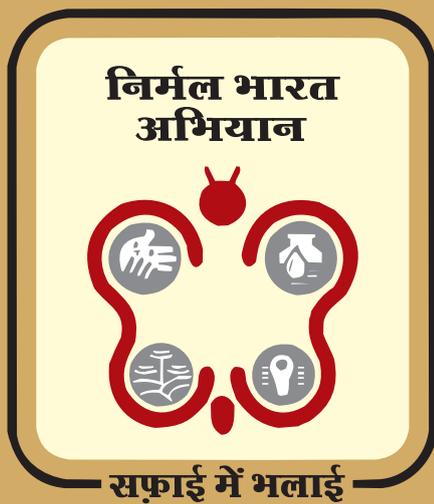




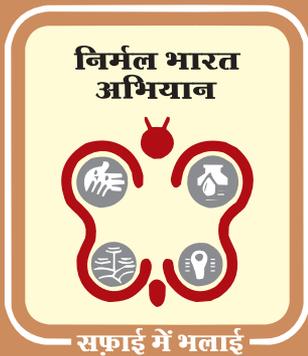
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GOVERNMENT OF INDIA  
MINISTRY OF DRINKING WATER & SANITATION



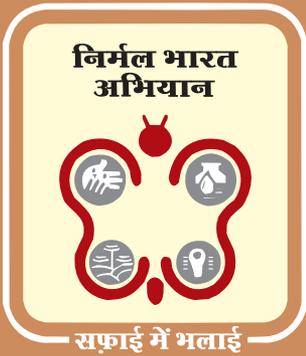
# Guidelines NIRMAL BHARAT ABHIYAN





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# ABBREVIATIONS

- AIP - Annual Implementation Plan  
APL - Above Poverty Line  
ASHA - Accredited Social Health Activist  
BPL - Below Poverty Line  
CBO - Community Based Organisation  
CCDU - Communication and Capacity Development Unit  
CRSP - Central Rural Sanitation Programme  
CSC- Community Sanitary Complex  
CSR - Corporate Social Responsibility  
DWSC - District Water and Sanitation Committee  
DWSM - District Water and Sanitation Mission  
GOI - Government of India  
GP - Gram Panchayat  
GSS - Gram Swachchhata Sabha  
HRD - Human Resource Development  
IAY - Indira Awas Yojana  
ICDS - Integrated Child Development Scheme  
IEC - Information, Education and Communication  
IHHL - Individual Household Latrine  
IPC - Inter Personal Communication  
MLALADS - Members of Legislative Assembly Local Area Development Scheme  
MGNREGS- Mahatma Gandhi National Rural Employment Guarantee Scheme  
MPLADS - Members of Parliament Local Area Development Scheme  
MIS - Management Information System  
NBA - Nirmal Bharat Abhiyan  
NGO - Non Government Organisation  
NGP - Nirmal Gram Puraskar  
NRHM- National Rural Health Mission  
NSSC - National Scheme Sanctioning Committee  
PAC - Plan Approval Committee  
PC - Production Centre  
PHED - Public Health Engineering Department  
PRI- Panchayati Raj Institution  
RSM - Rural Sanitary Mart  
SHG - Self Help Group  
SLWM - Solid and Liquid Waste Management  
SSA - Sarva Shiksha Abhiyan  
SSSC - State Scheme Sanctioning Committee  
SSHE - School Sanitation and Hygiene Education  
SWSM - State Water and Sanitation Mission  
TSC - Total Sanitation Campaign  
VWSC- Village Water and Sanitation Committee  
WSSO - Water and Sanitation Support Organisation



## 1. BACKGROUND

1.1 Individual Health and hygiene is largely dependent on adequate availability of drinking water and proper sanitation. There is, therefore, a direct relationship between water, sanitation and health. Consumption of unsafe drinking water, improper disposal of human excreta, improper environmental sanitation and lack of personal and food hygiene have been major causes of many diseases in developing countries. India is no exception to this. Government started 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.

1.2 The concept of sanitation was expanded to include personal hygiene, home sanitation, safe water, garbage disposal, excreta disposal and waste water disposal. With this broader concept of sanitation, CRSP adopted a “demand driven” approach with the name “Total Sanitation Campaign” (TSC) with effect from 1999. The revised approach emphasized more on Information, Education and Communication (IEC), Human Resource Development, 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. The Programme was implemented with focus on community-led and people centered initiatives. Financial incentives were provided to Below Poverty Line (BPL) households for construction and usage of individual household latrines (IHHL) in recognition of their achievements. Assistance was also extended for construction of school toilet units, anganwadi toilets and Community Sanitary Complexes (CSC) apart from undertaking activities under Solid and Liquid Waste Management (SLWM).

1.3 To give a fillip to the TSC, Government of India also launched the Nirmal Gram Puraskar (NGP) that sought to recognise the achievements and efforts made in ensuring full sanitation coverage. The award gained immense popularity and contributed effectively in bringing about a movement in the community for attaining the Nirmal Status thereby significantly adding to the achievements made for increasing the sanitation coverage in the rural areas of the country.

1.4 Encouraged by the success of NGP, the TSC is being renamed as “**Nirmal Bharat Abhiyan**” (NBA). The objective is 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) envisages covering the entire community for saturated outcomes with a view to create Nirmal Gram Panchayats with following priorities:**

- ♦ Provision of Individual Household Latrine (IHHL) of both Below Poverty Line (BPL) and Identified Above Poverty Line (APL) households within a Gram Panchayat (GP).
- ♦ Gram Panchayats where all habitations have access to water to be taken up. Priority may be given to Gram Panchayats having functional piped water supply,
- ♦ Provision of sanitation facilities in Government Schools and Anganwadis in Government buildings within these GPs
- ♦ Solid and Liquid Waste Management (SLWM) for proposed and existing Nirmal Grams
- ♦ Extensive capacity building of the stake holders like Panchayati Raj Institutions (PRIs), Village Water and Sanitation Committees (VWSCs) and field functionaries for sustainable sanitation.
- ♦ Appropriate convergence with MGNREGS with unskilled man-days and skilled man-days

## 2. OBJECTIVES

2.1 The main objectives of the NBA are as under:

- a) Bring about an improvement in the general quality of life in the rural areas.
- b) Accelerate sanitation coverage in rural areas to achieve the vision of Nirmal Bharat by 2022 with all gram Panchayats in the country attaining Nirmal status.
- c) Motivate communities and Panchayati Raj Institutions promoting sustainable sanitation facilities through awareness creation and health education.
- d) To cover the remaining schools not covered under Sarva Shiksha Abhiyan (SSA) and Anganwadi Centres in the rural areas with proper sanitation facilities and undertake proactive promotion of hygiene education and sanitary habits among students.
- e) Encourage cost effective and appropriate technologies for ecologically safe and sustainable sanitation.
- f) Develop community managed environmental sanitation systems focusing on solid & liquid waste management for overall cleanliness in the rural areas.

## 3. STRATEGY

3.1 The strategy is to transform rural India into 'Nirmal Bharat' by adopting the 'community led' and 'people centered' strategies and community saturation approach. A "demand driven approach" is to be continued with emphasis on awareness creation and demand generation for sanitary facilities in houses, schools and for cleaner environment. Alternate delivery mechanisms would be adopted to meet the community needs. The provision of incentives for individual household latrine units to the poorest of the poor households has been widened to cover the other needy households too so as to attain community outcomes. Availability of water in the Gram Panchayat shall be an important factor for sustaining sanitation facilities created. Rural School Sanitation remains a major component and an entry point for wider acceptance of sanitation by the rural people. Wider technology options are being provided to meet the customer preferences and location- specific needs. Intensive IEC Campaign is the corner stone of the programme involving Panchayati Raj Institutions, Co-operatives, ASHA, Anganwadi workers, Women Groups, Self Help Groups, NGOs etc. A roadmap for engagement of corporate houses is being introduced. More transparent system involving social audit and active people's participation in the implementation process of NBA is being introduced. Convergence with MGNREGS shall also be important to facilitate the rural households with fund availability for creating their own sanitation facilities.

## 4. IMPLEMENTATION

4.1. The Guidelines of NBA and the provisions hereunder are applicable with effect from 01.04.2012. Implementation of NBA is proposed with 'Gram Panchayat' as the base unit. A project proposal that emanates from a District is scrutinized and consolidated by the State Government and transmitted to the Government of India (Ministry of Drinking Water and Sanitation) as a State Plan. NBA is to be implemented in phases with start-up activities. Funds are to be made available for preliminary IEC work. The physical implementation gets oriented towards satisfying the felt-needs, wherein individual households choose from a menu of options for their household latrines. The built-in flexibility in the menu of options gives the poor and the disadvantaged families opportunity for subsequent upgradation depending upon their requirements and financial position. In the "campaign approach", a synergistic interaction between the Government agencies and other stakeholders is essential. To bring



about the desired behavioural changes for relevant sanitary practices, intensive IEC and advocacy, with participation of NGOs/Panchayati Raj Institutions/resource organizations is envisaged.

4.2 NBA will be implemented with a District as the project. The States/UTs are expected to prepare/revise NBA Projects for all the Districts, consolidate at State level as State Plan and submit before the Government of India.

## 5. COMPONENTS OF NBA

The Programme components and activities for NBA implementation are as follows:

### 5.1 Start-Up Activities

5.1.1 The start-up activities include

- a. Conducting of preliminary survey to assess the status of sanitation and hygiene practices
- b. Base line survey
- c. Orientation of key personnel at the District/GP level
- d. Preparation of State Plan.

The cost of Start-up activities will be met from the IEC funds up to Rs. 10 Lakh. Additional fund requirement, if any, shall be met by the State.

### 5.2 IEC Activities

5.2.1 Information, Education and Communication (IEC) are important components of the Programme. These intend to trigger the demand for sanitary facilities in the rural areas for Households, Schools, Anganwadis and Community Sanitary Complexes through behavioural change. The activities carried out under these components should be area specific and should also involve all sections of the rural population. IEC is not a one-time activity. IEC strategy and plan is to be drawn to include creation of demand leading to construction and use in a sustained manner. IEC should be conducted at all tiers i.e Districts, Blocks and Gram Panchayat.



5.2.2 A national communication strategy framework has been developed by Government of India giving emphasis on Inter Personal Communication (IPC) at the grassroots level. The states are to evolve their own strategy using folk media, mass media and also outdoor media like wall painting, hoarding etc. The IEC should also focus on health and hygiene practices and environmental sanitation aspects.

