sheet
5. Notes Forming Part of Accounts (Reporting about physical output)
6. Auditor's observations as 'Annex'

(In case of any observation, reply countersigned by Chartered Accountant is required)

Signature\_\_\_\_\_

Name in full\_\_\_\_\_

Office Stamp of competent authority of SWSM

Dated\_\_\_\_\_

N.B: All the documents should be in original & countersigned by Competent Authority of SWSM with official stamp.

**AUDITOR’S REPORT**

To

The State Swachh Bharat Mission  
Address

1. We have audited the attached ‘Balance Sheet’ of State Water and Sanitation Mission (‘the Grantee’) “Account – Swachh Bharat Mission (Gramin) (SBM(G))” as at March 31, 20\*\* and also the ‘Income and Expenditure Account’ and ‘Receipts and Payment Account’ for the year ended on that date annexed thereto. These financial statements are the responsibility of the Grantee’s management. Our responsibility is to express an opinion on these financial statements based on our audit.

2. We conducted our audit in accordance with auditing standards generally accepted in India. Those Standards require that we plan and perform the audit to obtain reasonable assurance about whether the financial statements are free of material misstatement. An audit includes examining, on a test basis, evidence supporting the amounts and disclosures in the financial statements. An audit also includes assessing the accounting principles used and significant estimates made by management, as well as evaluating the overall financial statement presentation. We believe that our audit provides a reasonable basis for our opinion.

3. Further to our comments in the Annexure referred to above, we report that:

- i. We have obtained all the information and explanations, which to the best of our knowledge and belief were necessary for the purposes of our audit;
- ii. In our opinion, proper books of account as required, have been kept by the Grantee so far as appears from our examination of those books;
- iii. The balance sheet, income and expenditure account and receipts and payment account dealt with by this report are in agreement with the books of account;
- iv. In our opinion, and to the best of our knowledge and according to the explanations given to us and subject to our observations annexed herewith we report that:
  - a. The Balance Sheet, gives a true and correct view of the State and affairs of the Grantee “Account – Swachh Bharat Mission (Gramin) (SBM(G))” as on 31.3.201\*.
  - b. The Income and Expenditure Account gives a true and correct view of excess of income over expenditure for the period ended 31.03.201\*.

- c. The receipts and Payment Account gives a true and correct view of the transactions under the programme/scheme for the period ended on 31.03.201\*.
- iv. Expenditure reported in the Income and Expenditure account is properly reflected in the Utilization Certificate(s) for the same period.

**Signature of Chartered Accountant with Seal)**

**Name in full**\_\_\_\_\_

**Membership No.**\_\_\_\_\_

**CAG Empanelment No. & Year**

**Contact No.**

**E-mail ID:**

## ANNEXURE – IC

### Audit Report for the year 201\*-1\*

State Swachh Bharat Mission (Gramin) (Name of State)

Receipt & Payment Accounts for the period 1st April, 201\* to 31st March, 201\*

Name of the scheme - Swachh Bharat Mission (Gramin) (SBM-G)

(` in lakhs)

Receipt	Amount	Payment	Amount
<p>1. Opening Balance</p> <p>(i) Cash in Hand (ii) Cash at Bank (iii) Deposits at Division/Districts etc.</p> <p>2. Receipt of Grants</p> <p>(i) Central Government (ii) State Government (iii) Others</p> <p>3. Interest received from Banks</p> <p>(i) SWSM level (ii) DWSM/DWSC level (iii) Others</p> <p>4. Refund of Advance/ Loan/Grant from</p> <p>(i) Implementing Agencies (ii) Any other agencies etc.</p> <p>5. Miscellaneous</p>		<p>1. Advances given to</p> <p>(i) Implementing Agencies (ii) Any other agencies etc.</p> <p>2. Expenditure incurred for the purpose of approved work undertaken under (SBM-G):</p> <p>i) IHHL ii) Sanitary Complex iii) School Toilets^ iv) Toilets for Anganwadi^ v) SLWM vi) IEC etc.</p> <p>3. Audit Fees</p> <p>4. Expenses on Administration</p> <p>a. Training b. Staff support services c. Monitoring and Evaluation d. Printing and Stationery e. Bank Charges f. Rent and Taxes</p> <p>5. Miscellaneous Expenses etc.</p> <p>6. Closing Balance</p> <p>(i) Cash in Hand (ii) Cash at Bank (iii) Deposits at Division/Districts etc.</p>	

**Signature of Competent Authority**

**Name in full:**

**Office seal**

**Contact No.**

**E-mail ID:**

**(Signature of Chartered Accountant with Seal)**

**Name in full:**

**Membership No.** \_\_\_\_\_

**CAG Empanelment No. & Year**

**Contact No.**

**E-mail ID:**

**Audit Report for the year 201\*-1\***

State Swachh Bharat Mission (Gramin) (Name of State)

Income &amp; Expenditure Accounts for the period 1st April, 201\* to 31st March, 201\*

Name of the Scheme - Swachh Bharat Mission (Gramin) (SBM-G)

(` in lakhs)

<b>Expenditure</b>	<b>Amount</b>	<b>Income</b>	<b>Amount</b>
1.Expenditure incurred for the purpose of approved work undertaken under (SBM-G): <ul style="list-style-type: none"> <li>i. IHHL</li> <li>ii. Sanitary Complex</li> <li>iii. School Toilets</li> <li>iv. Toilets for Anganwadi</li> <li>v. SLWM</li> <li>vi. IEC etc.</li> </ul> 2. Audit Fees 3. Expenses on Administration <ul style="list-style-type: none"> <li>a. Training</li> <li>b. Staff support services</li> <li>c. Monitoring and Evaluation</li> <li>d. Printing and Stationery</li> <li>e. Bank Charges</li> <li>f. Rent and Taxes</li> </ul> 4. Miscellaneous Expenses etc. 5. Excess of Income over Expenditure carried over to Balance Sheet		1.Grants -in -Aid/ Subsidy received from: <ul style="list-style-type: none"> <li>(a) Central Govt.</li> <li>(b) State Govt.</li> <li>(c) Other Agencies</li> </ul> 2. Interest received during the year from the Bank Accounts <ul style="list-style-type: none"> <li>- Received during the year</li> <li>- Add: Accrued during the year</li> <li>- Less: related to previous year</li> </ul> 3. Refund of unutilized grants by the Implementing Agencies 4. Miscellaneous Receipts 5. Excess Expenditure carried over to Balance Sheet	

**Signature of Competent Authority**

Name in full

Office seal

Contact No.

