Improving Consumer Voices and Accountability in the Swachh Bharat Mission

National Policy Review (Revised) 2015-16
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Introduction

Two versions of the National Policy Review (NPR) have been submitted (March 2014 and June 2015) previously. The first NPR made an analysis of the sanitation programs in India from the 1980s onwards and evaluated their performance. The focus of the paper was on evaluating the guidelines of the Nirmal Bharat Abhiyan (NBA) and its overall performance in general and the two states (Tamil Nadu and Odisha) in particular. In the second NPR, a rights based approach was taken to understand the issue of sanitation in India. The review also analysed in detail all policy aspects of the Swachh Bharat Mission –Gramin SBM (G). Finally, the second NPR tried to understand in detail the performance of the 2 states through the findings from the first Citizen Report Card (CRC 1).

In this third and final version of the NPR we make a general analysis of the progress of the SBM (G). The analysis divulges into various aspects of program implementation, such as identification of beneficiaries, progress of toilets constructed (as per baseline survey of 2012). In this analysis the paper looks at the best and worst performing states as compared to the national average. It also includes an examination of various expenditure patterns in different components of the project such as IEC, HRD and administration across states. This analysis gives a general overview of the performance of the SBM (G) on ground and also sets a premise for the state specific examination on similar parameters.

The NPR also analyses the state sanitation policies, as each state is implementing the program as per their institutional setup and political and administrative dynamics. In the case of Tamil Nadu the state guidelines recommends the active involvement of various stakeholders such as Panchayat Raj Institution representatives, Self Help Groups, Village Poverty Reduction Committee (VPRC), Panchayat Level Federation (PLF), field functionaries of various Government departments, etc., for the eradication of open defecation. In the case of Odisha, the Gram Panchayat, DWSM and other support organisation are the main implementing bodies of the program. The mission guidelines recommends that participatory tools and behaviour change communication be used at this stage for demand generation.

To get a good understanding of the supply side issues in the program , the NPR also includes the main findings from the CRC + exercise carried in our in all our study districts. The CRC+ analyses supply side issues based on the Functional Marker Analysis that aims at analysing the devolution of functions right from District level to the Gram Panchayat level and the Selective Expenditure Tracking that traces the fund flow mechanism from the highest State Level to the lowest Gram Panchayat Level.
As per the CRC+ the main issues in districts of Tamil Nadu is the shortage of manpower at the block level. One block coordinator is responsible for about 50-150 panchayats (depending on the size of the block). The block is the most important link in the SBM scheme, which has a role both in the implementation and monitoring. Lack of sufficient land/area to construct a toilet in certain households is also a common issue. Among districts of Tamil Nadu, it was found that the second instalment in the fund transfer from the state was partially lagging behind. While the funds were released twice or thrice in a year, the work involved in achieving the target was a yearlong affair. Therefore the funds for few constructed or about to sanction toilets are due.

In Odisha, during the CRC+ exercise it was found that there was poor implementation of IEC activities, poor monitoring of construction and usage as well as data updation. The receipt of funds for implementation of the mission was not timely as a result the households were not happy with the mission. It was also found that the monitoring of construction was only in the form of check paper-works whereas the monitoring of usage was poor.

The NPR document ends with summarizing the general progress of program and general recommendations on improving the implementation in the specific districts.
Swacchh Bharat Mission: Policy and Progress

In order to achieve the target of open defecation free India by 2019, Swach Bharat Mission Gramin is being implemented throughout India. Bringing about an overall improvement in the general quality of rural life is one of the core objectives of the SBM (G). Thus, creating a genuine demand for sustainable sanitation solutions and changing attitudes and behaviours figure prominently in the objectives of the mission.

Since sanitation is a state subject, the states have been given the freedom to design their own frameworks. They have been given the flexibility to use incentives available for the construction of individual household toilets in any way they deem fit.

In the two years of its implementation, the program has constantly been at the centre of public discourse. Significant achievements have been made in terms of construction; however, that does not ensure behavioural change. As per the baseline survey of 2012 only 36% of rural households had a toilet, out of 11.5 crore (Baseline 2012) that do not have toilets nearly 50% are BPL and nearly 40% would fall within the identified APL households. Hence 90% of total households without toilets are eligible to become beneficiaries under SBM (G).

As per baseline survey of 2012 nearly 10 crore toilets have to be constructed by 2019 to make India ODF. Since the launch of SBM (G) in 2014, nearly two crore toilets have been built (nearly 20% of target). To achieve this goal the pace of construction has to be increased by nearly 50% over the next three and a half years.

The physical target of constructing over 10 crore toilets in five years itself is very high and further increasing the pace by 50% would put additional burden on the already limited resources. The pace of construction has been varied across states. Some states have performed really well and have been able to meet more than 50% of their targets (October 2012 onwards) such as Goa, Himachal Pradesh, Meghalaya, Manipur and Haryana.
Of these states Himachal Pradesh and Haryana were already among states with highest sanitation coverage at 85% and 73% respectively. This shows the commitment of the state administration to meet the target of ODF by 2019.

The states of Jharkhand, Jammu & Kashmir, Punjab, Uttar Pradesh and Bihar have been the slowest to meet their targets. Incidentally, three of these states (Jharkhand, Jammu & Kashmir and Bihar) also had the lowest toilet coverage as per baseline survey of 2012. Inspite of being the states with the worst sanitation coverage they have made very little effort to improve their overall condition and are still lagging far behind to meet their targets.