5.2.3 Interpersonal communication and door to door to door contact are recognised as the most significant tools for attaining the programme goals. In order to strengthen communication machinery at the village level with participatory social mobilization, guidelines for engagement of village level motivators (Swachhata Doot / Sanitation Messengers) have been issued separately. As part of this strategy, in addition to Swachhata Doots, field functionaries like



Bharat Nirman Volunteers, ASHA, Anganwadi workers, School Teachers etc can also be engaged at the village level for demand creation and taking up behaviour change communication. The motivator can be given suitable incentive from the funds earmarked for IEC. The incentive will be performance based i.e. in terms of motivating the number of households and schools/ Anganwadis to construct latrines and use them.

5.2.4 Each project district should prepare a detailed IEC plan alongwith the Annual Action Plan with defined strategies to reach all sections of the community. The aim of such a communication plan is to motivate rural people to adopt hygiene behaviour as a way of life and thereby develop and maintain all facilities created under the programme. The Annual IEC Action Plan should be duly approved by the DWSC/DWSM. The Communication and Capacity Development Units (CCDUs) / Water and Sanitation Support Organisations (WSSOs) set up at the state level must support the Districts in developing a good IEC plan and also in implementing it. Observance of Sanitation Day/ Sanitation Week / Sanitation Fortnight should be essential component of the Annual Action Plan.

5.2.5 For effective dissemination of the IEC material, funds may also be provided under this component to Blocks and Gram Panchayats for execution of works. They may take up such activities by engaging local NGOs for interpersonal communication; selecting motivators; executing works like wall paintings, street plays etc. The development of such material executed by the panchayats may be standardized by the District or the CCDU.

5.2.6 The IEC funds should be broadly divided into pre Nirmal and Post- Nirmal phase so as to have funds for sustaining the movement. 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.

5.2.7 Funds available under IEC may be used for imparting hygiene education to the rural communities, general public, as well as children in schools. The IEC plan should include a component for raising awareness among school going children, teachers and PTAs.

5.2.8 IEC funding will be in the ratio of 80:20 between GOI and the State Governments and the total IEC cost including start up grant will be limited to 15% of the total project cost.

### 5.3 Capacity Building

5.3.1 This component is for training of VWSC and PRI members, block and district functionaries and grass root functionaries like ASHA and other health, education and related functionaries, Anganwadi workers etc. SHGs can be trained in trades such as masonry work, brick-making, toilet pan making and plumbing etc as also for awareness raising activities. NGOs/CBOs of repute can be engaged for this activity. State Resource Centres and Regional / District Resource Centres should be identified for conducting such trainings.

5.3.2 Capacity building funding will be in the ratio of 80:20 between GOI and the State Governments and will be limited to 2% of the IEC budget.

### 5.4 Construction of Individual Household Latrines

5.4.1 A duly completed household sanitary latrine shall comprise of a Toilet Unit including a super structure. The programme is aimed to cover all the rural families. Incentive as provided under the scheme may be extended to all Below Poverty Line (BPL) Households and Above Poverty Line Households (APL) restricted to SCs/STs, small and marginal farmers, landless labourers with homestead, physically handicapped and women headed households. The construction of household toilets should be undertaken by the household itself and on completion and use of the toilet; the cash incentive can be given to the household in recognition of its achievement.



5.4.2 The incentive amount to Below Poverty Line (BPL) household/identified APLs for construction of one unit of IHHL shall be Rs.4600.00 (Rs.5100.00 for difficult and hilly areas). The central share out of this shall be Rs.3200.00 (Rs.3700.00 in case of hilly and difficult areas) and State Government share shall be Rs.1400.00. Minimum beneficiary share shall be Rs.900.00 in cash or labour. State Governments are allowed the flexibility to provide higher incentive for a household toilet, of the same or higher unit costs from their own funds. All houses constructed with the central or/and state assistance should invariably have suitable



sanitation facility as an integral part. However, All houses constructed by the beneficiaries under Indira Awas Yojana (IAY) or any other state rural housing scheme which did not have toilets shall also be eligible for the incentive as above for creation of sanitation facilities for the targeted groups under NBA.

5.4.3 APL families not covered by the above incentives will take up construction of the household latrines on their own through motivation. The IEC activities will provide comprehensive coverage to all the families in the GP without exceptions. APL families facing cash crunch may access the revolving fund as outlined in the guidelines.

5.4.4 Construction of bucket latrines is not permitted in the rural areas. The existing bucket 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 house hold latrines.

5.4.5 Ministry of Rural Development notification Number J-11013/01/2011 MGNREGA (Pt. IV) dated 07.06.2012 regarding convergence of TSC with MGNREGS is at Annexure VI of these Guidelines.

## 5.5 Rural Sanitary Marts and Production Centers

5.5.1 The Rural Sanitary Mart is an outlet dealing with the materials, 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 & hygiene accessories required. RSMs should ensure that a variety of pans (ceramic, mosaic, High Density Polyethylene, fiberglass) are available for choice by the beneficiaries. RSM should necessarily have those items, which are required as a part of the sanitation package. It is a commercial venture with a social objective. The main aim of having a RSM is to provide materials, services and guidance needed for constructing different types of latrines and other sanitary facilities for a clean environment. Production Centers are the means to produce cost effective affordable sanitary materials at the local level. They could be independent or part of the RSMs.



5.5.2 The Production Centers/Rural Sanitary Marts could be opened and operated by SHGs / women Organizations/Panchayats/NGOs etc. Support of private entrepreneurs may also be taken for ensuring an effective supply chain.

5.5.3 DWSM/DWSC 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.

5.5.4 Quality standards (where notified by BIS or by MoDWS) for each of the items of purchase should be strictly adhered to.



5.5.5 An interest free loan upto Rs. 3.5 lakh can be given for establishing a RSM/PC out of revolving fund available with the district. In case more RSMs are required, a maximum of upto Rs. 35 Lakh from the Revolving Fund can be utilized for this purpose. Loans from the revolving fund for RSM/PC shall be recovered in 12-18 instalments after one year from the date of receiving the loan.

## 5.6 Provision of Revolving Fund in the District

5.6.1 The revolving fund may be given to Cooperative Societies or Self Help Groups whose creditworthiness is established, for providing cheap finance to their members. Loan from this fund should be recovered in 12-18 installments. NBA projects will have the flexibility to decide the other terms and conditions for sanction of the revolving fund. This revolving fund can be accessed by APL households not covered for incentives under the guidelines. Loan can also be given to the owner of the household where Anganwadi center is located for construction of baby friendly toilet provided the ICDS authorities agree to refund the loan from the rent paid to the house owner. 5% of the District project outlay subject to a sum of up to Rs 50 Lakh, can be used as revolving fund. The revolving fund is shared between Centre and State on an 80:20 basis.

## 5.7 Community Sanitary Complex

5.7.1 Community Sanitary Complex is an integral component of the NBA. These Complexes, comprising an appropriate number of toilet seats, bathing cubicles, washing platforms, Wash basins etc, can be set up in a place in the village acceptable and accessible to all. Ordinarily such complexes should be constructed only when there is lack of space in the village for construction of household toilets and the community owns up the responsibility of their operation and maintenance. The ultimate aim is to ensure construction of maximum IHHLs and construction of community complexes will be restricted to only when IHHLs cannot be



constructed, for whatever reason, and also teach the community of “Hygiene practices”. The maintenance of such complexes is very essential for which Gram Panchayat should own the ultimate responsibility. User families may be asked to contribute a reasonable monthly user charge for cleaning & maintenance. The proposal for putting up CSC will be approved by the National Scheme Sanctioning Committee (NSSC). Such complexes can also be made at public places, markets, etc. where large scale congregation of people takes place. Suitable maintenance guidelines may be adopted by the community to ensure proper maintenance of the complex.

5.7.2 Maximum unit cost prescribed for a community sanitary complex is up to Rs.2 lakh. Sharing pattern amongst Central Government, State Government and the community is 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 Thirteenth Finance Commission or from any other fund of the State duly permitted by it.

## 5.8 Institutional Toilets

5.8.1 Children could be a good channel to influence parents to adopt proper sanitary habits. Children are more receptive to new ideas. Schools/Anganwadis are appropriate institutions for changing the behaviour, mindset and habits of children from open defecation to the use of lavatory through motivation and education.

### School Toilets

5.8.2 Toilets in all types of Government Schools should be constructed. Emphasis should be given to toilets for Girls in Schools. Toilet should provide access opportunity to children with special needs. A toilet unit consists of a toilet and minimum of two urinals. Separate toilet units for girls and boys should be provided in all co-educational schools, which are to be treated as two separate units and each unit is entitled to Central assistance. The number of toilet units to be constructed should be adequate to meet the requirements of the school as per the strength of the students attending the school. State/UT Governments, Parent-Teachers Association and Panchayats are free to contribute from their own resources over and above the prescribed amount.



5.8.3 In addition to creation of hardware in the schools, it is essential that hygiene education is imparted to the children on all aspects of hygiene. For this purpose, at least one teacher in each school must be trained in hygiene education who in turn should train the children through interesting activities and community projects that emphasize hygiene behaviour. The expenditure for this purpose can be met from the IEC fund earmarked for the project. The district and Panchayat implementing agencies should ensure good coordination with Department of Education and Health & other partners in order to fulfill the objective of SSHE i.e. to provide a safe, healthy learning environment to all children.

5.8.4 The Central assistance per unit will be restricted to 70 percent for a unit cost of Rs.35,000/- (Rs.38,500 in case of hilly and difficult areas). Funding for School Sanitation in a NBA Project is provided by the Central and State Government in the ratio of 70:30.

## Anganwadi Toilets



5.8.5 In order to instill the practice of using a toilet in children from very early stage in life, it is essential that Anganwadis are used as a platform of behaviour change for the children as well as the mothers. For this purpose, each Anganwadi should be provided with a baby friendly toilet. Since there are a large number of Anganwadis operating from private premises, following strategy may be adopted :

- (a) In all the Anganwadis, which are in Government buildings, baby friendly toilets should be constructed from the NBA funds provided.
- (b) In those Anganwadis, which are in private buildings, the owner must be asked to construct the toilet as per design, and, he/she may be allowed to charge enhanced rent for the building to recover the cost of construction.
- (c) Alternatively, the toilet may be constructed from revolving fund component under the NBA and, suitable deductions made from the monthly rental paid to the owner to recover the cost over a period of time.

5.8.6 Unit cost of a toilet shall be up to Rs.8,000 (Rs.10,000 in case of hilly and difficult areas) for each Anganwadi in the rural areas. Financial assistance to be given by Government of India will be restricted to Rs.5,600 (Rs.7,000 in case of hilly and difficult areas). Additional expenses can be met by the State Government, Panchayats or funds from Thirteenth Finance Commission, MPLADS, MLALADS, MGNREGS etc.

