



# Performance Audit of Nirmal Bharat Abhiyan & Strategies for Swachh Bharat Mission

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# Introduction

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- Central Rural Sanitation Programme was introduced by the Government of India in 1986. It primarily focused on improving the quality of life of rural people and also to provide privacy and dignity to women.
- The scheme was revised in 1999 with “Demand Driven Approach” and renamed Total Sanitation Campaign (TSC).
- TSC was started with the main objective of providing access to toilets to all by 2012 and providing sanitation facilities for all schools and anganwadis by March 2013.

# Introduction- contd...

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- TSC was further transformed into Nirmal Bharat Abhiyan in 2012 with modified objective of achieving the vision of Nirmal Bharat by 2022.
- **It is against this backdrop that Audit decided to review the functioning of sanitation campaigns to have the status check with regard to original targets set under TSC for the years 2012 and 2013.**
- Performance audit was started by office of DGACE in May 2014 with a view to assess the overall performance of the scheme.

# India's status on sanitation indicators

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- GoI target for eradication of open defecation were set out for 2012, revised to 2017 and again set out for 2022 (**Para 1.2**)
  - **India's status in 2012:** During 1990 to 2012 the improved sanitation increased only by 18 percentage points whereas in neighboring countries it ranged between 27 and 41 percentage points. (**Para 1.6**)
- As per UNICEF/WHO Report only 25 per cent of rural population had access to improved sanitation which was far below the world level of 47 per cent. (**Para 1.6**)
- As per WHO Report India has the highest number of people (60.09 per cent) practicing open defecation in the world which did not compare well with neighboring countries and other regions. (**Para 1.6**)

# Audit approach and methodology

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- **Audit objectives: (Para 1.7.1)**
  - adequate and effective planning aimed towards achievement of objectives of the Scheme;
  - economic and efficient allocation, release and use of funds;
  - sufficient targets to achieve and sustain the vision of the scheme;
  - adequate transparency for selection of beneficiary and adequate infrastructure facilities;
  - effective information, education and communication strategy;
  - effective convergence with other programmes/stakeholders; and
  - effective monitoring of performance indicators and targets fixed under the scheme.
- **Audit objectives were discussed with the Ministry in an entry conference on 16<sup>th</sup> May 2014**

# Audit approach and methodology- contd...

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- **Scope of Audit: (Para 1.7.2)**
  - Audit covered all the components of the Scheme;
  - Period covered: 2009-10 to 2013-14.
- **Sampling: (Para 1.7.3)**
  - 26 states (Andhra Pradesh-including Telangana, Arunachal Pradesh, Assam, Bihar, Chhattisgarh, Gujarat, Haryana, Himachal Pradesh, Jammu & Kashmir, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Manipur, Meghalaya, Mizoram, Nagaland, Odisha, Punjab, Rajasthan, Tamil Nadu, Tripura, Uttar Pradesh, Uttarakhand and West Bengal) and one UT (D & N Haveli) were covered;
  - **149 Project districts, 406 Blocks and 2704 Gram Panchayats of these States were selected using statistical sampling.,**

# Budget and Expenditure

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Year	Total Funds Available	Expenditure
	(₹ in crore)	
<b>2009-10</b>	2252.25	1334.07
<b>2010-11</b>	2461.64	1174.58
<b>2011-12</b>	2742.82	1335.73
<b>2012-13</b>	3863.01	1521.21
<b>2013-14</b>	4563.79	2113.27
<b>Total</b>	<b>15883.51</b>	<b>7478.86</b>

*(Release of Funds by the Ministry)(Para 1.4)*

# Audit Findings



# Project Implementation

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- **Component wise shortfall in achievements of targets during 2009-14: (Para 3.1.1)**
  - IHHL(BPL) – 48 per cent
  - IHHL(APL) – 56 per cent
  - CSC – 71 per cent
  - School toilets – 48 per cent
  - Anganwadi toilets – 56 per cent
  - No targets were set for SLWM projects;
- **Inflated achievement: (Para 3.1.2)**
  - Against 367.53 lakh households having toilet facilities, an achievement of 693.92 lakh up to February 2011 in 16 states was shown.

# Project Implementation- contd...

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- **Non-implementation of the scheme: (Para 3.1.3)**
  - Scheme was not implemented in 22 districts of 12 States/UTs.
  - Scheme was not implemented in 0.34 lakh GPs out of the total 2.54 lakh GPs.
- **Defunct toilets: (Para 3.2.1.1)**
  - Out of the total 7.05 crore toilets in individual households, nearly 1.45 crore (20.54 per cent) toilets were defunct. In test checked 53 districts of eight States, 24.03 lakh households (33.45 per cent) out of total 71.86 lakh households with toilets had defunct/non-functional toilets due to reasons like poor quality of construction, incomplete structure, non-maintenance.

# Management of Funds

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- **Shortfall in release of central share of funds (Para 4.2)**
  - The Ministry released only 48 *per cent* of the funds demanded by the states during 2009-14.
- **Poor utilisation of funds (Para 4.5)**
  - Out of an amount of ₹ 13494.63 crore available during 2009-14 an amount of ₹ 10157.93 crore was spent on scheme implementation leaving an unutilized amount of ₹ 3336.70 crore (24.73 per cent).
  - The unspent amount on annual basis varied between 40 *per cent* and 56 *per cent* during the period of audit.