Under SBM (G), IEC activities are focused on strategy and planning, demand creation leading to behaviour change and construction and use of toilets in a sustained manner. Out of the total national allocation under SBM (G), 8% is to be utilized on IEC activities. Of which, 3% will be used by the central government to roll out a pan-India campaign and 5% will be used by state governments for IEC, BCC, IPC and other communication activities. There is a significant reduction in the overall IEC budget from previous schemes as the earmarked funds always remained under utilized. The average utilization of the present IEC budget is only 2% of the prescribed financial target. The states of Andhra Pradesh and Odisha have met the highest financial target i.e 5.6% and 3.3% respectively. In terms of physical outputs of IEC materials, the states of Rajasthan and Odisha met around 4% of their respective campaigns. It has been repeatedly discussed that sanitation is not about only toilet construction, it has to be accompanied with behavioural change and community mobilization. Hence, the dismal state of IEC targets (physical and financial) needs to be improved to achieve sustainable sanitation.
As per baseline survey 2012, the state of Odisha had sanitation coverage of a mere 10% and in Tamil Nadu the sanitation coverage was 44%. Both states have been making efforts to speed up their construction process, in fact the pace of construction process in Odisha has been faster than Tamil Nadu.

The efforts made by both states encourage decentralization in implementing the program. However, the initiatives are distinct, discussed in detail in the later part of the report. It must be noted here that the government of Odisha’s starting point was extremely low (10% sanitation coverage) but right from the launch of SBM (G) in 2014, it has been making significant efforts and has now one of the fastest paces of construction. This may raise the question of sustainability of such efforts as there are chances of such efforts being only construction-centric. Tamil Nadu on the other hand has been more or less consistent in the pace of construction, but considering the robust administrative infrastructure and
comparatively high awareness levels of the local population the state should be able to pace up its construction process, to be able to achieve its ODF status.

Dysfunctional toilets are a major issue as per BLS 2012; there are about 92 lakh toilets of which hardly 9000 have been converted into functional toilets by efforts made by the individual household itself. If the SBM neglects the issue of un-usable (or ‘dysfunctional toilets’ as the baseline 2012 survey terms them), then the coverage numbers will remain only on paper, and ODF status will never be realized.

The SBM (G) guidelines have broadly spoken about the use of micro-finance institutions (MFIs) as a financing option for the construction of IHHL among households that are not eligible for direct incentives under the program. It has recommended that state/district work out their feasibility in this matter. The guidelines also recommend that SHGs be effectively used as a micro financing unit for sanitation infrastructure (as they have been a vital part of the micro finance movement in India). For micro finance to become a viable funding option for sanitation there is a need to create strong synergy between self-help groups (SHGs) and SBM (G) implementation across the country.

To pave the way for financial institutions to come forward, the Ministry of Finance has included water and sanitation as priority sectors for lending by commercial banks and MFIs. As per the policy guidelines the government envisages a big role for CSR in the SBM (G). It recommends various ways in which corporates can spend a part of their CSR funds such as creation of demonstration fields, undertaking IEC and BCC activities, providing technical assistance for septage management and school sanitation activities. Thus, to invite corporate funds the government has announced that corporate spending in these schemes will be now counted as CSR spend. It has gone ahead to include ‘Swachh Bharat Kosh’ and
‘Clean Ganga Fund’ in the schedule VII of the Companies Act (guidelines for CSR spending).

Very recently the government has also made 30% of CSR funding to be directed towards SBM mandatory. The SBM (G) guidelines also suggest the institutional set up through which the CSR funding can be routed, by identifying individuals/consultants at the state and district levels. Inspite of this, not many big corporate have come forward to support to support the program. Data prepared by the corporate affairs ministry has shown that among all projects, SBM has got the least amount of funding from the private companies in the year 2014-15. The Swachh Bharat Mission received less than 1% of the CSR funding.

Among all these efforts the SBM (G) is progressing but there is almost no data available on the usage of these toilets. The guidelines clearly talk about monitoring and evaluation mechanism, every state has adopted the same in a way that suits the institutional setup in there. A comprehensive monitoring mechanism that tracks year on year progress of usage of toilet at the national level is imperative to ensure the program is successful in its objective of making India open defecation free.
State Guidelines and Interventions

The SBM (G) guidelines leave enough flexibility for the states to take leads from the national guidelines and adapt the same for the situation in their respective state. Rural sanitation is a function of the rural development/ panchayati raj departments in the states. Almost all states have adapted the national policy to their respective state guidelines that outlines the framework for implementing the scheme in the state.

State Guidelines Tamil Nadu

The state guideline for Tamil Nadu aims to provide the strategies for motivation, planning, implementation, incentivising and monitoring the sanitation programme at GP level.

Main objectives of the Swachh Tamil Nadu Mission:

- To accelerate sanitation coverage in rural areas in order to achieve the goal of open defecation free Tamil Nadu in a time bound manner.

- To actively involve the various stakeholders such as Panchayat Raj Institution representatives, Self Help Groups, Village Poverty Reduction Committee (VPRC), Panchayat Level Federation (PLF), field functionaries of various government departments, etc., in the eradication of open defecation.

- To sustain the practice of safe sanitation through continuous Behavioural Change activities.

Planning, Implementation and Monitoring

In Tamil Nadu, Community Based Organizations (CBOs) functioning at village panchayat level such as Village Poverty Reduction Committees (VPRC) and Panchayat Level Federations (PLF) have a strong influence on the village community due to their inherent nature of work and representative composition.

Construction of toilet and its usage by those households presently defecating in open requires behavioural change through inter-personal communication. Members of these Village Poverty Reduction Committee/Panchayat Level Federations are in a better position to use their peer group influence in a big way to achieve the objective of open defecation free villages and thus made responsible for motivating, assisting the construction and ensuring sustained toilet use by every person in each household in the village.
The roles played by the Village Poverty Reduction Committee/Panchayat Level Federations w.r.t sanitation are:

- Door to door visits and motivation of households on importance of sanitation
- Educating the households on health hazards
- Help the targeted beneficiaries in understanding and availing the benefits of government schemes.
- Monitoring the release of subsidies to beneficiaries.
- Ensuring toilet usage and maintenance.