5.8.7 Construction of Anganwadi toilets is to be prioritised in the 200 High Focused Malnutrition Districts to assist in tackling the issue of malnutrition.

5.8.8 All Government buildings constructed with financial support of the Centre must have appropriate sanitation facilities under the respective schemes as an integral component of the scheme. This is considered essential to achieve the vision of 'NIRMAL BHARAT'.

## 5.9 Solid and Liquid Waste Management

5.9.1 The objective of NBA is to bring about improvement in the general quality of life in rural



areas. Solid and Liquid Waste Management (SLWM) is one of the key components to address this. SLWM is to be taken up in project mode for each Gram Panchayat (GP) with financial assistance capped for a GP on number of household basis to enable all GPs to implement sustainable SLWM projects. Under this component, activities like compost pits, vermin composting, common and individual biogas plants, low cost drainage, soakage channels/ pits, reuse of waste water and system for collection, segregation and disposal of household garbage etc can be taken up. Projects should be approved by

State Scheme Sanctioning Committee (SSSC). Assistance of professional agencies/NGOs may be



sought to develop /test/ implement such projects. Projects will be prioritized in identified GPs targeted for Nirmal status and those that have already been awarded Nirmal Gram Puraskar (NGP). SLWM can also be implemented by dovetailing funds from other Rural Development programmes like MNREGS etc.

5.9.2 The total assistance under NBA 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 upto 150 households, Rs. 12 lakh upto 300 households, Rs. 15 lakh upto 500 households and Rs. 20 lakh for GPs having more than 500 households. Funding for SLWM project under NBA is provided by the Central and State Government in the ratio of 70:30. Any additional cost requirement is to be met with funds from the State/GP.

## 5.10 Maintenance of facilities created under NBA

5.10.1 It is essential to train the community, particularly all the members of the family in the proper upkeep and maintenance of the sanitation facilities created. The IEC activities should include awareness of the community on how to maintain the sanitation facilities. The maintenance expenses of individual household sanitary latrines should be met by the households. The maintenance cost of community sanitary complexes may be met by the PRIs through appropriate mechanisms like user charges etc. The concerned Departments should provide adequate funds for maintenance of school/Anganwadi toilets. Any other appropriate funds made available by the state government to the PRIs/districts may be utilized.

## 5.11 Administrative Charges

5.11.1 The Administrative Charges include money spent on, salary of temporary staff deployed for the execution of NBA, support services, fuel charges, vehicle hire charges, stationery, monitoring & evaluation of NBA project. However, in no case shall additional posts be created nor separate vehicle purchased for the implementation of the NBA project. But in order to implement the projects professionally, specialists/ consultants from the fields of Communication, Human Resource Development, School sanitation & Hygiene education and Monitoring may be hired for the project period. The fees of the consultants may be paid from the administrative charges. Purchase of one computer with accessories is permissible per District.

5.11.2 Administrative component to be specified under the project may be up to 4 per cent of the total district project outlay.

5.11.3 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 NBA projects)
- d. Purchase of office equipments
- e. Expenses for any political party and religious organisations
- f. Expenses for gifts and donations
- g. Purchase of cell phones
- h. Transfer of funds to the State level institutions for meeting administrative expenses.

## 6. NATIONAL SCHEME SANCTIONING COMMITTEE

6.1. National Scheme Sanctioning Committee (NSSC) will be constituted under NBA for specific



periods to approve or revise the project proposals for the districts, as received from the State/UT Governments duly approved by the State Scheme Sanctioning Committee (SSCC). There will be seven members in the NSSC. 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. Four non-official experts in the field of rural sanitation nominated by the Ministry
4. Secretary in-charge of rural sanitation of the State whose proposal is to be considered
5. Joint Secretary in-charge of Department of Elementary Education, Ministry of Human Resource Development
6. Joint Secretary in-charge of National Rural Health Mission
7. Joint Secretary in-charge of Women and Child Development
8. Joint Secretary in-charge of Sanitation, Ministry of Drinking Water And Sanitation - Member Secretary

## 7. IMPLEMENTING AGENCIES

7.1. Implementation of NBA requires large scale social mobilization and monitoring. A 4-Tier implementation mechanism should be set up at the State/District/Block/Village level as given below:

### 7.2 State Water and Sanitation Mission (SWSM)

7.2.1 As a step towards achieving coordination and convergence among State Departments dealing with Rural Drinking Water Supply, Rural Sanitation, School Education, Health, Women and Child Development, Water Resources, Agriculture etc. a **State Water and Sanitation Mission** 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.

7.2.2 The SWSM shall be headed by the Chief Secretary/Additional Chief Secretary/Development Commissioner with Secretaries in-charge of PHED, Rural Development (RD), Panchayati Raj (PR), Finance, Health, Education, Women and Child Development, Water Resources, Agriculture, Information and Public Relations (I&PR) as members. Principal Secretary / Secretary of the Department looking after Sanitation/Drinking Water in the State shall be the nodal Secretary responsible for all the SWSM 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.

7.2.3 SWSM shall supervise implementation of NBA in the project districts in the State, ensure convergence mechanism between line departments, prepare the Annual Implementation Plan for each district as per the progress made by districts, receive Grant-in-aid from Centre earmarked for specific project districts and disburse to the DWSSMs. All projects shall have to be approved by **State Scheme Sanctioning Committee (SSSC)**. The mission shall meet at least once in six months

### 7.3 Water and Sanitation Support Organization (WSSO)

7.3.1 All States should set up Water and Sanitation Support Organization (WSSO) under State Water and Sanitation Mission (SWSM) to deal with IEC, HRD and Monitoring and Evaluation at the State level. Communication strategy for the State should be planned by the WSSO and should be regularly monitored for effective implementation. In states where Water supply & Sanitation are handled by two different departments, a CCDU (Sanitation) should be associated with the



WSSO. Consultants from the fields of Communication, Human Resource Development, and Monitoring and Evaluation, School sanitation & hygiene education may be engaged.

## 7.4 District Water and Sanitation Mission (DWSM)

7.4.1 A District Water and Sanitation Mission (DWSM) shall be constituted at the district level. The line departments will play the catalytic role in implementation. The composition of DWSM should be as follows:

- ♦ DWSM shall be headed by Chairman of Zilla Parishad/ District Collector/Deputy Commissioner.
- ♦ The members would be –all MPs/MLAs and MLCs of the District and Chairperson of the Standing Committees of the Zilla Parishad or their representatives; District Officers of Education, Health, Panchayati Raj, Social Welfare, ICDS, PHED, Water Resources, Agriculture, Information and Public Relation;
- ♦ NGOs shall be identified by the DWSM and co-opted into the Mission as members.
- ♦ The Executive Engineer of PHED/District Engineer of the ZP/ any other officer approved by SWSM shall be the Member Secretary.
- ♦ The Mission shall meet at least quarterly.

DWSM should plan and implement the district NBA project with appropriate IEC strategies and convergence mechanisms with other line departments. DWSM should also ensure fund flow to the GPs for attaining the objectives of NBA. It should review and monitor programme implementation so that the objectives of the district annual action plans may be achieved leading to sustainable Nirmal Gram Panchayats.

## 7.5 Block Resource Centres (BRC)

7.5.1 The role of Block Panchayats in rural drinking water and sanitation sector needs to be strengthened to provide guidance, support and monitor water supply and sanitation status in GPs. Block Panchayat is the ideal unit for providing support to a GP or a group of Gram Panchayats. To achieve this objective, Block Resource Centres (BRC) shall be set up as per Guidelines issued by the Ministry of Drinking Water and Sanitation vide letter no. W.11042/72/2009 dated 24<sup>th</sup> August 2010. BRC shall provide continuous support to the programmes of the Ministry in terms of awareness generation, motivation, mobilisation, training and handholding of village communities, GPs and VWSCs. The BRC will serve as an extended delivery arm of the DWSM in terms of software support and act as a link between DWSM and the GPs/VWSCs/ village communities.

7.5.2 Capacity building and generating awareness among the village community on various aspects of sanitation will be taken up by BRCs. It will also help the GPs in achieving Nirmal Gram status, sustaining and building on it with effective and low cost management of solid and liquid wastes.

## 7.6 Village Water and Sanitation Committee

7.6.1 A Village Water and Sanitation Committee shall be constituted as a sub-committee of Gram Panchayat in Gram Panchayats, 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 Nirmal Grams.



## 8. ROLE OF PANCHAYATI RAJ INSTITUTIONS

8.1 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 NBA. The programme will be implemented by the Panchayati Raj Institutions at all levels. They will carry out the social mobilization for the construction of toilets and also maintain the clean environment by way of safe disposal of wastes. PRIs may engage suitable NGOs for inter-personal IEC and training. Community Complexes constructed under the NBA will be maintained by the Panchayats/Voluntary Organizations/Charitable Trusts. Panchayats can also contribute from their own resources for School Sanitation over and above the prescribed amount. They will act as the custodian of the assets such as the Community Complexes, environmental components, drainage etc. constructed under NBA. GPs can also open and operate the Production Centers/Rural Sanitary Marts.

8.2 GPs can play a key role in promoting regular use, maintenance and up gradation of toilets and inter-personal communication for hygiene education. Panchayats and NGOs who are in the frontline of implementation have a key role in ensuring that safety standards are being met with all components of NBA e.g. the distance between water source and a latrine – adhering to the minimum distance for IHHL, school and Anganwadi toilets 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 and tidy and free of human and animal excreta. GPs must also play a role in the monitoring of the NBA programme. Both Block level and District level PRIs must regularly monitor the implementation along with the concerned officials.

## 9. ROLE OF NON GOVERNMENTAL ORGANISATIONS

9.1 NGOs have a catalytic role in the implementation of NBA in the rural areas. They have to be actively involved in IEC activities and capacity building leading to demand generation, construction and use of sanitation facilities. NGOs may also be engaged to conduct base line surveys and PRAs specifically to determine key behaviours and perceptions regarding sanitation, hygiene, water use, O&M, etc NGOs can also open and operate Production Centers and Rural Sanitary Marts. Selection of NGOs should be done following a transparent criterion.

## 10. ROLE OF CORPORATE BODIES

10.1 Corporate houses should be encouraged to participate in the NBA as an essential part of the Corporate Social Responsibility (CSR). The realization that a healthy workforce can contribute towards better services for their output is already in their understanding. The issues of 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, NBA can serve as a platform for the Corporate Houses to help address their CSR.