E-mail ID:

**(Signature of Chartered Accountant with Seal)**

Name in full:

Membership No.

CAG Empanelment No. &amp; Year

Contact No.

E-mail ID:

**Audit Report for the year 201\*-1\***

State Swachh Bharat Mission (Gramin) (Name of State)

Balance Sheet as on 31st March, 201\*

Name of the scheme - Swachh Bharat Mission (Gramin) (SBM-G)

(` in lakhs)

<b>CAPITAL FUND AND LIABILITIES</b>	<b>Previous Year Amount</b>	<b>Current Year Amount</b>
<b>Accumulated Fund</b> Opening Balance Add/Deduct Balance Transferred From Income & Expenditure Account <b>Current Liabilities</b> (i) Outstanding Expenses/Payables (ii) Any other Liability <b>Total</b> <b>ASSETS</b> <b>Fixed Assets</b> (i) Vehicles (ii) Furniture & fixtures (iii) Office Equipment (iv) Computers & Peripherals (v) Others etc. <b>Current Assets &amp; advances</b> (i) Stock (ii) Temporary Transfer of Funds to other schemes recoverable (iii) Closing Balance (a) Cash in Hand (b) Cash at Bank (c) Account Receivables and Advances recoverable (i) Implementing Agencies (ii) Other Agencies (iii) Staff (iv) Suppliers etc. <b>Total</b>		

Signature of Competent Authority  
 Name in full  
 Office seal  
 Contact No.  
 E-mail ID:

(Signature of Chartered Accountant with Seal)  
 Name in full:  
 Membership No.  
 CAG Empanelment No. & Year  
 Contact No.  
 E-mail ID:

### Notes Forming part of the Accounts

Physical output under State Swachh Bharat Mission (Gramin) (SSBM-G) for the utilized funds as reported in the Income and Expenditure Account:

Components	Performance/Number of units constructed
I. Individual Household Latrines – BPL/APL II. Sanitary complex III. School toilet units IV. Anganwadi Toilets V. Solid and Liquid Waste Management (SLWM) VI. Rural Sanitary Mart VII. Production Centers	

**Signature of Competent Authority**

**Name in full**

**Office seal**

**Contact No.**

**E-mail ID:**

**(Signature of Chartered Accountant with Seal)**

**Name in full:**

**Membership No.**

**CAG Empanelment No. & Year**

**Contact No.**

**E-mail ID:**

## AUDITOR'S OBSERVATIONS

Swachh Bharat Mission (Gramin) (Name of State)

YEAR 201\*-1\*

NAME OF THE ORGANISATION RECEIVING GRANTS:

SL.NO.	ISSUES	OBSERVATIONS OF THE AUDITOR
1	Opening Balance & Closing Balance of the Receipts and Payments account tallies with that of Cash Book.	
2	Opening Balance adopted tallies with Closing Balance of the last year	
3	Whether grantee or other implementing agencies have diverted / inter-transferred funds from one scheme to another Central Scheme or State funded Scheme during the period in contravention to the existing guidelines? If so details thereof.	
4	Are there any mis-utilisation/unrelated expenditure and mis-appropriation of funds by the grantee or other implementing agencies during the year? If so details thereof.	
5	There is only prescribed number of bank accounts for the scheme	
6	There does not exist any minus balance at any stage during the year	
7	Where the Sanction Order of the Ministry specifies certain conditions at the time of release of funds, whether the same has been fulfilled.	
8	Scheme funds are being kept only in savings account	
9	Interest earned has been added to the scheme fund	
10	Whether interest money is being utilized strictly for the programme purposes as laid down in the existing guidelines	
11	State share, as per programme guidelines, for the year has been received during the year	
12	All receipts / refunds have been correctly accounted for and remitted in to the Bank account of the scheme	
13	Scheme funds are not being kept in the State Treasury	
14	Bank Reconciliation is being done regularly	
15	Audit observation on compliance by SBM-G implementing agencies of State Delegation of Financial Power Rules issued by the respective State Department of Finance and/or General Financial Rules (GFR) of Government of India and subsequent Government orders (as applicable)	
16	Name and address of the previous Auditor	

Signature of Competent Authority

Name in full

Office seal

Contact No.

E-mail ID:

(Signature of Chartered Accountant with Seal)

Name in full:

Membership No.

CAG Empanelment No. &amp; Year

Contact No.

E-mail ID:

**Utilization Certificate****State Swachh Bharat Mission (Gramin)** (Name of State)

(Central Share / State Share)

**Reference No.:****Date:**

Sl. No.	Letter No. and date	Amount	
			Certified that out of Rs..... of grants-in-aid sanctioned during the year ..... in favour of <b>State Swachh Bharat Mission (Gramin) (Name of State)</b> vide Ministry of Drinking Water And Sanitation, Government of India Letter No. given in the margin and Rs..... on account of unspent balance with the <b>District Swachh Bharat Missions (Gramin) (as per list attached)</b> of the previous year, a sum of Rs. .... has been utilized by the <b>District Swachh Bharat Missions (Gramin) (as per list attached)</b> for the purpose of approved work undertaken under <b>Swachh Bharat Mission (Gramin)</b> , for which it was sanctioned and that the balance of Rs..... remaining unutilized with the <b>District Swachh Bharat Missions (Gramin) (as per list attached)</b> at the end of the year shall be carried forward to the next year for implementation of the programme.

**2. Physical Output for the above utilized funds**

Components	Performance/Number of Units constructed
Individual Household Latrines - BPL	
Individual Household Latrines – Identified APL	
Individual Household Latrines – Total APL	
Sanitary complex	
Schools Toilet Units	
Anganwadi Toilets	
Rural Sanitary Mart	
Production Centres	
Projects undertaken against Flexi-fund	

3. Certified that I have satisfied myself that the conditions on which the grants-in-aid was sanctioned have been duly fulfilled / are being fulfilled and that I have exercised the following checks to see that the money was actually utilized for the purpose for which it was sanctioned.

**Kinds of checks exercised**

1. Audited Statement of Accounts of SSBM(G)
2. Audited Statement of Accounts of DSBM(G)s
3. Previous Utilisation Certificates
4. Physical Verification Reports
5. Review Mission Reports
6. *Any other document/check*

Countersigned by Mission Director (SBM-G)

Signature .....