The Village Poverty Reduction Committee / Panchayat Level Federations engage one person as Community Resource Person (Sanitation) – in Tamil Nadu State Rural Livelihood Mission (TNSRLM) Blocks / Community Professional (Sanitation) - in Pudhu Vaazhvu Project Blocks, for effective coordination, monitoring and reporting of Village Poverty Reduction Committee / Panchayat Level Federations sanitation related activities.

Figure 11: Planning, Implementation and Monitoring

**Capacity Building**

District Collector draws a capacity building plan every year and conducts training for Community Resource Person (Sanitation), Community Professional (Sanitation), Worksite Supervisors, Village Poverty Reduction Committee/Panchayat Level Federation Members and field functionaries of various departments like Teachers, Anganwadi Workers, VHN,
etc. on sanitation promotion. Fund requirement are met out from Information Education and Communication component of Swachh Bharat Mission (Gramin) available in the districts.

**Figure 12: Capacity Building**

**Action plan**

The Village Poverty Reduction Committee / Panchayat Level Federation places the final list of households targeted for coverage with in the Grama Sabha meeting along with their plan of action, that spell out the strategies to be adopted to cover the different categories of households.

In order to generate demand, personalized contact is made by Village Poverty Reduction Committee/Panchayat Level Federations members/Community Resource Person (Sanitation)/Community Professional (Sanitation) through house to house visits; motivating the households to construct and use toilets should be part of the plan as well. Application forms are distributed to the households by the Village Poverty Reduction Committee/Panchayat Level Federations members and collected by the Village Panchayat Secretary.

The Village Panchayat facilitates the allocation of IHHL through Swachh Bharat Mission (Gramin) or Mahatma Gandhi National Rural Employment Guarantee Scheme, as per the respective scheme guidelines. In the next stage the work order is handed over to the beneficiary along with designs types and pamphlets for construction and usage (with recommended design type as per the soil condition).
Village Poverty Reduction Committee/Panchayat Level Federation facilitates the identification of skilled mason and materials for construction. The Assistant Engineer/Junior Engineer and Overseers monitor the quality of construction and ensure that the requisite technical specifications of IHHL are adhered to.

The release of subsidy to IIHL beneficiary is done in two stages. First part is given once the sub-structure is completed and toilet unit reaches basement stage, the last part is released after the toilet is completed in all respect and fit for use. In National Rural Employment Guarantee Scheme, payment is made in two instalments as per the actual value of work done and as per the measurement, subject to the limit of Rs.12,000/- per Individual Household Latrine.

**Monitoring**

The District Collector is the overall monitoring authority at District level supported by the Project Director, District Rural Development Agency.

The Block Development Officer (Village Panchayat) is responsible for ensuring the eligibility of beneficiaries, quality of construction, timely completion and usage of Individual Household Latrines.

Grama Sabha plays the role as the overall Social Audit Group to ensure that completed toilets are functional and are being used. Inter-personal communication is a continuous process in the post construction stage as well, and Village Poverty Reduction Committee/Panchayat Level Federations may take the support of various stakeholders in the Inter Personal Communication activities.
The Sanitation coverage report of each habitation is placed before every Grama Sabha meeting by the Panchayat Secretary. The Report essentially contains the details of households using toilets, those which are not using toilets, the status of coverage and action plan with deadlines for full coverage.

Whenever a habitation attains Open Defecation Free status, the Village Poverty Reduction Committee/Panchayat Level Federation functionaries shall be suitably recognized through issue of Certificates signed by the District Collector at a Block level function.

![Figure 14: Monitoring of SBM Activities](#)

**IEC in Tamil Nadu**

During our interactions with state and district level officials at Tamil Nadu, we found that several targeted IEC materials had been developed and distributed among potential beneficiaries.

The IEC material focused on informing the villagers about the benefits of sanitation and all their eligibility under SBM (G). The materials were all specifically created at the state/district level and some of them were also signed off the district collector.
This pamphlet was issued by collector of Dharmapuri to address school students. It is in a speech form encouraging the rural students to use toilets. The poster talks about the ill effects of open defecation and provides advantages of using toilets. It also asks the students to pass on this message to their parents and cultivate hygienic habits. It also informs the readers that an incentive of Rs 12,000 is being provided by government to build toilets. This pamphlet is also a survey form (rows in the bottom of second page) that asks the students their name & their class in school and whether they have a toilet and home.

This pamphlet was issued by the collector of Krishnagiri which provides statistics on the number of toilets built by TN Chief Minister under the SBM & MGNREGS.

The pamphlet only talks about the SBM (G) and how to acquire a toilet under this scheme.

Tamil Nadu is one of the few states where the NBA/SBM convergence with MGNREGS is working very efficiently. In Krishnagiri district alone nearly 26,000 toilets have been constructed under the convergence scheme. This pamphlet in many way talks about the achievements in construction and also informs the potential beneficiaries that MGNREGS work days could be used for construction of toilet in their house.
“Let us create a clean village” It also talks about the subsidy (INR 12,000) provided by the government to build toilets. It further provided information of other benefits. Self Help groups are provided 10,000 to motivate and supervise the building of toilets. The pamphlet is addressed to students (school and college).

This pamphlet was issued by the collector of Tiruchirapalli. The first section explains the various types of bacteria, virus, parasites in excreta and the second part explains the diseases spread by open defecation.

It talks about the benefits of using 2 pit latrines where human excreta become manure. It explains the potential beneficiaries how the usage of toilets protects the household members from various diseases, it also speaks about the advantages of hand washing facilities and water storage within the toilet. Finally the pamphlet informs the potential beneficiaries about the incentives of INR 12,000 provided by government to build toilets.
State Guidelines Odisha

The Swachh Odisha Mission (SOM) has identified six major stages to support Gram Panchayats in becoming Open Defecation Free. The stages include:

1. Identification of Gram Panchayats- Each district will prepare a detailed plan highlighting various activities undertaken as per the guidelines of SBM (G).
2. Preparation-Capacity Building through training/orientation, IEC, Human resource (NGO, Swachhata Doots).
3. Community Mobilisation-Triggering behaviour change, mass awareness and hygiene promotion, OD Elimination plan.
4. Supply Chain Management to support toilet construction-skilled labour, construction material, establishment of RSM.
5. Financing-Release funds to GPs.
6. Sustaining the ODF Achievements-hygiene promotion in schools, Anganwadi, SHGs etc. Community monitoring, third party evaluations.