10.2 The corporate houses may take up the issues of sanitation through IEC, HRD or through direct targeted interventions such as:

- a) Provide suitable rural friendly sanitation facilities in workplace for use and demonstration to their employees from rural areas
- b) Establish demonstration fields / rural sanitation parks for exposure of various technology options available under NBA to the rural populace.
- c) Organise exhibitions / sanitation melas.
- d) Provide necessary exposure to the children about proper sanitation and hygiene



- e) Provide additional incentive to rural households in form of suitable sanitary materials or create sanitation facilities for the rural populace through appropriate local organisation
- f) Provide sanitary complexes in market or other public places / around work places or alike
- g) Provide assistance in effective solid and liquid waste management technology and resources
- h) Provide trained manpower for maintenance of sanitation facilities and/or SLWM establishments
- i) Undertake tailored research work for suitable local technology options for sanitation services in the rural areas
- j) Propagate the programme through mass media
- k) Adopt habitations/villages/GPs to make them Nirmal Grams

## 11. PROJECT FUNDING

### 11.1 NBA Component-Wise earmarking and funding pattern

S.N.	Component	Amount earmarked as percent of the NBA project outlay	Contribution Share		
			GOI	State	Beneficiary Household/Community
a.	IEC Start Up Activity and Capacity Building	Up to 15%	80%	20%	0%
b.	Revolving Fund	Up to 5%	80%	20%	0%
c.	(i) Individual Household Latrines	Actual amount required for full coverage	Rs.3200 (3700 in case of Hilly and difficult areas)	Rs.1400	Rs.900
	(ii) Community Sanitary Complexes	Actual amount required for full coverage	60%	30%	10%
d.	Institutional Toilets including School and Anganwadi Sanitation	Actual amount required for full coverage	70%	30%	0%
f.	Administrative charges	Up to 4%	80%	20%	0%
g.	Solid/Liquid Waste Management (Capital Cost)	Actual amount as per SLWM project cost within limits permitted	70%	30%	0%

## 12. ANNUAL IMPLEMENTATION PLAN (AIP)

12.1 The main objective of the Annual Implementation Plan (AIP) is to provide a definite direction to the programme for creation of Nirmal Grams. 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. The AIP should include:

- a) Report on the progress made by the State in achieving the objectives of NBA during the previous year against the AIP objectives
- b) Reasons and comments for variation, if any;
- c) A plan of activities with physical and financial estimates under each component of the NBA for the proposed financial year.



- d) Monthly Quarterly projected targets
- e) Write ups of success stories, best practices, innovations introduced, new technologies used

12.2 AIP should be prepared by identification of Gram Panchayats to be saturated for attaining the project objectives. These GP plans should be consolidated into Block Implementation Plans and further into District Implementation Plan. The State Water and Sanitation Mission will suitably consolidate the District Implementation Plans as the State Implementation Plan.

12.3 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) of MoDWS for finalization.

12.4 The proposed AIPs shall be discussed in the PAC and finalized with or without modifications. The finalized AIP shall be prepared by the States based on financial allocation of funds forwarded to the Central Govt. within a fortnight of the discussions in PAC and also uploaded in the website through online monitoring system. The recommendation of PAC for a financial year shall be valid for that financial year only.

12.5 AIP should be prepared following the saturation approach highlighting comprehensive sanitation and water coverage on the basis of identification of Gram Panchayats that can be made Nirmal during the year/in the coming years. 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 "Nirmal". The AIP budgeting should follow the cost norms of NBA and should be compiled to project the financial demand of Central Share during the year.

## 13. RELEASE OF FUNDS

### 13.1 Release from Centre to State level implementing body

13.1.1 The funds under NBA will be released to the State Water and Sanitation Missions. The SWSM will operate a single Savings bank account in any Nationalized Bank or a bank authorized by the State Government through which State Government funds are operated for all transactions relating to NBA including Central share, State share, beneficiary share or any other receipt. The details of the NBA bank account has to be communicated to MoDWS along with the name of the bank, IFSC Code, MICR, Account No. and Account holder Name etc. and should not be changed during the implementation of the project without prior permission of the MoDWS. The funds released under the programme shall be through **Central Plan Scheme Monitoring System (CPSMS)** maintained by Government of India.

13.1.2 On the basis of approved demand of States as decided in the AIP meeting and the availability of funds, allocation to all the States will be worked out for release of funds to respective SWSMs in two installments. In all cases of the states where the second installment has been released unconditionally during the preceding year, they will be eligible for release of the first installment during the financial year. Other States will be eligible for only 25% of the allocation. All conditionalities of the previous release will have to be fulfilled for release of balance amount / 2<sup>nd</sup> installment.

13.1.3 The second installment of funds, as approved in AIP, will be released on fulfillment of the following conditions:

- ♦ Receipt of a specific proposal from the State/UT with recommendation of the State Government with district wise physical and financial progress reports;
- ♦ Annual Performance Report as per Annexure-I



- ♦ Statement of Achievements of monthly/quarterly progress against the targets specified in the AIP;
- ♦ Commitment of the state to release of proportionate State share into the SWSM account within fifteen days of release of central share;
- ♦ Utilization of 60% of the available funds with the SWSM i.e. opening balance, funds released as first installment of Grant-in-aid under NBA during the year and interest earned thereon, Central Share and State Share separately;
- ♦ Submission of Audited Statements of Accounts of the preceding financial year as per Annexure-II;
- ♦ Submission of Utilization Certificates for Central and State Share separately in the prescribed Performa as per Annexure-III duly signed by the Member Secretary of SWSM, for the preceding financial year;
- ♦ Any other condition(s) that may be specified by the Central government from time to time.

13.1.4 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 in excess of 10% of the previous year's release to the State.

13.1.5 Any further release of funds during the financial year will be based on the progress in expenditure, available funds and production of necessary documents as may be required by the MoDWS.

## 13.2 Release from State level to District level

13.2.1 The States/UTs shall release the central grants received along with the matching State share to the District implementing agency/agencies within 15 days of receipt of Central grants.

13.2.2 The District Implementing Agency shall be required to transfer the funds for the works to the Gram Panchayat (VWSC in States where GPs do not exist) within 15 days of receipt of funds.

## 14. INTEREST EARNED ON FUNDS RELEASED UNDER NBA

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

## 15. INSPECTIONS

15.1 Monitoring through regular field inspections by officers from the State level and the district levels is essential for the effective implementation of the Programme. The inspection should be to check and ensure that construction work has been done in accordance with the norms, the community has been involved in construction, and the latrines are not polluting the water sources and also to check whether there has been correct selection of beneficiaries and proper use of latrines after construction. Such inspection should ensure that the sanitary latrines are not used for any other purpose. Inspection should be done to check whether NBA information of a Gram Panchayat has been displayed transparently in Gram Panchayat (by wall painting or special hoarding). Project authorities should constitute a team of experts in the District who should review the implementation in different blocks frequently. Such review should be held at least once a quarter. Similarly the State Government should conduct review of



projects in each district periodically and for this purpose they should constitute a panel of experts available in the state. In addition, Government of India will send its review missions to the states periodically to assess the quality of implementation.

## 16. STATE REVIEW MISSION

16.1 Since scaling up of NBA has taken up considerably, it is essential that Review Mission arrangements at State Government level are made mandatory. State Review mission shall be headed by Joint secretary level officer of the State Government with at least three members from other linked departments like RD, WCD, Panchayati Raj and HRD deptt. and independent representatives from reputed organizations in the field of sanitation. State are also advised to set-up a panel of experts at State level for conducting reviews into various NBA districts periodically. Based on the reports of the State Review Missions, if the State govt. is satisfied for release of subsequent installment, the proposal for release of fund should be sent to Government of India. While submitting proposal for release of fund, a copy of the review mission report shall also be enclosed by the State Government.

## 17. SOCIAL AUDIT

### 17.1 Role

17.1.1 The website of the Ministry, ([www.ddws.nic.in](http://www.ddws.nic.in), [tsc.nic.in](http://tsc.nic.in)) hosts comprehensive information and data in connection with the formulation, implementation and outcome of the programme. This data together with any other relevant data on social indicators can be utilized for social audit.

17.1.2. NBA will provide a central role to 'social audits' as a means of continuous and comprehensive public vigilance. The Gram Panchayats will have a 'Swachchhata Diwas' (Sanitation Day) every month and will also convene periodic assemblies of 'Gram Swachchhata Sabha' (Village Sanitation Assembly). This will be used as means to strengthen the elements of transparency, participation, consultation and consent, accountability and grievance redressal in the implementation of NBA.

### 17.2 Sanitation Day

17.2.1 Each Gram Panchayat will earmark a particular day of the Month to be named as 'Swachchhata Diwas' (Sanitation Day) with the following objectives:

- ♦ Recording the achievements made in number of toilets constructed in previous month, works undertaken under IEC, HRD and SLWM etc.
- ♦ Identifying individuals demanding sanitation facility and , identifying other works that could be undertaken under NBA
- ♦ Projecting Monthly Plan for construction of IHHLs, School and Anganwadi toilets and sanitary complexes in the GP, IEC events, trainings undertaken etc.
- ♦ Identifying slip back cases under IHHL and working out strategy for addressing the issue of making the community open defecation free as a whole.
- ♦ Verifying expenditure made on various activities in the previous month including disbursement of incentive amount, construction and other works and activities.
- ♦ Carrying out any other work as may be identified under the programme

17.2.2 The proceedings of 'Swachchhata Diwas' will be held in an open public space, with ample provision for proactive disclosure of information and thoughts.



17.2.3 The process will be part of public vigilance of the project by way of verification of the documents pertaining to physical and financial activities undertaken, previous Month Plan documents and the progresses made there under.

17.2.4 There may be various reasons for deviations from achievements of objectives under Monthly Plan. An indicative list of reasons categorising positive and negative factors along with the possible means of preventing or addressing them will also be worked out in the consultations of the Swachchhata Diwas.

## 17.3 GRAM SWACHCHHATA SABHA (GSS)

17.3.1 A Gram Sabha will be convened by the Secretary, Gram Panchayat as 'Gram Swach-chhata Sabha' (GSS) every six months to undertake mandatory review of progress made under various Monthly Plans and proceedings of Swachchhata Diwas that were held in the GP. At these fora, information as prepared by GP Secretary, will be read out by a responsible person from the Community preferably a school teacher / ex-serviceman and displayed publicly, and people will be given opportunity to question officials, seek and obtain information, verify financial expenditure, examine the list of beneficiaries, discuss the priorities reflected in choices made, and critically evaluate the quality of work as well as the services of the programme officials.