Name .....

Designation .....

(Principal Secretary /Secretary in-charge of Rural Sanitation)

Date .....

*(affix official seal)*

## State Swachh Bharat Mission (Gramin) [SSBM(G)]

### Checklist for submitting proposal for release of funds under SSBM(G)

S.No	Documents	Whether enclosed/fulfilled (Please tick)	
1.	Utilization Certificates in original for previous year separately for a) Central funds	Yes	No
	b) State funds	yes	No
2.	a) Utilization Certificates has file reference	Yes	No
	b) Signed by Chairman and Member Secretary (SWSM)	Yes	No
	c) Countersigned by the Principal Secretary/ Secretary of the concerned Department	Yes	No
	d) With official Seal	Yes	No
	e) Name, Designation, contact number, e-mail IDs of the signatories	Yes	No
3.	Certificate to the effect that the districts have utilized 60% of total available resources.	Yes	No
4.	Audit Report/ Audited Statement of Accounts as per prescribed format for the previous year has been submitted.	Yes	No
5.	If audited by Chartered Accountant, he is a CAG empanelled Chartered Accountant	Yes	No
6.	Copy of the letter issued by O/o CAG has been furnished in support of empanelment	Yes	No
7.	The figures in UCs are in agreement with Audit Report a) Grants	Yes	No
	b) Expenditure	Yes	No
	c) Opening/ Closing Balance	Yes	No
8.	If not, clarifications have been given for the variations	Yes	No
9.	Action taken Report on the observations made by the Auditor in the Audit Report after getting it vetted by the Auditor has been furnished.	Yes	No
10.	The State matching share has been released.	Yes	No
11.	Review Mission Report from all districts have been received by State	Yes	No

**Publications of Government of India/Ministry of Drinking Water and Sanitation for reference**

<b>#</b>	<b>Reference Publication</b>
<b>A</b>	<b>Sanitation Technology</b>
1.	Handbook on Technical Options for On-Site Sanitation
2.	Guide On Low-Cost Sanitation Construction Techniques For Masons
3.	Technology Options For Household Sanitation
4.	Draft Handbook on technological options on On-Site sanitation in rural areas, 2016
<b>B</b>	<b>Solid and Liquid Waste Management</b>
5.	Guidelines on Solid and Liquid Waste Management for SBM(G), 2017
6.	Solid Liquid Waste Management In Rural Areas, 2017
7.	Source Book on Solid and Liquid Waste Management for Rural Areas, 2015
8.	Technological Options for Solid and Liquid Waste Management in Rural Areas, 2015
9.	Guidelines on Solid and Liquid Waste Management in Rural Areas, 2014
10.	Handbook on Scaling up Solid and Liquid Waste Management in Rural Areas, 2012
<b>D.</b>	<b>Miscellaneous</b>
12.	Sanitation and Hygiene Communication Strategy, 2012
13.	Gram Panchayat Handbook
14.	Handbook on Establishment and Management of Community Sanitary Complexes in Rural Areas
15.	Swachhata Doot guidelines, 2011
16.	Menstrual Hygiene Management National Guidelines
17.	Handbook for Village Water and Sanitation Committee
18.	Swachh Bharat Swachh Vidyalaya, Ministry of Human Resource Development, 2014
19.	Handbook on Accessible Household Sanitation for Persons with Disabilities (PwDs)
20.	Guidelines for CSR in Sanitation
21.	National IEC guidelines for SBM(G), 2017

### ODF Verification Checklist for a GP/Village to be Declared ODF

The answers to the HH survey Questions 1,2,3,4 should be necessarily Yes (✓) for a village to be ODF; In addition, the answers to the Village survey Questions 8,9,10,11,12 should also be necessarily Yes (✓) for a village to be ODF.

#### a) Household Survey

Parameters	Yes (✓)/ No (X)
1) Access to toilet facility	
2) 100% usage	
3) Fly-Proofing of toilet	
4) Safe septage disposal	
5) Hand-washing before meals	
6) Hand-washing with soap after defecation	
7) Availability of soap and water in or near the toilet	

#### b) Village Survey

Parameters	Yes (✓)/ No (X)
8) No visible faeces found in the environment/village	
9) Proper usage of School toilet	
10) Safe confinement of excreta in school toilet	
11) Proper usage of Anganwadi toilet	
12) Safe confinement of excreta in Anganwadi toilet	

## Key for parameters mentioned in checklists above

### Household Survey:

Q. No.	Parameters	Suggested Question	Answers	Yes (✓)/ No (X)
1	Access to Toilet facility	Access of the HH members to a toilet facility	i. Own toilet in premises	✓
			ii. Own toilet outside premises	✓
			iii. Shared toilet in premises	✓
			iv. Shared toilet outside premises	✓
			v. Community toilet	✓
			vi. Public Toilet	✓
			vii. No toilet	X
2	100% usage	Does any member defecate in the open sometimes*	i. Yes	X
			ii. No	✓
3	Fly-proofing (Physical Observation)	Is the toilet fly-proof	i. The toilet has a water seal	✓
			ii. The toilet has a cover of some kind	✓
			iii. The toilet does not have any such arrangement	X
4	Safe Septage disposal ( Physical Observation)	How is the excreta in the toilet disposed	i. Toilet discharges waste directly into open pit, open drain, nallahs, pond or river	X
			ii. Toilet is connected to a closed drain which empties into open area, pond, nallahs, river etc. <b>without</b> treatment	X
			iii. Toilet is connected to a closed drain which empties into open area, pond, nallahs, river etc. <b>after</b> treatment	✓
			iv. Toilet is connected to septic tanks and the overflow pipe of septic tank empties <b>directly</b> into drain, pond, nallahs or river	X
			v. Toilet is connected to septic tanks and have overflow pipes that empty into separate <b>soak pits</b>	✓
			vi. Toilet is connected to an enclosed twin pit twin pit	✓
			vii. Toilet has a type of sub structure different from those mentioned above but is safe	✓
5	Hand-washing before meals	Do all members wash their hands before meals	i. Yes	✓
			ii. No	X
6	Hand-washing with soap after defecation	Do all members wash their hands with soap after defecation	i. Yes	✓
			ii. No	X
7	Availability of soap and water in or near the toilet	Physical observation	i. Soap and water available in or near the toilet	✓
			ii. Soap and water not available in or near the toilet	X
<b>* In case of an infant, the question will be, how is the infant faeces disposed?</b>				
i. Thrown into the paths, street or open area outside the household premises				X
ii. Thrown into the toilet				✓