SOM focuses on implementing the mission based on district specific situations, thus all activities are planned and implemented at district level with the support of Odisha State Water and Sanitation Mission (OSWSM).

Swachh Odisha Mission is basically executed through 6 phases of action:

1. Institutional Planning Phase
2. The Planning Phase
3. Implementation Phase
4. Supply Chain Management
5. Sustainability Phase
6. Monitoring and Evaluation

Figure 18: Phases of Action
Institutional Planning Phase

In the institutional plan there is a joint relationship between Gram Panchayat, DWSM and other support organisation in which GPs are the focal point for SOM implementation. The GPs themselves are responsible for management of construction funds.

The mission guidelines recommends that participatory tools and behaviour change communication be used at this stage for demand generation.

The collector at the district level provides overall guidance towards the implementation of the programme and ensures the inter-sectoral convergence. The collector may be supported by BDOs.

The supporting organisations (NGOs, Gaon Kalyan Samity, Village water and sanitation committees, SHGs etc.) supply services to household and act as a catalyst to unite and make informed choices and decisions. The supply services include- facilitating masons training, construction of toilets by household individually or collectively, educating the community and helping them to choose affordable option for constructing toilets etc.

![Diagram](image)

*Figure 19: Institutional Planning Phase*
Planning Phase

During the planning phase, each district develops a district specific plan which is led by the District Magistrate. The DWSM identifies various activities under IEC, engaging CSOs, capacity building interventions, no. of GPs to be supported to become ODF.

Each DWSMs identifies a minimum number of targeted GPs to be intervened in a year using the baseline survey conducted during 2014. The action plan is prepared for all households without toilets irrespective of entitlements of IIHL incentives. A cluster approach is adopted in which all villages within GP are to be saturated, and then adjoining GPs are to be taken up for full coverage.

Capacity building as a major activity for scaling up Community led Total Sanitation (CLTS) in this phase. Motivators undertake triggering exercises in the communities, these motivators are selected from various NGOs, PRIs, private volunteers, community leaders etc. The trained volunteers from each block are grouped to start working in a selected GP of their block as CLTS motivators.

Communication is the most crucial part of the planning phase because for achieving ODF communities, behaviour change is very essential. This requires change in established beliefs and practices and to achieve this full participation of community is needed.

The communication strategy recommended includes both participatory communication and sanitation marketing. All these approaches combined bring about change in sanitation behaviour and increase the demand for improved sanitation products.

**Phase 1: public information campaign which will provide general information**
- delivered through mass media to build awareness and increase knowledge

**Phase 2: motivating stakeholders through participatory tools**
- Awareness including IEC before construction of sanitary facilities.
- IEC activities during construction of sanitary facilities.
- IEC for sustainable use, maintenance and cleanliness of sanitary facilities.

*Figure 20: Planning Phase*
Implementation Phase

IEC and mass awareness, participatory communication and supply chain management are the three activities that are undertaken during implementation phase (usually lasting around 6 months).

For triggering behavioural change community mobilisation is undertaken jointly in the district specific arrangement (NGOs/resource group/CLTS motivators) and CLTS motivators with support of PRI members.

The improvements in the behaviour are monitored by the community members themselves through early morning follow-ups. The follow-up is intense and rigorous process involving day-by-day contact with the community members, trying to understand their challenges, persuading and motivating and helping in building and most important, using the sanitation facilities. The next step is to achieve ‘ODF’ status and for this Open Defecation Free Plan (ODFP) has to be developed which should comprise of -a resolution stating adoption of improved sanitation and commitment to remain ODF.

All the efforts are made to achieve the targets set out in the annual action plan within planned timeframe. The motivators trigger village communities for behaviour change in sanitation practices, through the use of CLTS techniques. The monitoring of communication activities takes place continuously throughout the program to track the implementation of planed activities and assess how messages, communication materials and other inputs are received by the Block Resource Centre (BRC).

![Figure 21: Implementation Phase](image)

Supply Chain Management

The demands for bricks, concrete rings, cement, pan-sand, etc. are the rural sanitation hardware components that each district estimates (as per their IHHL targets). Districts make an effort to identify suppliers in districts and block and it should also consider lead time for supply.

On average a skilled mason requires 4-5 days to build a toilet, so quantum of mason required for targeted operational area also has to be assessed. In order to strengthen the
supply side of rural sanitary products and materials, block wise or cluster wise workshop of potential suppliers is organised.

**Sustainability**

From the past experience it has been observed that many households have not been able to sustain the ODF status, so sustaining the gains very important. Hence in sustaining the gains, field level functionaries like school teachers, ASHA, Anganwadi workers, CLTS motivators, PRI members, SHGs and opinion leaders need to play a crucial role as they are in regular contact with various sections of the community at variety of platforms.

**Monitoring and Review**

Regular monitoring and reviewing the processes is essential to understand whether the implementation is proceeding in right direction and helps in taking corrective actions.

**IEC in Odisha**

During our interactions with state and district level officials at Odisha, we found that several targeted IEC materials had been developed and distributed among potential beneficiaries.

The IEC material focused on informing the villagers about the benefits of sanitation and all their eligibility under SBM (G). The materials were all specifically created at the state/district level and some of them were also signed off the district collector.