17.3.2 The Gram Panchayat will ensure that the following preparatory works are undertaken before the date of GSS.

- i) The date, time, venue, agenda of the GSS must be widely publicized so as to ensure maximum participation. Advance notice of the date of the GSS preferably with a specified annual schedule should be displayed conspicuously at public places in the village and Gram Sabha Bhawan.
- ii) Use both traditional modes of publicity (such as informing people through the beating of drums); modern means of communication (such as announcements through moving loud speakers or public address system) may be undertaken.
- iii) Conduct these audits in a campaign mode so that the entire administration gears up to meet the institutional requirements including preparation of necessary Documents.
- iv) Summaries of the available information should be prepared in advance, so as to make it more intelligible. These summaries should be made available to the public in advance, and also read out aloud during GSS.
- v) All the relevant documents, including complete files of the works undertaken or copies of them, should be made available for inspection at the Gram Panchayat office at least 15 days in advance of the GSS. There should be free and easy access to these documents for all residents of the Gram Panchayat during this period, and no fees should be charged for inspection. During this period, copies of the documents should be provided at cost price, on demand, within one week of the request being made.
- vi) The original documents should be available on the day of the GSS, so that any information can be cross-checked.

17.3.3 The proceedings of the GSS should be conducted in the following manner:

1. Proceedings should be conducted in a transparent manner, where the poorest and most marginalized can participate and speak out in confidence and without fear. Care has to be taken that the Sabha is not manipulated by vested interests. The timing of the GSS must be



such that it is convenient for people of all groups particularly women and marginalized communities to attend. The GSS must select an individual to chair its meetings and a secretary who is NOT part of the Panchayat or any other Implementing Agency say a serving or retired school teacher / Ex service man / representative of an NGO/CBO, social activist etc. The meeting must NOT be chaired by the Panchayat President or the Ward Panchayat.

2. The person responsible for presenting the information should not be a person involved in implementing the work. The vigilance committee members or a schoolteacher or ex serviceman for instance, could be considered for the purpose of reading aloud the information as per the required format.
3. All officials responsible for implementation must be required to be present at the GSS to answer queries from members of the Gram Swachhta Sabha.
4. Decisions and resolutions must be made by vote, but dissenting opinions must be recorded.
5. Minutes must be recorded, by a person identified by Secretary of GP from outside the Implementing Agencies, and the minutes register must be signed by all participants at the beginning and at the conclusion of the meeting (after the minutes have been written).
6. The mandatory agenda (given below) must be gone through, including the transparency checklist.
7. Objections, if any, must be recorded as per the prescribed format.
8. The 'action taken report' relating to the previous GSS must be read out at the beginning of each GSS.
9. The reports of these GSS, and the minutes should be submitted to the DWSM/District Collector within a period of one month for necessary action.
10. The DWSM/District Collector is responsible for ensuring that the Social Audit is convened timely as per schedule.
11. The District Coordinator will regularly review that Social Audits are being conducted.

17.3.4 The Mandatory Agenda should include the following questions/issues:

- ♦ Whether the objectives defined in the project cover the entire GP including every household
- ♦ Whether the Month Plans for Sanitation were prepared in a transparent manner
- ♦ Whether the identified beneficiary received the incentive amount on construction and use of IHHL
- ♦ Was the list of identified beneficiaries read out for verification at the Gram Sabha?
- ♦ Efforts for coverage of remaining households including APLs for provision of sanitation facilities?
- ♦ Plan of action to attain open defecation free / Nirmal Status

## 18. REVISION IN PROJECT

18.1. It is expected that after conducting the Baseline survey, the exact requirement for different category of hardware may undergo change which will necessitate revision in the project. In addition, revision will be required due to change in the funding norms. Each district requiring revision in NBA project should prepare a revised project proposal. The project proposal should include Base Line Survey Report, latest Census data available in respect of the



Districts and any other survey that is referred to in support of revision of the project proposal. Any deviation from the Census data should be explicitly explained in the project proposal.

18.2 The revision in any project should be attempted on the basis of GP wise data including number of habitations / villages in the GP, population and number of households in each habitation with respect to identified categories under NBA, Coverage of Households/ institutions with toilet, number of schools, anganwadis and balance numbers in each category, note on general economy of the GP, general social composition organizations of *haats*, *melas* and other gatherings and events etc.

18.3 The proposal should emanate from Gram Panchayat, compiled at Block level, and then at District level by the DWSM/DWSC as applicable. The DWSM/DWSC will forward the proposal to the SWSM. The SWSM will get the matter placed before the State Government in the concerned Ministry.

18.4 The concerned Ministry attending to the subject matter of rural sanitation in each State will get a State Scheme Sanctioning Committee (SSSC) constituted with the following as members of the Committee with a Secretary level officer of the concerned Department as Chairman, and Members of the level of Deputy Secretary rank officers/State Coordinators looking after Drinking Water Supply, School Education, Women and child development, Community Health (National Rural Health Mission), Poverty Alleviation / Employment Programmes (MGNREGS), any other national flagship programme. The state may decide to co-opt members of repute in the field of sanitation.

18.5 The proposal for revision of NBA projects will be put up before the SSSC by the concerned department. On its approval by the SSSC, the proposal along with minutes of the meeting of the SSSC and other relevant documents/reports such as Census/Survey Reports will be forwarded to the Ministry of Drinking Water and Sanitation, Government of India by the concerned Department of the State.

18.6 The Ministry of Drinking Water and Sanitation will carry out suitable scrutiny of the project proposal and place the same before the National Scheme Sanctioning Committee for its ratification. The project shall stand revised as per the minutes of the meeting of the NSSC considering the proposal.

## 19. REPORTS

19.1. The Ministry of Drinking Water and Sanitation has developed an online monitoring system for NBA. All NBA project districts are to submit the physical and financial progress reports through this on line software for which user-ids and passwords are generated and communicated by MoDWS-NIC cell. Progress reports in hard copy are discouraged. However, an Annual Performance Report is to be submitted to MoDWS, as given in Annexure-I.

19.2. Monitoring of the NBA project should be carried out at all levels. Block PRI and Block level officials must review progress in each Gram Panchayat. The CEO of the District Panchayat / Secretary of the DWSC must review the progress of the project with Block Officials on a monthly basis. Similarly, Secretary in-charge of rural sanitation in the State must review progress with the District Officials on a quarterly basis.

## 20. EVALUATION

20.1. The States/UTs should conduct periodical Evaluation Studies on the implementation of the NBA. Evaluation studies may be got conducted by the reputed Institutions and Organizations. 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 and also in the Concurrent Evaluation conducted by or on behalf of the Government of India. The cost of such studies can be charged to the Administrative charges component of the NBA.

20.2. For a group of NBA Projects in State(s), implementation progress review/study may also be undertaken/organized by the Government of India. A multi agency team of officers / professionals will be constituted to undertake the review with specific terms of reference.

## 21. RESEARCH

21.1 Research Institutes, organizations and NGOs with proven track record in the areas of Sanitation and National / State level institutions involved in the research/studies related to the issue of Health, Hygiene, Water Supply and Sanitation should be involved to study the present technology of 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, appropriate technology to suit varying soil conditions, high water table situations, floods, water scarcity conditions, coastal areas will be a priority. 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. On submission of a self contained proposal by the State Government also, the NSSC may sanction the Research projects and the fund will be provided by the Government of India from the R & D fund specifically earmarked for the purpose.

## 22. ANNUAL AUDIT

22.1 The SWSM 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 submit the audited statement of accounts to the Ministry .

## 23. PROJECT COMPLETION

23.1. When a Project gets completed fully in a District, the Implementing Agency at the District level shall submit a Completion Report along with the audited statements of accounts and Utilization Certificate through the State Government to the Ministry of Drinking Water and Sanitation, Government of India.

23.2. Acceptance or otherwise of the Completion Report will be informed to the State Government and the District Implementing Agency by the Government of India. The time taken in completion of the NBA Project in the Project Districts shall obviously depend on the effective implementation of the campaign. All efforts should, however, be made to complete the projects in a time bound manner. Post Project evaluations, at random, will be taken up by the Government of India. The States may also take initiative for conducting such evaluations, and seek GOI assistance, for the purpose.



## ANNEXURES

- Annexure - I. Annual Performance Report
- Annexure - II. Consolidated Audit Report for NBA
- Annexure - III. Utilization Certificate
- Annexure - IV. Check list for submitting proposals for release of funds
- Annexure - V. Information required to be collected from the Gram Panchayats (GPs) in the Base Line Survey
- Annexure - VI. Government of India Orders and Notifications
- Annexure - VII. Government of India Publications for reference



**NIRMAL BHARAT ABHIYAN  
ANNUAL PERFORMANCE REPORT**

Report ending 31<sup>st</sup> March 20\_\_

State/UT: \_\_\_\_\_

**A. Physical Performance (District wise position enclosed):**

Components	Project Aim	Cumulative Performance	Percentage Achievement
Individual Household Latrines - BPL			
Individual Household Latrines - APL			
Sanitary complex			
Toilets for schools			
Toilets for Balwadi/Anganwadi			
Rural Sanitary Mart			
Production Centers			

**B. Special Provisions (District wise position enclosed):**

Category	Project Aim	Cumulative Performance	Percentage Achievement
Household latrines for SCs			
Household Latrines for STs			
Household Latrines for Physically Handicapped			

**C. Financial Performance (District wise position enclosed):**

	Item	Amount (Lakh Rupees)
1	<b>Receipts</b>	
a	Opening Balance as on first day of the year	
b	Central Releases during the year	
c	State Releases during the year	
d	Household / Panchayat contribution during the year	
e	Interest accrued during the year	
f	Total availability of funds (a + b + c + d + e)	



2	<b>Expenditure</b>	
a	From Central Share	
b	From State Share	
c	From Interest / Household / Panchayat contribution	
d	Total Expenditure (a + b + c)	
e	Percentage of expenditure to total availability of funds	

Signature of State Secretary

Name:

Office seal

[Note: document to be signed on each page]



ANNEXURE - II

**AUDIT REPORT**  
**(Consolidated Audit Report for NBA)**

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 'Annexure'

(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 Water and Sanitation Mission  
Address

We have audited the attached 'Balance Sheet' of State Water and Sanitation Mission ('the Grantee') "Account – Nirmal Bharat Abhiyan (NBA)" as on 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 it 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 - Nirmal Bharat Abhiyan (NBA)" 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\*.