# Management of Funds- contd...

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- **Diversion of funds: (Para 4.7)**
  - Scheme funds amounting to ₹ 283.12 crore were diverted and utilised for other purposes in 13 States.
- **Discrepancy in figures:(Para 4.14)**
  - There was Discrepancy in figures like Opening Balance, Closing balance, Expenditure and interest in the three basic accounting records like UC, ASA and IMIS.
  - The discrepancy was not reconciled.

# Information, Education and Communication

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- 19 to 28 per cent of total IEC **expenditure of the Ministry was incurred on activities unrelated to IEC** during the years 2009-10 to 2011-12. **(Para 5.3.1)**
- Ministry made no efforts to get any evaluation done for assessment of the effectiveness of IEC on the scheme.

# Convergence

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- There was **no convergence during 2009-12** with other schemes. During 2012-14 some IHHLs were constructed in convergence with IAY and MGNREGS. **(Para 6.3):**
  - Out of 45.59 lakh IHHL units constructed during 2012-13, only 0.31 lakh units (0.67 per cent) were constructed in convergence with IAY and MGNREGS in 8 States.
  - 22 States/UT had reported zero achievement under convergence.
- **Corporate houses were not involved in the scheme implementation** as part of their Corporate Social Responsibility. **(Para 6.4)**
- There was no arrangement with the **Indian Railways to discourage the practice of unsafe disposal of human excreta by IR system and open defecation on rail tracks.** **(Para 6.6)**

# Monitoring and Evaluation

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- **Non-utilisation of funds for Monitoring and Evaluation (Para 7.2)**
  - Out of total funds of ₹ 22.40 crore allocated for M & E during 2009-14, ₹ 0.32 crore only was utilized on the activities covered under M & E and remaining amount of ₹ 22.08 crore was diverted to other activities.

# Monitoring and Evaluation- contd...

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- **Non-reliability of data (Para 7.3)**

- There was no system to verify the reliability of the data reported on the Integrated Management Information System (IMIS).
- Due to this lapse, physical progress was highly over reported. Coverage of scheme components as reported by Districts was much on higher side in comparison to the coverage reported by GPs as below:

Component	Achievement		Difference	
	District MPR	GP MPR	Number	Per cent
<b>BPL Toilets</b>	5 ,24, 53,615	3,06,46,776	2,18,06,839	71.15
<b>APL Toilets</b>	4 ,49 ,55 ,539	2,46,80,794	2,02,74,745	82.14
<b>School Toilets</b>	13,45,196	5,31,373	8,13,823	153.15
<b>Anganwadi</b>	4,72,827	2,55,993	2,16,834	84.70
<b>Sanitary Complex</b>	27,901	10,176	17,725	174.18

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# Monitoring and Evaluation- contd...

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- **Non-reliability of data (Para 7.3)**

- There was wide gap between the different sets of reports like Census 2011, Baseline survey of the Ministry(year 2012-13) and NSSO reports vis-à-vis IMIS of the Ministry:

Year	Access to toilet	
<b>2011</b>	Census 2011 – 32.70 %	IMIS – 62.26 %(IHHL)
<b>2012-13</b>	Baseline Survey – 40.35 %	IMIS – 72.88 %(IHHL)
<b>2012-13</b>	BLS: IHHL – 6.91 crore	IMIS: IHHL – 9.16 crore
<b>2013</b>	NSSO – 40.60 %	IMIS – 72.88 %(IHHL)

- **Non-evaluation of the scheme (Para 7.5)**

- The scheme was not evaluated to review its progress.

# Summary of recommendations

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- Ministry may devise a system to cross check the progress reports submitted by the States/UTs regularly so that they are not inflated.
- Keeping in view the large numbers of defunct IHHLs, Ministry may develop a mechanism for periodical review of sanitation practices for taking timely action in cases of slip back.
- The fund sharing commitment may be fulfilled. The causes of poor expenditure need to be addressed.

# Summary of recommendations- contd...

- IEC activity should be organised to create awareness about importance of sanitation for a healthy life so that rural people are motivated for construction and use of toilet in a sustained manner.
- Resources of other schemes need to be dovetailed to ensure optimal results from related Government programmes.
- Ministry may take up the matter with the Ministry of Railways to draw up a definite time frame for finalizing eco-friendly toilets to prevent continued environmental degradation at stations and tracks.

# Summary of recommendations- contd...

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- The Ministry may develop a mechanism to periodically validate field data and ensure credibility of IMIS data by cross-checking with data received through Monthly Progress Reports.
- Evaluation studies may be encouraged to identify weaknesses in implementation of the NBA.

## Major Recommendations Incorporated in Swachh Bharat Mission

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- Non- reliability of Data/ Inflated Achievement : MIS has been strengthened to capture beneficiary details including photographs and feedback from citizens
- No mechanism to get update on prevailing sanitary practices and changes in list of eligible households : Agencies like NSSO has been assigned the job to have update ( few questions related to sanitary practices and details of household without Individual Household Latrines to be included in all surveys conducted by NSSO)
- Non inclusion of some districts ( more than 20 ) under TSC/NBA : SBM covers the whole India ( Rural as well as Urban)

## Major Recommendations Incorporated in Swachh Bharat Mission

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- **Role of Corporate Houses:** Swachh Bharat Kosh has been established, increased involvement of Corporate Houses through consultations with Industry Associations.
- **Arrangement with Indian Railways to discourage the practice of unsafe disposal of human excreta and open defecation on tracks:** Ministry of Railways to install Bio digester toilets in its entire fleet of coaches by 2022.
- **Ineffective IEC Activities :** Increased focus on IEC activities through various media campaigns

**Thanks !!!**