![Figure 22: Pamphlets from Balasore district](image)
The above pamphlets have been issued in Balasore district. It talks about the number of problems due to open defecation and says recommends continuous usage of toilet the best way avoid the diseases and poor health resulting from it. Giving an overview of SBM (G) qnd informs the reader on the benefits of availing a toilet under this scheme.

This poster has been issued by the authorities of Ganjam district. It is titled As ‘My District- My Toilet-My Pride’, this poster talks links self respect/pride to toilet usage. It says that women’s respect and security is largely at risk due to open defecation. The poster also says that IHHL (Individual Household Level Latrine) is beneficial for aged people as they would find it even more difficult to defe cate in the open areas.

The next poster has been issued by Angul district; it focuses on the importance of hand washing after defecation. Through a pictorial representation it explains the various steps of hand washing with soap and keeping the toilet premise clean and the various stages of hand washing and rinsing. It tells the beneficiaries about the steps involved in maintaining a toilet i.e cleaning with water and broom and the need to pour water both before and after using the toilet.
This pamphlet is from Sambalpur District, it explains on the various important aspects of sanitation and toilet usage. It talks about the importance of hand washing after using the toilet. It also informs the potential beneficiaries about the way to ensure food and water in surrounding areas is not contaminated due to the practise of open defecation. In the lower bit of the pamphlet is an undertaking that school children have to get signed from the parents as a promise to build and use a toilet at their household.
**CRC +: A Supply Side Analysis**

CRC+ is a social accountability tool that makes a supply side analysis of service delivery by analysing issues related to fund flow and functional responsibilities in the system. CRC+ as a tool is further divided into two components which is depicted in the below figure.

The Functional Marker Analysis aims at analysing the devolution of functions right from District level to the Gram Panchayat level. The Selective Expenditure Tracking on the other hand traces the fund flow mechanism from the highest State Level to the lowest Gram Panchayat Level. The aim of these exercises is to identify the supply side bottlenecks at each level in implementation of the SBM (G) scheme. Various government officials involved in this project were personally interviewed for the same. The officials interviewed at each level are as follows:

- **District Level** – Project Director, District Coordinator, Assistant Project Officer and Accountant
- **Block Level** – Block Development Officer, Deputy BDO and Block Coordinator, Overseer
- **Panchayat Level** – Panchayat President and Secretary
CRC+ in Tamil Nadu

Functional Marker Analysis and Selective Expenditure Tracking

The guidelines for SBM (G) Tamil Nadu were prepared by the state level officials and then passed on to the respective District Rural Development Agencies. These guidelines were then forwarded to the Block Development Officers in the district. After the guidelines were devolved, training programmes were conducted for district officials at the state capital and for the block officials at the district level, where the Project Director and District Coordinator received the training while at the block level BDO’s and Block Coordinator benefited from the same. At the GP level the Panchayat Secretaries and Presidents were also put through training and awareness programmes by both Block and District Officials.

The district officials prepare a yearly action plan based on the targets fixed by the state. (The targets are fixed based on the baseline survey conducted by the state in 2012). The action plan is drafted by the Project Director, Assistant Project Officer and District Coordinator under the guidance of the District Collector. All Block Development Officers are consulted in the process. Once the action plan is drafted, it is forwarded to the Blocks and then to the GP’s. At the district level, the Collector is the ultimate authority for implementation of the scheme and the Project Director is responsible for the overall implementation of the scheme in the district and reports to the collector. At the block level, the BDO is the person responsible for implementation supported by the Block Coordinator, Deputy BDO and the overseers.

The various IEC activities and initiatives undertaken in the district were as follows:

- Street Plays, Dramas and Awareness Camps at block and Panchayat level.
- Door to Door campaign
- Posters, Banners, Handouts and Hoardings.
- Involving school children to encourage households
- Using audio-video medium to propagate the positive aspects of SBM
- Providing award banners and hoarding for ODF villages

Every month the Collector conducts a review meeting to track the progress of SBM. The meeting is attended by Project Director, APO and Districts Coordinator. The project director in turn conducts a review meeting involving all BDOs’ monthly once/on a monthly basis. The District Coordinator reviews the progress of completion vs target on a daily basis and reports the same to the Project Director.
At the block level the Block Coordinator and the Deputy BDO track the progress of construction online. They also visit the field to keep a track of the improvements/stagnation in villages. At the Panchayat level, the secretary directly monitors the field/situation in person and uploads the progress at the end of the day.

The guidelines for accounting and fund release in the SBM (G) are prepared at the state level and forwarded to the District Rural Development Agency. Based on district wise targets the state releases funds required through Online Fund Transfer Mechanism. The DRDA continuously monitors the block level targets and achievements, based on which funds are released to the blocks. The block releases the funds directly to the beneficiaries through cheques/online transfer in two instalments. The first instalment is released when the base is completed and the other after completion of the toilet. A completion certificate along with the photo of the beneficiary is mandatory for the fund release.

At the district level, the Collector is the ultimate authority for implementation of the scheme. The Project Director is responsible for the overall implementation of the scheme in the district and reports to the collector. The Project Director is supported by the District Coordinator and the Assistant Project Officer who monitor the progress on a day to day basis and facilitate fund release.

At the block level, the BDO is the person responsible for monitoring and fund disbursement. He is supported by the Block Coordinator, Deputy BDO and the overseers. While there is no separate accountant for this scheme, the accounts officer at the district and block level facilitate the release of funds.

Dharmapuri District

Findings from CRC+

- Manpower Shortage – There is shortage of manpower at the block level. One block coordinator is responsible for about 50-150 panchayats (depending on the size of the block). The block is the most important link in the SBM scheme, which has a role both in the implementation and monitoring.

- Exclusive Team for SBM at District Level – The officials were of the opinion that the overall implementation could be more efficient and effective if a dedicated team solely for SBM is put in place. Presently officials identified to work on SBM (G) in the district also have to perform other responsibilities and hence reducing their efficiency.
• Bottlenecks in Fund Release - Under SBM it was reported that there were no bottlenecks/problems in the fund flow mechanism. However toilets constructed under MGNREGA faced fund release issues at the final leg (Beneficiary Level).