- v. 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:**



**Audit Report for the year 201\*-1\***  
**State Water and Sanitation Mission \_\_\_\_\_**

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

**Name of the scheme- Nirmal Bharat Abhiyan (NBA)**

(₹ in lakh)

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

**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 Water and Sanitation Mission** \_\_\_\_\_

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

**Name of the scheme- Nirmal Bharat Abhiyan (NBA)**

(₹ in lakh)

Expenditure	Amount	Income	Amount
1. Expenditure incurred for the purpose of approved work undertaken under Nirmal Bharat Abhiyan (NBA): <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               <ul style="list-style-type: none"> <li>i. SLWM</li> <li>ii. IEC etc.</li> </ul> </li> </ul>		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. Audit Fees		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. 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>		3. Refund of unutilized grants by the Implementing Agencies	
4. Miscellaneous Expenses etc.		4. Miscellaneous Receipts	
5. Excess of Income over Expenditure carried over to Balance Sheet.		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. & Year \_\_\_\_\_  
Contact No. \_\_\_\_\_  
E-mail ID: \_\_\_\_\_



**Audit Report for the year 201\*-1\***  
**State Water and Sanitation Mission \_\_\_\_\_**  
**Balance Sheet as on 31st March, 201\***

Name of the scheme - Nirmal Bharat Abhiyan (NBA)

(₹ in lakh)

CAPITAL FUND AND LIABILITIES	Previous Year Amount	Current Year Amount
<b><u>Accumulated Fund</u></b>		
Opening Balance		
Add/Deduct		
Balance Transferred From Income & Expenditure Account		
<b><u>Current Liabilities</u></b>		
(i) Outstanding Expenses/Payables		
(ii) Any other Liability		
<b>Total</b>		
<b>ASSETS</b>		
<b><u>Fixed Assets</u></b>		
(i) Vehicles		
(ii) Furniture & fixtures		
(iii) Office Equipment		
(iv) Computers & Peripherals		
(v) Others etc.		
<b><u>Current Assets &amp; advances</u></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 Nirmal Bharat Abhiyan (NBA) 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



**Nirmal Bharat Abhiyan (NBA)  
YEAR 201\*-1\***

**AUDITOR'S OBSERVATIONS**

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	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. & Year  
 Contact No.  
 E-mail ID



## Utilization Certificate

State Water and Sanitation Mission (Name of State)

**NIRMAL BHARAT ABHIYAN**

(Central Share / State Share)

Reference No. :

Date:

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

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

Components	Performance/Number of Units constructed
Individual Household Latrines - BPL	
Individual Household Latrines - APL	
Sanitary complex	
Schools Toilet Units	
Anganwadi Toilets	
Rural Sanitary Mart	
Production Centres	

Contd....



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 SWSM
2. Audited Statement of Accounts of DWSMs
3. Previous Utilisation Certificates
4. Physical Verification Reports
5. Review Mission Reports
6. *Any other document/check*

Countersigned by Member Secretary (SWSM)

Signature .....

Name .....

Designation .....  
(Chairman SWSM)

Date .....

*(affix official seal)*



## NIRMAL BHARAT ABHIYAN (NBA)

## CHECKLIST for submitting proposal for Release of funds under NBA

S.No.	Documents	Whether enclosed/fulfilled (Please tick)	
1.	Utilization Certificates in original for previous year separately for	Yes	No
	a) Central funds		
	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	Yes	No
	a) Grants		
	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



### NIRMAL BHARAT ABHIYAN (NBA)

#### Information required to be collected from the Gram Panchayats (GPs) in the Base Line Survey for the proposed NBA Project

1. Brief description of GP including general outlook, physical facilities, general economic status and occupation ,availability of water, status of NGOs, and other support organisations , Self Help Groups ,health and education personnel and infrastructure etc.
2. Total number of Households (HHs) in GP
  - (a) BPL
  - (b) APL
    - (i) SCs/STs
    - (ii) Small and marginal farmers
    - (iii) Landless labourers with homestead
    - (iv) Physically handicapped
    - (v) Women headed households
    - (vi) Others
3. No. of HHs having toilets in each of the above category
  - (a) No. of HHs having functional toilets
  - (b) No. of HHs having defunct toilets
  - (c) No. of HHs NOT having toilets in each of the above category
4. No. of Government / Government aided Schools in the GP
  - (a) No. of Schools having adequate toilets
  - (b) No. of Schools not having adequate toilets
  - (c) Number of School toilet units required to be constructed in each of schools
5. No. of Anganwadi Centres in the GP
  - (a) No. of Anganwadi Centres in Government Building with toilets
  - (b) No. of Anganwadi Centres in private/rented Building
  - (c) Number of Anganwadi toilets required to be constructed in Anganwadi Centres in Government Building
6. Provision/availability of water supply for toilets
7. Availability of water sources in the GP
  - (a) Open Well
  - (b) Handpump
  - (c) Stand post
  - (a) HH connection
  - (b) Other sources
8. Availability and Status of Solid and Liquid Waste Management facilities
9. (Descriptive)

## Annexure-VI

## Government of India Orders and Notifications



Sl. No	Reference
1.	Renaming TSC to NBA vide letter no.W -11013/5/2012-CRSP dated 13.06.2012
2.	Notification issued by Ministry of Rural Development regarding convergence of MNREGS with TSC vide letter no. J.11017/41/2011-MGNREGA(Pt. VI) dated 07.06.2012
3.	Convergence with NRHM for incentivizing ASHAs Jt. D.O.No.W. 11042/7/2007-CRSP-Part dated 18.05.2012
4.	Convergence with IAY vide letter no. J -11012/2/2006-RH dated 18.05.2011
5.	Convergence with WCD for Anganwadi Workers vide letter no. W-11042/4/04-CRSP Part dated 16 <sup>th</sup> July, 2012



No.W.11013/5/2012-CRSP  
Government of India  
Ministry of Drinking Water and Sanitation

12<sup>th</sup> Floor, Paryavaran Bhawan  
CGO Complex, Lodhi Road  
New Delhi-110003  
Dated: 13.06.2012

To

The Principal Secretary / Secretary / Administrators  
(In-charge Rural Sanitation)  
All States/UTs

Subject: Continuance of Total Sanitation Campaign (TSC) renamed as Nirmal Bharat Abhiyan (NBA) in the XII Five Year Plan – regarding.  
Reference : CCEA approval vide no. CCEA/11/2012(i) dated 12.06.12

Efforts of the State Governments for promoting rural sanitation were supplemented till 1999 by the Central Government under the centrally sponsored Rural Sanitation Programme (CRSP) and thereafter under Total Sanitation Campaign (TSC) till the end of the XI Five Year Plan. The Cabinet Committee on Economic Affairs in its meeting held on 7.6.2012 has approved the continuance of the Rural Sanitation Programme in the XII Five Year Plan. The details of the approval are as under:

- (i) Re-name Total Sanitation Campaign (TSC) as Nirmal Bharat Abhiyan (NBA) in XII Plan.
- (ii) Provide increased incentive amount to cover support for IHHL for both BPL and APL. APL beneficiaries to be restricted to SCs/STs, small and marginal farmers, landless labourers with homestead, physically handicapped and women headed households.
- (iii)
  - a) Raise Central Share of incentive from Rs. 2200.00 to Rs. 3200.00
  - b) Raise State Government share of incentive from Rs. 1000.00 to Rs.1400.00
  - c) Additional provision of Rs. 500 for hilly and difficult areas to continue
  - d) Raise minimum beneficiary contribution from Rs.300.00 to Rs. 900.00
  - e) Convergence with MNREGS wherever possible with appropriate use of provisions.
  - f) The provision for State Governments to allow the flexibility to provide higher incentive for a household toilet from their own funds as at present to be continued.
  - g) Recast the component of Solid and Liquid Waste management (SLWM) to project mode for each Gram Panchayat (GP) with financial assistance capped for a GP on number of household basis to enable all Panchayats to implement sustainable SLWM projects. A cap of Rs. 7/12/15/20 lakh to be applicable for Gram Panchayats having up to 150/300/500/ more than 500 households on a Centre and State/GP sharing ratio of 70:30. Projects to be prioritized in identified GPs targeted for Nirmal status and those that have already been awarded Nirmal Gram Puraskar (NGP). Any additional cost requirement to be met from the State/GP.
  - h) Capacity Building component to be a part of IEC which is up to 15 per cent of the project outlay and 2 per cent of that to be earmarked for Capacity Building.
  - i) Administrative component to be reduced to up to 4 per cent of the project outlay, as against the present provision of up to 5 per cent.
  - j) Prioritise construction of Anganwadi toilets in government buildings in 200 high focused districts to assist in tackling the issue of malnutrition.



- k) All government buildings constructed with financial support of the Centre to have appropriate sanitation facilities as an integral part.
- l) The date of implementation for the revised proposals to be with effect from 01.04.2012.
- m) There is no change in the other components.

The detailed guidelines in terms of the above approval of the CCEA are being finalized and shall be issued separately. The incentives/ financial assistance in the meantime stand revised in terms of the approval with effect from 1.4.2012.

This issues with the approval of Secretary Ministry of Drinking Water and Sanitation.