## Village Survey

Q. No.	Parameters	Suggested Question	Answers	Score
8	Zero incidence of Open Defecation	Physical Observation	i. No sign of open defecation or smell in or around the village	✓
			ii. Open defecation visible at some places in or around village and prevalence of foul smell at some places in or around the village	X
			iii. Open defecation is rampant, visible at various places in and around the village with foul smell prevalent at various places in the village	X
9,11	Proper Usage of School /Anganwadi Toilets	Physical Observation	i. The toilet appears to be abandoned/unused	X
			ii. The toilet appears to be poorly maintained with excreta visible in the toilet, inside or nearby, no water availability; and appears to be seldom used	X
			iii. The toilet appears to be well kept,in regular use, with water inside or nearby	✓
10,12	Safe- confinement of excreta in School/ Anganwadi Toilets	Physical Observation	i. Toilet discharges waste directly into open pit, open drain, nallahs, pond or river	X
			ii. Toilet is connected to a closed drain which empties into open area, pond, nallahs, river etc. <b>without</b> treatment	X
			iii. Toilet is connected to a closed drain which empties into open area, pond, nallahs, river etc. <b>after</b> treatment	✓
			iv. Toilet is connected to septic tanks and the overflow pipe of septic tank empties <b>directly</b> into drain, pond, nallahs or river	X
			v. Toilet is connected to septic tanks and have overflow pipes that empty into separate <b>soak pits</b>	✓
			vi. Toilet is connected to an enclosed twin pit twin pit	✓
			vii. Toilet has a type of sub structure different from those mentioned above but is safe	✓

## Modification in funding pattern of Swachh Bharat Mission (Gramin)

No.S-11011/1/2015-SBM  
 Government of India  
 Ministry of Drinking Water and Sanitation  
 Swachh Bharat Mission (Gramin) Division  
 12th Floor, Paryavaran Bhawan,  
 CGO Complex, Lodhi Road,  
 New Delhi – 110003  
 Dated 10.11.2015

To,

The Principal Secretary / Secretary in-charge Rural Sanitation,  
 All States / UTs

Subject: Regarding modification in funding pattern in respect of Swachh Bharat Mission (Gramin), a Centrally Sponsored Scheme.

Sir/Madam,

Finance Secretary, Government of India, Vide his DO letter No32/PSO/FS/2015 dated 28.10.2015 has intimated to this Ministry that the funding pattern in respect of Swachh Bharat Mission (Gramin) (amongst several other CSSs) has been modified to 60:40 sharing pattern between Centre and States.

2. The revised funding pattern in respect of Swachh Bharat Mission (Gramin) Components will therefore, be as under:

Component	Amount earmarked as percent of the SBM(G) project outlay	Contribution Share		
		GOI	State	Beneficiary, Household, Community
IEC, Start Up Activity and Capacity Building	Up to 8% of total project cost, with 3% to be utilized at the Central level and 5% at State level.	60%	40%	0%
Revolving Fund	Up to 5%	60%	40%	0%

(i) Individual Household Latrines	Actual amount required for full coverage	Rs.7,200 (60%) (10,800 (90%) in case of NE States, J&K and Special category States )	Rs.4800 (40%) (1,200 (10%) in case of NE States, J&K and Special category States )	0%
(ii) Community Sanitary Complexes	Actual amount required for full coverage	60%	30%	10%
Administrative charges	Up to 2% of the project cost	60%	40%	0%
Solid/Liquid Waste Management (Capital Cost)	Actual amount as per SLWM project cost within limits permitted	60%	40%	0%

3. For UTs, the funding pattern will be 100% by the Central Government, except in CSCs where funding will be 90:10 (Centre: Community).
4. The revised funding pattern comes into effect from Financial Year 2015-16.
5. States are requested to revise their financial liabilities accordingly.
6. SBM (G) guidelines are being modified accordingly.

Yours faithfully

  
(Christina Kujur)

Under Secretary Secretary to the Govt. of India

## Format for Submission of Proposals under Swachh Bharat Kosh

Pro-forma for submission of proposal under Swachh Bharat Kosh

1. Summary of the proposal (financial year wise.)

Name of the District	No. of GPs proposed to be made ODF under SBK	No. of defunct toilets	Total Amount required (Rs. in laksh)

2. GP-wise list of defunct toilets

District Name: -

Name of the Block	Name of the GP	No. of defunct toilets	Unit cost for proposed toilets	Total requirements (Rs. in lakhs)

3. Complete Bank Account details:

**Diversion of forest land for non-forestry purposes – Guidelines for  
construction of community toilet for the benefit of the people**

*100-1000  
100 to 1000 (1000)*

15/10

F. No. 11-09/1998-FC (Pt.)  
Government of India  
Ministry of Environment, Forests & Climate Change  
(Forest Conservation Division)

*100-1000  
1000*

\*\*\*\*

Indira Paryavaran Bhawan,  
Jor Bagh Road, Aliganj,  
New Delhi: 1100 03,  
Dated: 8<sup>th</sup> November, 2016.

To

The Principal Secretary /Secretary (Forests),  
All State / UT Governments.

Sub.: Diversion of forest land for non-forestry purposes under Forest (Conservation) Act, 1980 - Guidelines for construction of community toilet for the benefit of the people-reg.

Ministry of Environment & Forests at New Delhi has received proposals from Maharashtra, seeking general approval of the Central Government under Section-2 of the Forest (Conservation) Act, 1980 for diversion of forest land for construction of community toilet in rural and urban areas under *Swachh Bharat Abhiyan* of the Government of India which involve wholly or partly the forest land for the benefit of the people.

The Ministry has examined the issue of granting general approval to the State Government under section 2(ii) of Forest Conservation Act 1980 for construction of government approved community toilet involving forest land up to 1.00 ha.

I am directed to convey the general approval of Central Government under section 2(ii) of FC Act 1980 granted for construction of government approved community toilets on land involving partly or fully the forest lands (Government, private and deemed and other forests) not exceeding 1.00 ha of forest land subject to approval of gram panchayat in rural areas and urban local body in urban areas to utilise the forest land on the following condition.

The general approval shall be subject to fulfilment of following conditions.