• Salary Levels- All coordinators expressed their partial dissatisfaction with the financial compensation they were offered. This acts as a deterrent in motivating them to peruse the vision of an ODF state.

• Innovative & Consistent IEC Mechanism in Place- The district has a range of IEC activities like all other districts. However the distinguishing factor is that here innovative methods like Audio CD’s containing awareness songs, appointing school students as cleanliness ambassadors are in place. Also, it is observed from the conversation with the Project Director that the district is very conscious and consistent with the IEC efforts in this sector.

• No Disabled Friendly Toilets - Few officers stressed on the need for toilets to be disabled friendly. They were of the view that funds be made available to construct toilets as there was an impending demand for the same.

Krishnagiri District

Findings from CRC+

• Bottlenecks in Fund Release - Under SBM it was reported that there were no bottlenecks/problems in the fund flow mechanism. However toilets constructed under MGNREGA faced fund release issues at the final leg (Beneficiary Level).

• Issue in Repayment by the Beneficiary -Wherever the block/GP arranges the construction materials for the beneficiaries, the repayment by the beneficiary after construction is a major issue.

• Manpower Shortage – Manpower shortage at block level and the need of an exclusive team at the district level were among the other common findings which were true for Krishnagiri as well.

• Interest and thrust by Panchayat- Interaction with Panchayat President, revealed how transparent and consistent efforts are very critical to eradicate open defecation. After every household in the village had a toilet, the Panchayat President ensured usage by conducting personal visits to each household on a daily basis. This initial thrust was an essential prerequisite for an open defecation free future.
Trichy District

Findings from CRC+

- Manpower Requirement at Monitoring Level- The district officials called for more manpower at the monitoring level at the ground. As of now only online monitoring on a day to day basis is prevalent at the district level. The officials were of the view that more manpower for monitoring would ensure a more effective monitoring framework on ground. A suggestion was put forth by the block officials that instead of one coordinator for the block, there could be cluster coordinators who monitor a cluster which consists of few GPs.

- Fund Release from State- It was found that the second instalment in the fund transfer from the state to the district was partially lagging behind. While the funds are released twice or thrice in a year, the work of achieving the target is a yearlong affair. Therefore in this district the funds for few constructed or about to sanction toilets are due.

- Block level issues- The block staff informed that the beneficiaries wanted the funds in advance, before even starting the construction process. The reason they cited was poverty and lack of funds to buy materials. The Block handled this issue in a very efficient manner by organising initial funds through Self Help Groups and Village level poverty committee.

- Land Issues- Lack of sufficient land/area to construct a toilet in certain households was prevalent in the district. Houses which were constructed under the Indira Awaz Yojna did not have a toilet nor provide space for the same. Therefore in these households the block officials find it very difficult to find spaces to build toilets. However, they have constructed community toilets in such areas.

- Rural Sanitary Mart-Block officials categorically mentioned that the RSM concept had failed in the district because it was run partly by private players. They suggested that the government run a full-fledged sanitary mart at the block level, which can solve material related issues.

- Use of SHG’s- This district has used SHG’s to the best use. They use SHG’s to fund the initial material cost, to spread awareness and to ensure usage. This can be an important learning for other districts to follow as the SHG’s are formed by the people and work for the people.
Perambalur District

Findings from CRC+

- Subsidy Amount Released to Vendor-In certain blocks it was found that the subsidy amount of Rs. 12000 was released to the vendor/contractor who built the toilet and not to the beneficiary. Since the contractors were hired to construct the toilet this process was undertaken.

- IEC Activity in ODF Villages-Though the district has some IEC activities like pamphlets, notices in all villages, the bulk of IEC efforts are focussed in ODF villages.

- Each One Catch on Teach One- The district has developed an innovative method to spread awareness and motivate citizens to construct toilets. They select one person in a locality and train him/her on the positives of using a toilet. He/she in turn catches one more person and trains him/her on the same. This is an unbroken link which creates awareness on the benefits of being ODF.

- Merged with Festival Celebrations- Last Pongal celebrations in the district were used as a platform to canvass and campaign for an ODF district. The collector took personal interest in the “Clean Pongal Initiative”, wherein he spoke about the importance of toilets at the function.

- Eco Sanitary Toilets-This district had installed eco-sanitary toilets at various locations, which were environmental friendly and occupied less space.

Kanyakumari District

Findings from CRC+

- Requirement of Funds for Maintenance-Since the district is almost is Open Defecation Free, there is a need to allocate funds for maintenance of existing toilets. As per the current Government Order funds cannot be released for maintenance and repair works.

- Role of Church in IEC Activities-In certain coastal districts where the Government found it very difficult to persuade the citizens to build toilets and use them, the church played a very proactive role in the process. The priest was instrumental in changing the mind-set of the people.
Kerala Influence- Kanyakumari district had benefitted largely from the Kerala influence. In terms of awareness and education the citizens were way ahead of the rest of the state. This made the task for the Government easier in constructing toilets and moving towards an ODF district. The district is expected to be declared ODF in the coming month.

**Tirunelveli District**

Findings from CRC+

- Delay in Funds- It was observed that there was a slight delay in release of funds from state to district level. The officials commented that funds of about 5-6 blocks were held up and not released due to this delay.

- Efficient division of work at block level: Every block has two BDOs. One is a regular BDO and the other a Panchayat BDO. Generally the regular BDO is in charge of most development schemes. In this district, there has been a smart division of work and responsibilities, implemented at the block level. All the Panchayats in the block are equally divided between both the BDO’s and the target is fixed individually. This reduced the burden on one head and increased the work efficiency.