With regards,

Yours sincerely

(Vijay Mittal)

Director/ NBA

Tele: 24364427, Fax: 24364869

E-Mail: vijay.mittal@nic.in

Copy to:

State/UT Coordinator  
Nirmal Bharat Abhiyan  
All States/UTs



GUIDELINES  
FOR  
TAKING UP WORKS RELATING  
TO  
ACCESS TO SANITATION FACILITIES

**REVISED INSTRUCTIONS UNDER SCHEDULE 1 PARA 1B (XV)  
OF  
MAHATMA GANDHI NREGA**

(File No. J-11013/01/2011 MGNREGA (Pt. VI), Dated: 07.06.2012)

Mahatma Gandhi NREGA Division,  
Department of Rural Development,  
Ministry of Rural Development,  
Government of India

June, 2012



## CONTENT

S. No.	Particulars	Page No.
1.	CONTEXT	3
2.	OBJECTIVES	3
3.	ACTIVITIES THAT CAN BE UNDERTAKEN	3
4.	DESIGNS	3-4
5.	NON-NEGOTIABLES IN WORK EXECUTION	4-5
6.	CONFORMITY TO MAHATMA GANDHI NREGA PROCESSES IN PLANNING AND EXECUTION	5-6
7.	MODE OF EXPENDITURE	6-7
8.	MONITORING & REPORT	7

## LIST OF ABBREVIATIONS

AS/FS	Administrative / Financial Sanction
DPC	District Programme Coordinator
GOI	Government of India
GP	Gram Panchayat
Unique ID Number	Unique Identification Number
IHHL	Individual Household latrine
J.EN	Junior Engineer
Mahatma	Mahatma Gandhi National Rural Employment Guarantee Act
MGNREGS	Mahatma Gandhi National Rural Employment
MoRD	Ministry of Rural Development
MDWS	Ministry of Drinking Water and Sanitation
PO	Programme Officer
SLWM	Solid and Liquid Waste Management
SOR	Schedule of Rates
TA	Technical Assistant
TS	Technical Sanction
TSC	Total Sanitation Campaign

**Note:** The Guidelines for Taking up Works relating to Access to Sanitation Facilities was first amended vide Ministry of Rural Development Circular No. J-11013/01/2011 MGNREGA (Pt. VI) dtd. 10.05.2012. The amendments/addition/alterations to the following paragraphs [page number] of the extant guidelines have been carried out in this revised Circular dtd. 07.06.2012:

- a) Para 5 (g) [Page 4]
- b) Para 6.2 (b) [Page 5]
- c) Para 7.1 (b) [Page 6]
- d) Para 7.2 [Page 6-7]
- e) Para 8 [Page 7]



## GUIDELINES FOR PLANNING, EXECUTION AND MONITORING OF WORKS RELATING TO ACCESS TO SANITATION FACILITIES, INSTRUCTIONS UNDER SCHEDULE 1 PARA 3 (XV) OF MAHATMA GANDHI NREGA

### 1. CONTEXT:

1.1 Ministry of Rural Development, Government of India had vide notification no. S.O. 2265(E) & S.O. 2266(E) dated 30<sup>th</sup> September, 2011, expanded the scope of works under schedule 1 Para 1 (ix) to include Access to Sanitation facilities and issued operational guidelines for these works. As per extant guidelines, assistance under MGNREGA is available for construction of IHHL up to sub structure level. These guidelines were reviewed and revised on 10.05.2012. Based on the requests and feedback from States, it has been decided to further revise some of the provisions made in the guidelines dated 10.05.2012.

1.2 In supersession of the guidelines issued on 10<sup>th</sup> May 2012, the revised guidelines as follows will be applicable.

### 2. OBJECTIVES:

The objectives for including access to sanitation facilities are as follows:

- a) Improve the quality of life of the rural people and thereby strengthen the base of rural livelihood
- b) To create durable assets in rural areas and improve the infrastructure at village level.
- c) Accelerate sanitation coverage in rural areas by providing privacy and dignity to women.

### 3. ACTIVITIES THAT CAN BE UNDERTAKEN UNDER MGNREGA IN ACCORDANCE WITH THESE GUIDELINES:

- a) *Construction of Individual Household Latrines (IHHL)* as per instructions/ guidelines of "Total Sanitation Campaign" administered by Ministry of Drinking Water and Sanitation (MDWS). Assistance from MGNREGA for IHHL will however, be limited to provisions in para 7 below.
- b) Construction of Anganwadi Toilet unit and School Toilet Unit as Institutional Projects.
- c) Solid and Liquid Waste Management (SLWM) works in proposed or completed Nirmal Grams.

### 4. DESIGNS/SPECIFICATIONS:

- a) The designs/ specifications would adhere to instruction/guidelines issued by Ministry of Drinking Water & Sanitation, GOI. Local design variation



depending on the geo-climatic conditions and construction material will also follow instructions/ guidelines of Ministry of Drinking Water & Sanitation, GOI

- b) If a beneficiary chooses to make IHHL of a superior design/ bigger dimensions, same will also be accepted. However, payment from MGNREGA will be restricted to provisions given at Para 7 of these guidelines.

#### 5. NON-NEGOTIABLES IN WORK EXECUTION:

- a) Only Job Card holders will be employed for the unskilled part of work. For IHHL, it is necessary that the beneficiary also works on his/her IHHL. If the beneficiary does not hold a job card, he/she should apply for one.
- b) Muster Rolls will be maintained on the worksite, with copies in the Gram Panchayat. All data will also be in public domain and will be entered on [www.nrega.nic.in](http://www.nrega.nic.in)
- c) Wage payments will be done only through banks/ post office accounts unless exempted by MoRD.
- d) No contractor and machine will be deployed for construction of toilet units.
- e) Record of employment generated will be maintained separately.
- f) In case of IHHL, the individual household beneficiary shall be a household eligible under MGNREGA for work on private land/homestead.
- g) **The District Water & Sanitation Mission will communicate to Gram Panchayats (GPs) the approved Total Sanitation Campaign (TSC) plan for their respective GPs. The plan will include the total number of Individual Household Latrines (IHHLs) approved for the GP. The GPs will, following approval of the Gram Sabhas, finalise the list of individual beneficiaries within the given numbers and will also include this as part of approved shelf of projects under MGNREGA.**
- h) Toilets under 3 (a) and 3 (b) above may be taken up under MGNREGA, only if these have not already been constructed under TSC.
- i) The entire IHHL unit will be treated as a MGNREGA project for the purposes of
  - (a) giving a unique work ID
  - (b) entry in Works & Asset register
  - (c) Social Audit by Gram Sabha
  - (d) evaluation by Vigilance and Monitoring Committee
- j) Each GP will maintain a complete list of all IHHLs, School Toilets and Anganwadi Toilets whether completed by as works in MGNREGA or otherwise. In the asset register, the breakup of the assistance/incentive



utilised from TSC, State incentive, beneficiary's own contribution and the expenditure from MGNREGA should be shown separately.

## 6. CONFORMITY TO MAHATMA GANDHI NREGA PROCESSES IN PLANNING AND EXECUTION:

### 6.1 PLANNING:

- a) A combined list of all the eligible beneficiaries from a village/ ward or Gram Panchayat desirous of constructing IHHLs may be prepared. This list will be put up in the Gram Sabha for approval and inclusion in shelf of projects. A combined AS/FS will be issued for all IHHLs that are approved by Gram Sabha.
- b) Sanctions for each of the Institutional Projects and SLWM works will be accorded individually.

### 6.2 ESTIMATES:

- a) After the works are given AS/ FS, the Technical Assistant/ Junior Engineer concerned of the Panchayat/ Line department will prepare estimates of the works as per drawing/design/ specification for sanitation facilities and prevailing SOR for MGNREGA works in the area.
- b) Estimates of IHHL will be based on type design of Ministry of Drinking Water and Sanitation (MDWS) and combined Technical Sanction (TS) will be issued as per the combined Administrative Sanction and Financial Sanction (AS & FS).**
- c) The TS for these works will be issued by the concerned as per norms/ power delegated for MGNREGA works.

### 6.3 EXECUTION:

- a) The GP concerned will be the Implementing Agency.
- b) On receipt of a request from the GP, the PO will issue muster rolls.
- c) Every IHHL, School Toilet Unit, Anganwadi Toilet, and SLWM project will be treated as independent work and muster roll issued accordingly.
- d) The format for these musters may be modified so as to manage this work efficiently. However, minimum features as prescribed in the Schedules of MGNREGA will need to be incorporated.
- e) A mate may be deployed for every 15-25 IHHL's (depending upon the Geographical spread of the IHHL's) proposed to be taken up in a Gram Panchayat at one time, in addition to institutional toilets proposed for



construction and falling in his area. The designated mate will be responsible for the following:

- i. Maintain muster for all the IHHL's/ Institutional Projects in the GP/Village/locality assigned to him/her.
  - ii. Record attendance for skilled and unskilled labour.
  - iii. Ensure that the construction is, at the least, as per the design specified by the MDWS and will certify to that effect.
  - iv. Upon completion of assigned IHHL to him/her, the mate will sign the muster roll for attendance and for the quantity of work done and hand it over to the Junior Engineer/Technical Assistant for further processing.
  - v. The TA/J.En would then proceed to record the MB for all such units.
- f) The work of IHHL should be completed by deploying a maximum of 20 unskilled person days and 6 skilled person days (mason/ plumber). For sanitation facilities other than IHHL, the work will be completed as per prevailing SoRs.
- g) For sanitation facilities other than IHHL, the measurement of the work will be made weekly by the concerned TA/ J.En as per the norms under MAHATMAGANDHI NREGA. The entries of measurement with assessment of work will be entered in measurement book as well in the muster roll. For IHHL, the measurement of the work will be made on completion of unit.
- h) In the construction of IHHL, Anganwadi Toilet and School Toilet unit, the GP with the help of TSC team will ensure that all activities and supply of material are planned and executed in such a way that there is continuity in execution and completion of work.

## 7. MODE OF EXPENDITURE:

7.1 For the construction of sanitation facilities, expenditure for the following activities will be met from funds under MAHATMAGANDHI NREGA and through muster rolls as per MAHATMAGANDHI NREGA process:

- a) Unskilled labour (up to 20 person days) and skilled labour (up to 6 person days, under material component under MAHATMAGANDHI NREGS) on construction of Individual Household Latrine. The total amount to be booked under MGNREGA will however not exceed Rs.4,500 per IHHL.
- b) The cost incurred in providing skilled labour and mate will be booked under material component as per the provision of the MGNREGA and will be apportioned to the individual units under construction, accordingly.**

7.2 Remaining activities required to be carried out for construction of IHHL will be funded from programme under Total Sanitation Campaign (TSC) utilizing incentive provided by MoDWS/State Government or beneficiaries' own contribution. **For this purpose, District Water Sanitation Mission (DWSM) shall release the funds,**

both central and state share to the Gram Panchayats concerned for carrying out the works as identified so as to ensure availability of funds for payment of incentive to the identified beneficiaries for construction of IHHL.

7.3 The payment of unskilled and skilled labour worked under MAHATMA GANDHI NREGA will be made only after measurement is taken, assessment of work made with respect to task and duly entered in Muster roll and Measurement Book by the TA/ J.En

#### 8. MONITORING AND REPORT:

Progress of construction of sanitation facilities under MAHATMA GANDHI NREGS shall be the responsibility of the District Programme Coordinator (DPC) and the agency implementing TSC as mentioned in the respective guidelines. The construction of all sanitation facilities under MAHATMA GANDHI NREGS will be subject to social audit as per the MAHATMA GANDHI NREGA and TSC regulation/guidelines. Appropriate monitoring mechanism shall be adopted for reporting of IHHL constructed and expenditure incurred through convergence using funds from both TSC and MGNREGS by developing suitable format in online reporting system of MGNREGS and IMIS of TSC so as to avoid duplicate and dual reporting of the physical and financial progress. The reporting shall be through district implementing agency compiling Gram Panchayat-wise data on monthly basis.