1. ~~The forest land to be diverted for community toilet should be less than one hectare in each case.~~
2. The clearance shall be subject to the condition that the same is need based. The concerned Divisional Forest Officer shall assess the bare minimum requirement of the forest land for the project, which shall not exceed one hectare in each case and will also certify to this effect.
3. The legal status of the land shall remain unchanged i.e., shall remain Reserved / Protected / Village / Un-classed other types of forests/forest as the case may be.

1

*Handwritten signature and date 08/11/16*

4. The User Agency shall submit the project proposal to the State/UT Government in the prescribed format online with DGPS coordinates of each individual community toilet to be constructed
5. The project should not involve felling of more than fifty (50) trees per hectare. Corresponding permissible limit of maximum number of trees to be felled for the forest area diverted, shall be in proportion to the extent of the diverted area.
6. The concerned Divisional Forest Officer shall assess the bare minimum requirement of the forest land for the project, which shall not exceed one hectare in each case and will also certify to this effect.
7. The User Agency will seek permission for diversion of forest land duly recommended by Principal Chief Conservator of Forests, from the State/UT Government.
8. The Nodal Officer (Forest Conservation) shall submit monthly report to the concerned Regional Office by 5<sup>th</sup> of every month regularly regarding approval of such cases. In the event of failure, the exercise of power by the State/UT Government to grant such permission may be suspended by the Central Government for a specified period of time or till the information is submitted.
9. The User Agency shall plant and maintain two times the number of trees felled on the diverted land to maintain the green cover at the project cost. Planting site for the purpose will be identified by the State Forest Department (preferably within or in the surrounding area of the project). Only indigenous forest tree species shall be used for such plantations. Trees, if planted on the diverted area, will not be felled without the permission of the State Forest Department. Trees, planted in surrounding area, will belong to State Forest Department.
10. The compensatory levies such as NPV and Compensatory Afforestation cost (at least 1000 plants per ha or 10 times the tree to be felled, whichever is greater to be planted in the degraded forest identified by the Forest Department) and other charges as specified in FC approval letter shall be borne by the authority who applies for diversion under FC Act.
11. The User Agency shall be responsible for any loss to the flora and fauna in the surroundings and therefore shall take all possible measures to conserve the same.
12. The permission granted by the State Government shall be subject to the monitoring by the concerned Regional Office of the Ministry of Environment and Forests.
13. The forest land shall not be used for any purpose other than that specified in the proposal. Any change in the land use without prior permission of the Central Government shall amount to the violation of Forest (Conservation) Act, 1980.
14. The forest land shall not be used for any purpose other than that specified in the proposal. Any change in the land use without prior permission of the Central Government shall amount to the violation of Forest (Conservation) Act, 1980. Request for such changes shall be made to the Regional Officer by the Nodal Officer (Forest Conservation) of the State/UT.



Handwritten signature and date: 26/11/16

15. The State Forest Department, State Government, or the concerned Regional Office may impose from time to time any other condition in the interest of conservation, protection and or development of Forests.

It may also be noted that this general approval under Section-2 of Forest (Conservation) Act, 1980 is subject to the NOC issued by competent authority under the Scheduled Tribes and Other Traditional Forest Dwellers (Recognition of Forest Rights) Act, 2006.

The general prior approval is not extended to forest land in National Parks and Wildlife Sanctuaries and other protected areas under Wildlife Protection Act 1972.

Since the community toilet will be required in several locations within the administrative control of the government and urban local body, separate application under FC Act will require lot of paper work therefore the competent authority in Government/ Urban local bodies may get approval of all proposed community toilets, each not exceeding 1.00 ha at a place, as per plan and duly approved by the competent authority in Government by applying online collectively specifying the location, lay out plan and area in each case as per the procedure prescribed under Forest Conservation Rules and guidelines issued from time to time by MoEF & CC. Once the forest clearance is granted by the state under general approval under section 2(ii) of FC Act, the community toilet may be developed by agencies involved in construction and maintenance of community toilet to whom the competent authority in Government/ Urban local bodies may assign.

However the general prior approval under section 2(ii) of FC Act 1980 for construction of community toilet granted to the state government by this circular may be further delegated by the state government to officer in the Forest Department not below the rank of the Nodal officer (Forest Conservation), for granting approval under section 2(ii).

This issues with the approval of the competent authority.

Yours Faithfully,

(Rajagopal Prashant)  
Sr. Assistant Inspector General of Forests (FC)

Copy to:-

**Format for declaration of district as ODF**

I, .....District Magistrate/Collector of District ....., State  
.....do hereby declare that my district is open defecation free as of date  
.....

Signature .....

Name of Officer .....

Date .....

Office seal



## Notification on Direct Beneficiary Transfer

### MINISTRY OF DRINKING WATER AND SANITATION

#### NOTIFICATION

New Delhi, the 16th February, 2017

**S.O. 514 (E).**—Whereas, the use of Aadhaar number as identity document for delivery of services or benefits or subsidies simplifies the Government delivery processes, brings in transparency and efficiency, and enables beneficiaries to get their entitlements directly in a convenient and seamless manner and Aadhaar obviates the need for producing multiple documents to prove one's identity;

And whereas, the Ministry of Drinking Water and Sanitation in the Government of India is administering the Swachh Bharat Mission (Gramin) (SBM-G) under which an incentive is provided for construction of Individual Household Latrine (IHHL), which involves expenditure incurred from the Consolidated Fund of India.

Now, therefore, in pursuance of the provisions of section 7 of the Aadhaar (Targeted Delivery of Financial and other Subsidies, Benefits and Services) Act, 2016 (18 of 2016) (hereinafter referred to as the said Act), the Central Government in the Ministry of Drinking Water and Sanitation hereby notifies the following, namely:—

1. (a) An individual desirous of incentive for construction of IHHL under Swachh Bharat Mission-Gramin is hereby required to furnish proof of possession of Aadhaar or undergo Aadhaar authentication.
- (b) An individual desirous of getting incentives under the Swachh Bharat Mission (Gramin) who does not possess the Aadhaar number or has not yet enrolled for Aadhaar is required to apply for Aadhaar enrolment by 31<sup>st</sup> March, 2017, in case he or she is entitled to obtain Aadhaar as per the provisions of section 3 of the said Act and such individual may visit any Aadhaar enrolment center (list available at [www.uidai.gov.in](http://www.uidai.gov.in)) for Aadhaar enrolment.
- (c) as per regulation 12 of the Aadhaar (Enrolment and Update) Regulations, 2016, the Central or State Department or their agencies which requires an individual to furnish proof of possession of Aadhaar number shall ensure enrolment facilities for the beneficiaries who are not yet enrolled for Aadhaar number and in case there is no Aadhaar enrolment center located in the vicinity, the respective department of the Ministry of Drinking Water and Sanitation in the States, may provide enrolment facilities at convenient locations in coordination with the Registrars of Unique Identification Authority of India (UIDAI) or may provide Aadhaar number enrolment facilities by becoming UIDAI Registrar:

Provided that till the time Aadhaar number is assigned to the Individual, incentive under the Swachh Bharat Mission (Gramin) shall be given to such individual subject to the production of the following documents, namely:—

- (A) (i) if he has enrolled, his Aadhaar Enrolment ID slip; or
- (ii) a copy of his request made for Aadhaar enrolment, as specified in sub-paragraph (b) of paragraph 2, and
- (B) (i) Below Poverty Line (BPL) Card, or (ii) the voter identity card issued by the Election Commission of India; or (iii) Ration Card, or (iv) Bank passbook with photo, or (v) the Permanent Account Number (PAN) Card issued by the Income Tax Department; or (vi) the Passport; or (vii) the driving license issued by the Licensing Authority under the Motor Vehicles Act, 1988 (59 of 1988); or (viii) the certificate of identity having photo of such member issued by a Gazetted Officer or a Tehsildar on an official letter head; or (ix) the Kisan Photo passbook; or (x) any other document specified by the State Government:

Provided further that the above documents shall be checked by an officer designated by State Government for that purpose.

## Parent-Child Account model: Bihar

State has partnered with two Banks namely ICICI bank ltd and Union Bank of India to develop a banking product with the following features:

- The product consists of a network of accounts – a parent account at the State level, and the child accounts at the district and the block levels.
- The State pool account (**Parent Account**) for SBM (G) contains the Centre and State share of funds received by the SPMU.
- The accounts at the district and block level (**Child Accounts**) SBM (G) are zero-balance accounts. They are linked to the parent account, and any debit made on these accounts are over-draft. This overdraft is balanced at the end of day by pulling the funds from the parent account - an event known as *evening sweep* - making the balances of the child account zero. The child accounts can potentially make unrestricted expenditure subject to an upper limit stipulated to the accounts.
- There is no allocation of actual funds to the districts. Each account is flagged with a **notional upper limit** for transactions. Every time a transaction is made on the child account, its limit reduces by the quantum of such a debit. In other words, the limits of reducing in nature, approaching zero as expenditure increases. Since the Blocks are the agencies authorised to disburse incentive money, the districts are empowered to set such limits on their block accounts from within its own limit allocation.
- The limits allocated to the district accounts are indicative. It can be increased, decreased, or altered depending on the assessment of performance/non-performance and expected expenditures through a simple instruction to the banks.
- While the balances of the accounts remain zero, the transactions are recorded both centrally at the parent account, and at the corresponding child account, thereby giving concurrent/real time information regarding the status of expenditure at each district as well as block levels.

### Why two banking partners:

- Bihar programme has two banking partners – ICICI Bank Ltd and Union Bank of India. The rationale for having two banking partners is as follows:
- The unique need of Parent-Child Banking product required banks with technical capabilities to implement such a product in a time bound manner.
- No single bank with required technical capabilities has penetration of the banking network in all districts and blocks of Bihar.
- The quantum of targets of the State and districts is huge. In case there is a glitch/failure/non-performance in the Parent-Child account product with one of the banking partners, it is felt necessary that the other act as an auxiliary system.

### Payments through PFMS

Bihar Government also intends to further bolster the financial architecture by on-boarding PFMS for secure, transparent and quick payments related to the programme. The status roll-out of PFMS is as follows:

- All State, district and block agencies have been created on the PFMS portal
- Accounts have been linked on the PFMS. Digital signatures of the payment authority are being configured.
- PFMS module has been integrated with the State MIS to be activated as and when required
- Testing of PFMS has been done and roll-out process has been initiated.

## Direct Benefit Incentive Transfer Mechanism: Madhya Pradesh

### Key objectives of DBT

- Right to sanitation services at household level
- To enhance coverage at large scale due to motivation of direct credit of incentive amount in beneficiary account, thus accelerating pace of achieving ODF communities
- Develop sense of ownership leading to improvement in quality of toilet construction
- Reduction in payment channels, leading to depleted corruption practices
- Real time monitoring of progress based on incentive disbursed to toilets in progress and completed toilets
- To ensure payment of incentive only after verification of completed toilet thus preventing fraud incentive credits

### Process for availing Direct Incentive Transfer

#### Step 1: Preparatory Phase

1. Database of beneficiaries for availing incentive as per beneficiary list uploaded on Gol portal
2. Identifying supervisors at block level for each village and assigning these villages to each of these supervisors. Hence, no village and its beneficiaries remain unassigned.
3. The entire online disbursement of incentive is processed on [www.swachh.mp.gov.in](http://www.swachh.mp.gov.in)

#### Step 2: Online demand generation by beneficiary

1. Each beneficiary in Madhya Pradesh has a unique family and individual ID number – SAMAGRA
2. Beneficiary first checks his/her eligibility for availing the benefit of incentive in the programme
3. If beneficiary is found eligible, he/she applies for incentive online, on completion of the toilet on site or on completion of soak pit and toilet platform– either a stage payment or full payment on completed toilet with a mention of stage of construction for which the demand is generated.
4. While raising the demand, bank account details are fetched from the State SAMAGRA portal, verified at panchayat level.
5. The demand from the beneficiary is transferred to the assigned supervisor on the mobile app.

#### Step 3: Onsite verification of toilet and uploading geo-tagged photographs

1. The demand generated by beneficiary is received on the mobile app of the assigned supervisor
2. With login id and password, supervisor in his mobile app accesses the list of beneficiaries who have raised demand and are ready for verification.
3. Supervisor visits beneficiary and verifies the stage of construction for which the demand was raised.
4. Based on verification of quality of toilet on-site, supervisor takes a geo-tagged photograph and uploads it on [www.swachh.mp.gov.in](http://www.swachh.mp.gov.in) for processing payment of incentive.

#### Step 4: Payment approval and disbursement

1. The verified demand of beneficiary is shown in the Janpad login module.
2. CEO Janpad verifies the details of such demand within 7 days of receipt of details and through a digital signature approves payment and forwards the request to bank for electronic disbursement directly to account of beneficiary.