- Innovative solutions to land problems: Lack of sufficient space was a major issue in many districts for the poorest of poor for toilet construction. The DRDA in Tirunelveli solved this issue in a backward village by buying a plot in one of the beneficiaries name and equally distributing it to all the beneficiaries later. On this land, individual toilets were constructed for each household in a line. These models were called line toilets.
CRC+ findings across districts – ODISHA

Functional Marker Analysis and Selective Expenditure Tracking in Odisha

In Odisha, the national guideline for implementing SBM (G) is being followed across all 6 study districts. In addition to guidelines from the Center, few districts have prepared an additional action plan with finer nuances of implementation in terms of saturation strategy, additional manpower, type of executant etc. as their respective strategy.

In terms of the HR management, while on paper the manpower structure is uniform across the districts, in practice there are variations. In some districts, the first and second line officers such as the Collector and/or Executive Engineer take an active role in the program management on a daily basis whereas in some, only the 3rd level officer, the DPC, manages the day-to-day supervision. For example, Angul District Collector took an active role in management that reflected in higher level of success. Similarly the new Executive Engineers in Dhenkanal, Cuttack and Sambalpur are currently being involved in program management with new plans which may yield success in the near future. In Dhenkanal district the new Executive Engineer has prepared formal approval for adding more JE (Junior Engineers from other sections) for SBM-G. At grassroots level, the involvement of block level staff in most districts is restricted to work order and UC (utilization certificate), where as in few districts they are also involved in fund management. They receive funds from the district in their bank account and then make online transfer to account of GP staff (Sarpanch) or beneficiaries directly. At GP level, the PRI members, mostly the Sarpanch of few districts (Angul and Dhenkanal), are directly involved in fund management; mainly in receipt of fund in their bank account against toilet construction on behalf of the beneficiary. These variations across districts and down the line of block and GP give a feeling that decentralization as a concept is being followed differently by different districts based on leadership, activeness of senior officers and circumstantial needs due to a flexible approach of the national guideline.

The preparatory activities such as launching, PIP and AIP, the IEC program which dwells mainly on IPC (Inter-personal communication) method, even the training aspects, hardware procurement and data updating are almost similar across the districts. However there is minor variation in terms of monitoring of toilet constructions that, two out of six districts are relatively active and regular in monitoring even if no format exists in any of the study districts for this purpose. The release of funds from the state office is almost similar across all district in terms of timeliness, and often need-based rather than any cycle as such. As referred earlier, except for two districts, in all other districts the funds flow directly from district account to beneficiary without involving block or GP accounts in the process.
Cuttack District

CRC+ FINDINGS

- Slow Implementation of PIP/AIP - Implementation of PIP/AIP is very slow and inefficient even if there is sufficient proximity to state office. Overall the staff in the Cuttack district is adequate but not active.

- IEC Activities non-existent- The District has very poor or almost non-existent implementation of IEC activities.

- Poor Monitoring of Management-Under the SBM scheme, monitoring of construction and usage of toilets is required, which is poor and almost non-existent in this district. So there is a need for engaging more manpower at the monitoring level.

- Poor Data Updation- Data updation is poor as there is lot of faulty data. But the receipt of funds for implementation was timely.

- Delay in Implementation- Full amount of funds to beneficiary was given at the end of the UC process but most of the time it was delayed. Hardware procurement and distribution, all was from nearby urban areas.

Dhenkanal

CRC+ FINDINGS

- Timely Implementation- In Dhenkanal district the implementation of PIP/AIP was obedient accompanied by good plans which were guided by state office and controlled by the district’s 2nd higher level (executive engineer).

- Training not Incorporated- The training under the mission was not considered useful and also the adequacy of staff was more than sanctioned as Executive Engineer leveraged more staff.

- IEC Activities not Undertaken- Only in few GPs of Dhenkanal, there was implementation of IEC activities and the inter-personal communication with incomplete information.
- Poor Monitoring of Construction- Monitoring of construction was only in the form of check paper-works whereas the monitoring of usage was poor.

- Management of Funds-Receipt of funds for implementation was generated timely and the full amount of funds was given to the beneficiary or GP Sarpanch (executant) at end of UC process.

- Hardware Procurement-The process of hardware procurement and distribution under the mission was done from nearby urban area. Whereas, the fund management roles down the line (decentralization) from district to block account to sarpanch/beneficiary account through cheque/online transfer.

Anugul

CRC+ FINDINGS

- Implementation of PIP/AIP- In Anugul the implementation of PIP/AIP was innovative, proactive and efficient as the decisions were taken by districts’ highest level (Collector) and there was no significant role of executive engineer. In the district there was active and innovative (CLTS approach) training programme.

- Adequate Staff- The staff was Adequate and more active at block and GP level. The implementation of IEC was relatively better. There was inter personal communication along with some IEC activities like pamphlets, notices in all villages.

- Monitoring of Construction- The monitoring of construction was through follow-ups such as regular phone and the monitoring of usage was followed at community level.

- Data Updation- Data Updation was regular and shared at GP level. While the receipt of funds for implementation was timely except for last month. Full amount of funds was transferred to beneficiaries or to GP Sarpanch (executant) at end of UC process and mostly on time.
Balasore

CRC+ FINDINGS

- Implementation of PIP/AIP – The implementation of PIP/AIP in Balasore was efficient but endogenous ie. purely under control and ideology of DPC- 3rd higher level and there was customary role of executive engineer.

- Adequate Staff- The staff was adequate and DPC leveraged more NGO people than office staff. There was IPC only but that too was considered not required now by SBM staff.

- Monitoring of Construction- In this district the monitoring of construction and monitoring of usage, both were poor.

- Receipt of Funds- The receipt of funds for implementation was on time except last month. Full amount of funds for beneficiary was given to NGO (executant) at end of UC process and mostly timely.

- Fund Management- The fund management roles down the line (decentralization) from District to NGO account directly through online transfer.