These guidelines are issued in concurrence with Ministry of Drinking Water and Sanitation.

*K. K. Tripathy*  
(Dr. K. K. Tripathy) 7.6.12  
Director (MGNREGA)

**J.S. MATHUR**  
 Joint Secretary  
 Ministry of Drinking  
 Water & Sanitation  
 Tel: 24362705



Government of India

**MANOJ JHALANI**  
 Joint Secretary  
 Ministry of Health &  
 Family Welfare  
 Tel: 23063687



Jt. D.O. No. W-11042/7/2007-CRSP-Part

Dated: 18<sup>th</sup> May, 2012

Dear

The Government of India runs the Total Sanitation Campaign (TSC) being administered by the Ministry of Drinking Water and Sanitation that aims to provide access to individual toilets to all rural households as a major component of the scheme.

Good sanitation is now universally recognised as a major proximate determinant for health indicators. The impact on human health of poor sanitation and unhygienic practices are significant, with links to spread of waterborne diseases and intestinal infections that are among leading causes of malnutrition, illness and death. It is estimated that one in every ten deaths in India is linked to poor sanitation and hygiene, and diarrhea accounts for every twentieth death, mostly in children under five. Lack of proper sanitation increases the disease burden and impacts the economic productivity of individuals. According to a UNICEF-WHO (2010) estimate, close to 58% of all open defecation in the world is in India and nearly 60% of India's population still practices open defecation.

The Accredited Social Health Activist (ASHA), is one of the key components of the National Rural Health Mission (NRHM) who works as an interface between the community and the public health system to promote health care at household level. Behaviour Change Communication (BCC) is critical for adoption of good sanitation practices by communities wherein ASHAs can contribute significantly. There are 8.1 lac ASHAs in the country and each one of them can play a key role at the village level, in creating awareness for demand generation for sanitation facilities. Some States like Madhya Pradesh, Rajasthan and Maharashtra are already utilising their services successfully for advocating the cause of good sanitation.

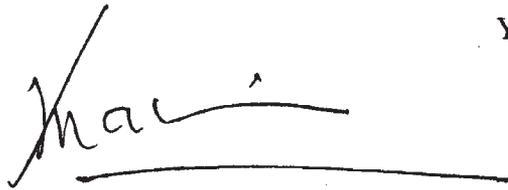
Under the scheme of Total Sanitation Campaign, motivators may be engaged at the village level for demand generation of facilities and sustaining good sanitation practices. TSC Guidelines (Para 5.3.2) provide for a suitable incentive for motivators, for their role in creating awareness and demand in the community for sanitation.

ASHAs may be given an incentive for their role in motivating households to construct and use a toilet. The Ministry of Drinking Water and Sanitation has permitted an incentive of Rs 75/- per household toilet to ASHA workers for promoting toilet usage. Payment of the incentive may be made from the 15% of the District Project outlay that is earmarked for IEC activities under TSC.

As such, States may encourage ASHAs who are also convenors of Village Health, Sanitation and Nutrition Committees, as grass-root motivators to play a proactive role in making door to door contact and motivating village communities to construct and use toilets. Looking to the close link between health and sanitation, you may issue necessary instructions to involve ASHAs for demand generation and use of sanitation facilities.

With regards,

Yours sincerely,



**J.S. MATHUR**  
Joint Secretary  
MDWS



**MANOJ JHALANI**  
Joint Secretary  
MH&FW

To

**All the State Secretaries in-charge of Rural Sanitation & Health**



**J-11012/2/2006-RH**  
**Government of India**  
**Ministry of Rural Development**

**Krishi Bhavan, New Delhi**  
**Dated 18<sup>th</sup> May, 2011**

**To**

**Principal Secretary/ Secretary in charge of RD/Housing**  
**All States/UTs**  
**Principal Secretaries/Secretary in charge of Rural Sanitation**  
**All States/UTs**

**Subject: Dovetailing of funds under TSC with IAY for construction of toilets-reg**

**Sir/Madam**

As you may be aware, the Indira Awaas Yojana (IAY) guidelines updated up to May 2010 stipulate that there should be convergence with activities and funds provided under Total Sanitation Campaign (TSC) for providing sanitary latrines in the IAY houses.

The Department of Drinking Water and Sanitation Implements the Total Sanitation Campaign (TSC) under which BPL beneficiaries are provided an incentive of Rs 2200 (Rs 2700/- hilly and difficult areas) on construction of a sanitary latrine .

It has however been observed that the number of IAY beneficiaries availing incentives from the TSC for constructing toilets with the IAY house is extremely low. Instances have also come to notice where the authorities and beneficiaries are not aware that IAY beneficiaries are eligible for additional funds under the TSC for construction of a toilet alongwith the IAY house.

In view of the above, it is requested that the following instructions may be issued to all concerned officials to make the initiative of convergence more effective:

1. All IAY beneficiaries who are sanctioned a house will be sanctioned one toilet each under TSC if eligible, simultaneously and admissible incentives will be provided to the beneficiary from TSC for construction of same. The authority sanctioning of the house under IAY will be responsible for ensuring that in cases where there is no toilet, incentives on construction of a toilet by the IAY beneficiary under the TSC are simultaneously sanctioned.
2. The layout, location and technology of the sanitary latrines in IAY houses must be appropriately designed to ensure safe disposal of faecal waste preferably in leach pit toilet and as per the geophysical conditions of the region.
3. IEC material on TSC be included in IAY publicity material.
4. Joint Training programme must be organized for functionaries under TSC and IAY at State level, District, Block and Gram Panchayat level on provisions of both schemes.



-2-

5. It may be noted that the clause for deduction of Rs. 600 from the IAY unit assistance in case a beneficiary fails to construct a toilet has been deleted from the IAY guidelines w.e.f Feb. 2006. Accordingly, it is reiterated that no deduction is to be made from the unit assistance for construction of houses. However, concentrated efforts should be made for awareness generation of the beneficiaries to ensure that they construct and use toilet while availing of the incentives amount provided under TSC.

Our concerted efforts should be to provide a durable and affordable dwelling unit with a clean and healthy living environment for the rural poor for which a toilet is a primary prerequisite that should be accorded utmost priority.

With regards,

(J.S.Mathur)  
Joint Secretary (Sanitation)  
Deptt. of Drinking Water and Sanitation  
Department of Rural Development

Yours faithfully

(Sanjay Kumar Rakesh)  
Joint Secretary(Rural Housing)  
Department of Rural Development

Cc : TSC Coordinator, All States/UTs

जितेन्द्र शंकर माथुर, आई.ए.एस  
संयुक्त सचिव  
*Jitendra Shankar Mathur, I.A.S*  
Joint Secretary



भारत सरकार  
पेयजल एवं स्वच्छता मंत्रालय  
Government of India  
Ministry of Drinking Water and Sanitation  
12th Floor, Paryavaran Bhavan, C.G.O. Complex  
Lodhi Road, New Delhi - 110 003  
Tel. No. : 24362705 Fax : 24361062  
E-mail : js.tsc@nic.in



D.O. No. W-11042/4/2004- CRSP Part

dated 16<sup>th</sup> July, 2012

Dear *Dr. Shreesanjay*,

The Government of India runs the 'Total Sanitation Campaign (TSC) renamed as the Nirmal Bharat Abhiyan(NBA), being administered by the Ministry of Drinking Water and Sanitation that aims to provide access to individual toilets to all rural households and toilets in Schools and Anganwadis as a major component of the scheme.

It is now universally recognized that poor sanitation and unhygienic practices where an adverse impact on health with links to spread of waterborne diseases that are among leading causes of malnutrition, illness and death **particularly for women and children**. It is estimated that one in every ten deaths in India is linked to poor sanitation and hygiene, and diarrhea accounts for every twentieth death, mostly in children under five. According to a UNICEF-WHO (2010) estimate, close to 58% of all open defecation in the world is in India and nearly 60% of India's population still practices open defecation.

Anganwadi Worker (AWW) and Anganwadi Helpers are the front line workers at the village level providing voluntary services for holistic development of children from 0 to 6 years and pregnant and lactating mothers under the under Integrated child Development Services (ICDS) Scheme. The services provided through AWWs and AWHs range from providing supplementary nutrition, immunization, health check ups, referral services, pre-school non- formal education and nutrition and health education. Behaviour change communication is critical for adoption of good sanitation practices by communities wherein AWWs can contribute significantly. There are 13.70 lakh Anganwadi Workers and 12.53 lakh Anganwadi Helpers in the country and each one of them can play a key role at the village level in creating awareness for demand generation for sanitation facilities.

As such, States may encourage AWW and AWH who are also members of Village Health, Sanitation and Nutrition Committees, as grass-root motivators to play a proactive role in making door to door contact and motivating village communities to construct and use toilets.

Under the scheme of Nirmal Bharat Abhiyan motivators may be engaged at the village level for demand generation of facilities and sustaining good sanitation practices. The guidelines provide for an outcome based incentive for motivators, for their role in creating awareness and demand in the community for sanitation.

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सभी के लिए स्वच्छता  
और स्थायी पेयजल आपूर्ति

Sustainable Sanitation and  
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-: 2 :-

Para 5.3.2 of the guideline states that "The Motivator can be given suitable incentive from the funds earmarked for IEC. The incentive will be performance based i.e. in terms of motivating the number of households and schools/ Anganwadis to construct latrines and soakage pits and also use the same subsequently.

It is proposed that information regarding construction and of toilets may be included as a component in the family survey register maintained by AWW so that they could motivate the community particularly women to construct and use toilets. Both the Ministries may also issue a joint letter emphasizing upon States to utilize services of Anganwadi workers for promotion of sanitation activities accordingly.

With best wishes,

Yours sincerely,

dc

[ J.S. MATHUR ]

Letter Issued  
16.7.12

**Dr. Shreeranjana**

Joint Secretary to the Government of India  
Ministry of Women & Child Development  
Shastri Bhawan  
New Delhi

## Annexure-VII



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

Sl. No	Reference
1.	Handbook on Technical Options for On Site Sanitation
2.	Handbook on Scaling up Solid and Liquid Waste Management in Rural Areas
3.	IEC guidelines 2010
4.	Gram Panchayat Handbook
5.	Establishment and Management of Community Sanitary Complexes in Rural Areas
6.	Swachchhata Doot guidelines 2011





For any further information contact :  
**Ministry of Drinking Water & Sanitation, Govt. of India**  
12<sup>th</sup> Floor, Paryavaran Bhawan, CGO Complex,  
Lodhi Road, New Delhi-110003  
Website : [www.ddws.nic.in](http://www.ddws.nic.in)