### Outcome since commencement of Electronic Fund Transfer mechanism (report section [www.swachh.mp.gov.in](http://www.swachh.mp.gov.in))

- A. Online demand generated – INR 11.31 lakh
- B. Verified toilet for stages of construction – INR 9.40 lakh
- C. Fund transfer order generated and forwarded to bank – INR 8.55 lakh
- D. Funds disbursed till date – INR 915.50 Cr (all accounted for through bank credit)

## **Guidelines on Gender Issues in Sanitation**

1. Women and girls bear the heaviest burden of poor sanitation and continued open defecation. Lack of privacy, fear for personal safety, sexual harassment and violence are faced by women and girls each time they defecate in the open. In addition, the situation arising from open defecation puts their health to risk through medical conditions such as urinary tract infections, chronic constipation and mental stress. Another common negative impact of open defecation is witnessed by young girls and women on a monthly basis when they menstruate. Lack of safe, private spaces for women and girls to wash or tend to their personal hygiene needs when menstruating, severely restricts their ability to fully participate in daily activities, including attending school.
2. While increasing number of women are coming to the forefront of the campaign to end open defecation, the following issues are mentioned for consideration.

### **Role of women in sanitation**

3. Women are actively involved in the mobilization of communities through social and behavior change communication for sanitation. However, it is observed that their involvement in the actual implementation of the sanitation programme i.e. in planning, procurement, toilet construction and monitoring needs to be strengthened. Since implementation of SBM(G) focusses on community engagement, it may be ensured that women are actively involved, not just in behaviour change activities, but also in the activities of institutions involved in the process of toilet construction (VWSCs, motivators, procurement committees, etc.). The SBM(G) guidelines, Para 8.5.2 states that 50% of members of VWSC should be women. This must be ensured by the State government and local government bodies. Following the trend of increasing women's leadership in local governance, women should also be represented in the leadership of SBM(G) committees and institutions like WASH (eg: Nigrani) committees, Village Water and Sanitation Committees (VWSCs) and Village Water Sanitation and Health Committees (VWSHCs), so that their communities and villages can benefit not just from women's participation but also their leadership.

### **Messaging in IEC/BCC**

4. It is noted that behaviour-change messaging in SBM(G) often includes subjects like 'shame and dignity of women'. While these may be useful for entry-point messaging, they carry risks of lack of ownership by men and reinforcing gender stereotypes (eg: women should not step out of the house, men as custodians of women's dignity, etc.) The IEC/BCC messaging should, therefore, be gender sensitive and target both men and women, particularly focusing on men who are often the primary decision makers in rural households where household expenditure is involved. Examples such as - a brother gifting a toilet to his sister, a sarpanch declaring to take-off his moustache unless his village becomes ODF, may perpetuate gender stereotyping and portray women as weak and passive compared to men. The SBM(G) messaging should ensure that it does not propagate, even inadvertently, any such gender bias. Rather, the IEC/BCC should portray and popularize stories of powerful women and successful women Swachhta champions, to inspire and motivate women across the country to take charge of their own fate, health and safety. Examples of this can include women SHGs who along with other activities, take on the responsibilities of Sani-Marts and work as masons, adolescent girl leaders who speak out and raise awareness about menstrual hygiene management and, men and women at the district level like DCs/DMs and other leaders who talk about the important role women have played in making their districts ODF.

### **Maintenance of toilets**

5. Traditionally, due to the patriarchal nature of many communities, cleaning of toilets is looked upon as an 'unclean job', often to be done by women of the household. SBM(G) should specifically promote the idea that everyone in the family, irrespective of gender, has an equal responsibility in keeping the toilet clean after use.

6. SBM(G) should also promote universal responsibility of communities in maintaining common sanitary facilities and shared toilets so that factors like caste, etc. do not play a role in determining who cleans and maintains toilets within households, in schools, health facilities and in other community places. All members of the community should be made aware that the decomposed pit material (in a twin-pit latrine) is safe to handle after about a year of closing the pit and can be used as compost/manure for agricultural purposes, and that switching of pits and taking out pit manure is safe and not a 'dirty' chore, nor is it solely the responsibility of the women in the family.

### **Inclusivity**

7. In many communities, the third-gender may often be dissociated from the mainstream. SBM(G) should make a conscious effort that they are recognized as equal citizens and users of toilets. They should be allowed to use the facility of their choice (men or women) in community or public toilets. There are also examples from around the country, where the third gender have become Swachhta champions and played a huge role in taking the message of Swachhta to households in the community. Where suitable, their support can be enlisted in engaging communities, and their efforts duly recognized and honored to break any stigma around them.

8. Elderly women with age-related constraints, face increased risks of injury in everyday tasks, including while using toilets and other public facilities. For many, squatting is uncomfortable due to stiff joints, and many elderly people end up relieving themselves in a half-standing, half-squatting position. Similar difficulties can be experienced by pregnant women. Badly designed toilets also deter children from using them due to fear of darkness or falling down the plughole etc. Common toilet designs are often found to be unusable by the differently-abled, both men and women.

Toilets under SBM(G) should, therefore, adopt an inclusive design that makes them barrier-free. They should be well-ventilated and well-lit to avoid stumbling, the floor should have a gentle slope towards the drain to keep the floor dry and to prevent slipping. In public toilets, care may be given to ensure that a ramp with appropriate slope, handle-bar support, both inside and outside of the toilet cubicle with different heights for adults as well as children, raised toilet seats/commodes for the elderly, the young, and the differently abled are included in the design. Community/public toilets designs may be revisited to make them accessible by children, senior citizens, and the differently-abled to encourage them to use these toilets. If there is a user fee in community/public toilets, concessions may be provided for senior citizens, children, and the differently-abled, to encourage them to avail these services.

### **Menstrual Hygiene Management (MHM)**

10. SBM(G) is sensitive to menstrual hygiene needs of adolescent girls and women. Towards this end, guidelines on Menstrual Hygiene Management have been issued by the Ministry of Drinking

Water & Sanitation in 2015<sup>15</sup> and must be adhered to. The SBM(G) implementation should ensure that the MHM facilities take into consideration issues such as ventilation.