Ghanjam

CRC+ FINDINGS

- Implementation of PIP/AIP- The implementation of PIP/AIP was obedient and efficient. Guided by state office, control by DPC 3rd higher level the executive engineer played no significant role.

- Training - Under the Swachh Odisha Mission, the training given was not much and the amount of staff was not felt adequate at block level.

- IEC Implementation- There was poor implementation of IEC activities with poor monitoring of construction and usage. Data updation was poor and it was registered manually.

- Receipt of Funds- Receipt of funds for implementation of various activities was timely except last month. Full amount of funds was transferred to beneficiary or after 3 months to SHG (executant) at end of UC process but delayed. In most of the districts of Odisha, the hardware procurement and distribution was from nearby urban area.
SAMBHALPUR

CRC+ FINDINGS

- Implementation of PIP/AIP- The implementation of PIP/AIP was slow and less-efficient despite of the active role from new Executive Engineer with enhanced role of Block staffs.

- Training Program-The training programme was not significant in the Sambhalpur district and the staff seems adequate but less active.

- IEC Activities- Implementation of IEC activities was poor with almost nil monitoring of construction and almost non-existent monitoring of usage.

- Data Updation- The data updation was poor and the receipt of funds for implementation of the mission was not timely as a result of which the households were not happy with the mission.

- Hardware Procurement-The hardware procurement and distribution was all from nearby urban area. The fund management roles down the line (Decentralization) from district to local village leader account through online transfer.
Conclusion
The Swachh Bharat Mission (Gramin) has been launched nearly 2 years ago and the overall progress of the scheme has been not been to the pace required to make India ODF by 2019. However some significant achievements have been made in terms policy and implementation across states. Sanitation being a state subject, the national policy gives the state governments enough freedom to design their own implementation guidelines. They have been given the freedom to design their own frameworks and use incentives available for the construction of individual household toilets in any way they deem fit.

Information, Education and Communication (IEC) is considered a key to effective to behavioural change that would lead to ODF communities. In this aspect the SBM (G), IEC activities are focused on strategy and planning, demand creation leading to behaviour change and construction and use of toilets in a sustained manner. Out of the total national allocation 8% is to be utilized on IEC activities, of which, 3% will be used by the central government to roll out a pan-India campaign and 5% will be used by state governments for IEC, BCC, IPC and other communication activities. The average utilization of the present IEC budget is only 2% of the prescribed financial target. The states of Andhra Pradesh and Odisha have met the highest financial target i.e 5.6% and 3.3% respectively. In terms of physical outputs of IEC materials, the states of Rajasthan and Odisha met around 4% of their respective campaigns. The dismal state of IEC targets (physical and financial) needs to be improved to achieve sustainable sanitation.

The SBM (G) guidelines talk about micro-finance institutions (MFIs) as a financing option for the construction of IHHL among households that are not eligible for direct incentives under the program. The guidelines also recommend that SHGs be effectively used as a micro financing unit for sanitation infrastructure (as they have been a vital part of the micro finance movement in India). In order to pave the way for financial institutions to come forward, the Ministry of Finance has included water and sanitation as priority sectors for lending by commercial banks and MFIs. However this has not taken off and there is hardly any data available at the national or state level where MFIs have been used to successfully fund toilet construction.

Even the big role envisaged for CSR in the SBM (G) has hardly been successful especially w.r.t IHHL. Thus, the main source of funding remains the central and state government subsidies.

Each state has developed its state guidelines that draw out the objectives and the broad plans to achieve the main objective of becoming ODF by the set deadline. The guidelines for the Swachh Tamil Nadu Mission spell out the need to accelerate sanitation coverage in rural areas in order to achieve the goal of open defecation free Tamil Nadu in a time bound manner.
It talks about actively involving the various stakeholders such as Panchayat Raj Institution representatives, Self Help Groups, Village Poverty Reduction Committee (VPRC), Panchayat Level Federation (PLF), field functionaries of various government departments, etc., in the eradication of open defecation. The guidelines also emphasize on continuous behavioural change activities.

Meanwhile, the Swachh Odisha Mission (SOM) talks about the six major stages to support Gram Panchayats in becoming ODF i.e from identification of Gram Panchayats- to community mobilisation, supply chain management and financing. It is a step by step guideline for a district to achieve its target of becoming ODF based on the baseline survey of 2012.

CRC+ is a social accountability tool that makes a supply side analysis of service delivery by analysing issues related to fund flow and functional responsibilities in the system. There are several issues w.r.t the implementation of the SBM (G) that is hampering the progress of the scheme. Shortage of manpower to execute this scheme is a common issue, a single block coordinator is made responsible for about 50-150 panchayats (depending on the size of the block). This puts immense of pressure on the block level officers who are entrusted with the role of both implementation and monitoring.

Timely fund release is also a major issue being face by the implementing bodies. This happens as there is a delay in release of funds from centre to the state and state to district. Also, as per the MGNREGS and SBM convergence (only in Tamil Nadu) there are even further delays. In certain blocks it was found that the subsidy amount of Rs. 12000 was released to the vendor/contractor who built the toilet and not to the beneficiary. This was done because the contractors were hired to construct the toilet this process was undertaken. In such cases the beneficiary has little or no say in the specifications of the construction process and would be least likely to use it.

It was also noted that the implementation of PIP/AIP (as per Baseline Survey 2012) in several GPs was very slow and inefficient even if there is sufficient proximity to state office. Thus, the success of the program depends on the involvement of the political and administrative leadership. Training and capacity building at every level is considered to be the corner stone of the program and, however it is not being conducted as per the guidelines across all districts.

The SBM(G) has made progress since it was launched in October 2014. However to be able to meet the enormous market of making India ODF by 2019 the pace of work will have to the accelerated and aspects of behavioural change and inter personal communication will have to be given foremost importance to ensure sustainable sanitation.