- Public toilet design should ensure safe and private entrance to women's toilets, with ample lighting after evening hours. The location of the toilets should be decided through a participatory process based on the feedback of users. The approach to the toilet should feel and be safe for women and girls e.g. ensuring that there are no public gathering spots on the path to the toilet where men gather socially.
- Adequate water and space inside the toilet should be ensured for the women users to change napkins/cloth and to wash themselves.
- Toilet cubicles may be provided with a shelf, hooks or niche to keep clothing and menstrual adsorbents dry.
- Disposal bins with lids should be placed within the toilet, as the initial point of waste collection.
- To avoid transport of menstrual waste, incinerators may be built within the toilet with chutes directly adjacent to the toilet building.
- Funds under SLWM head may be used for setting up incinerators in community toilets.
- IEC plans should include MHM as a key component for raising awareness among girls as well as boys, women as well as men. The MHM guidelines have a description of possible interventions.
- Efforts must be made through the IEC activities to emphasize that menstruation is a biological function and rid the community of taboos and superstitions associated with menstruation. Involving faith leaders in this context may be considered.
- CSOs and SHGs may be engaged to inform the communities about safe menstrual hygiene practices and develop economic models to meet the demand for low-cost sanitary napkins.
- Studies show that when fathers of adolescent girls are made aware about the MHM needs of their daughters, they become their biggest champions and therefore specific communication to fathers should be included in the outreach to communities.
- Schools must have segregated toilets that are kept open and accessible during school hours, and have the above systems in place for menstrual waste management.
- It is reiterated that provision of MHM related facilities to schools including Communication interventions and as well as infrastructure creation, may be supported under the SLWM component of SBM(G).
- Counseling for adolescent girls, and special educational sessions around menstrual health and hygiene should be organized by qualified professionals as part of school education.
- Similarly, menstrual health and hygiene awareness camps may be organized for women in the community, at local health centres, Anganwadis, etc. by qualified professionals.

## Conclusion

11. Overall, SBM(G) should be implemented in a way that is not just sensitive to gender issues, but also it becomes a platform that enables the empowerment of women and girls and promote human dignity. Hence, the programme needs to focus not only on women and girls, but equally on men and boys, so that the underlying nuances in everyday hygiene practices are understood and appreciated by all.

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<sup>15</sup> <http://www.mdws.gov.in/sites/default/files/Menstrual%20Hygiene%20Management%20-%20Guidelines.pdf>

## Guidance on Geo-tagging under SBM(G)

**Geo-tagging:** Geo-tagging of photos allows us to associate a photo with a particular location. All smart phone models with camera and GPS can be used to geo-tag photos. Geo-tagging is crucial for monitoring of the toilets built under the SBM(G) programme.

**Downloading the app:** The mSBM app has been updated to fix the existing bugs and the latest version is available at 'Download mSBM App – with Export Data Option Beta Version' on <http://msbm.gov.in/Public/Home.aspx>.

### Using the app:

Login with credentials is provided to State/District level field functionaries. The functionaries will need to register users (field level) for using the app and allocate designated geography for each of them using district/State login. Once registered, Login ID and password will be communicated to the users. The user will need to install the app on their GPS enabled mobile device and login using the shared credentials. Once on the field, the user can capture photographs of the toilets and upload them. **Only photos captured through the mSBM app can be uploaded to the MIS.** A second feature besides geo-tagging is also to capture functionality and usage of the toilet through 'Usage of toilet' option.

### Uploading photos:

#### **Option 1: User is on the field and has internet on the mobile, and needs to upload photo/s**

Once photo is captured, clicking on 'Register HHS Toilet Photo' will save it to offline database. Using 'Sync/Upload' option, photos can be uploaded to the server.

#### **Option 2: User is on the field and does not have internet on the mobile at the time of capturing photographs**

Once photos are captured and saved using 'Register HHs toilet photo', they are saved in offline database of application.

**Situation A:** Once the user has internet access via a computer, the photos need to be exported using 'Export Data' option (can be used both online/offline) and all saved photographs will be stored in a single file to Phone Storage/external storage inside mSBM folder with File Format like: {username}\_0029\_ddmmyyyyhhmmss\_n.mdws.gz.

The mobile can then be connected to the computer using USB (Data) Cable and all exported/required files can be copied to the computer and 'UNRAR' can be used.

If user is unable to locate rar file inside mSBM folder, then 'Copy & Paste' or 'Move' exported files from mSBM folder to any other folder on phone storage or create a new folder.

**Situation B:** Once user receives internet on his mobile, clicking "Upload/Sync Data" on the mobile app will upload all captured photographs. The speed of upload depends on the user's mobile network connectivity.

Some important things to remember about the entire geo-tagging process:

- At the time of capturing, if data is already in offline database, this data will be appended to the portal. Old data will not be deleted or overridden.
- The data will be cleared from the offline database once the data is uploaded to the server.
- Data not uploaded will be available till app is deleted.
- Photo can be uploaded immediately if the network is available, otherwise data will be saved locally. This may be uploaded to the server through the mobile app or through the desktop form manually once the network is available.
- Any android OS crash/Virus may delete the data.

#### **Ensuring quality photos:**

- The direction and angle of photograph should be such that entire IHHL or maximum portion of the asset is visible in the photograph.
- Photographs should preferably be taken along the height of the IHHL.
- The photo must show the IHHL with a) door open to clearly notice the condition of the toilet pan, b) beneficiary, and c) any information displayed on the toilet such as name, asset number, etc.
- Photos should be bright and clear of haze, with sun preferably at the back of the person taking the photograph and not be blurry.

#### **Resolution of captured photograph:**

It is suggested to use the camera resolution at 640\*480. Higher resolution photos will be downsized to default resolution of (640\*480). The maximum size of the photo uploaded should be 50kb.

#### **Approval of geo-tagged photos:**

Once the field level officer uploads the geo-tagged photos, two levels of approval is necessary. The District Coordinator/In-Charge shall approve at the district level and State MIS Coordinator/In-Charge shall approve at the State level. The photos will be checked for accuracy.

**Support:** Please contact NIC (011-2436-6372) for any query regarding geo-tagging.

#### **For further reference:**

[http://msbm.gov.in/Document/\(MD3\)Steps%20for%20Using%20mSBM%20App.pdf](http://msbm.gov.in/Document/(MD3)Steps%20for%20Using%20mSBM%20App.pdf)

[http://msbm.gov.in/Document/\(MD5\)FAQ%20.pdf](http://msbm.gov.in/Document/(MD5)FAQ%20.pdf)