

**STATUS OF
SPECIAL COMPONENT PLAN FOR SCs
AND
TRIBAL SUB PLAN FOR STs**

TABLE OF CONTENT

Introduction

PART I

Socio-economic Situation of SCs and STs in India

1. Demography
2. Sex ratio
3. Education
4. Health
5. Work Participation Rate
6. Entrepreneurship
7. Assets Ownership and Indebtedness
8. Employment
9. Social amenities
10. Prevalence of Poverty

PART II

Policy and Purpose of SCSP/TSP

Status of SCSP/TSP

SCSP and TSP in Five Year Plans since 1980

Overview on Allocation of Funds in Five Year Plans since 1980

Phase I: 1980-2002 - Initial evolution SCSP and implementation (Sixth Five Year plan to Tenth Five year Plan)

Allocation of Funds in Five Year Plans since 1980

Analysis

Gaps and problems identified by Planning Commission of India in the implementation of SCSP and TSP

Constitution of Tripartite Committee

Phase II: 2002-2007 - Guidelines (10th Five Year Plan)

Phase III: 2007-2012 - Jadhav Committee: Efforts (11th Five Year Plan)

Allocation and Denial

Gaps and problems in Implementation of SCSP and TSP in 11th Five Year Plan

Status of SCSP/TSP in post-Jadhav Committee era

Phase IV: Status of Implementation SCSP and TSP in Union Budget

Implementation in Union Budget 2011-2012

Implementation in Union Budget 2012-2013

Gaps in Allocations and Management

Current Union Budget (2013-14)

Current Challenges: Need for Effective Implementation

Phase V: Way Forward

National Advisory Council's Recommendations

Working Group on Dalit Issues for 12th Five Year Plan Recommendations

PART III

SCSP/TSP Legislation

Need for Legislation

Salient Features of SCP/TSP Legislation

List of References

Introduction

The legislative efforts undertaken to close the development gap between Dalits and Adivasis and others date back to 1950 when the Indian Constitution provided opportunities for SCs and STs in the areas of education, employment in public service and electoral seats through the policy of reservation. This important measure was the first of a series of legislations enacted in favour of SCs and STs, the last of which is the Bill on Reservation in Promotions for SCs that was recently passed by the Rajya Sabha but is being obstructed by some political parties in the Lok Sabha. From economic point of view, the most important policies approved so far are the Tribal Sub-Plan (TSP) and the Special Component Plan (SCP), now called Scheduled Caste Sub-Plan (SCSP) executive budget policies, according to which funds and resources are to be reserved across Central Ministries in the Government of India (GOI) and Departments in the State Governments in proportion to the SC/ST population at the national and state level, as per the current census data at each respective level.

However, close scrutiny of the current situation reveals that these two policies have not been implemented effectively, and hence it is not surprising that Dalits and Adivasis still remain far away from mainstream development in the country: the literacy gap is still quite large and the dropout rate is still high. Neonatal mortality, infant mortality, child mortality and under-five mortality are higher among SCs and STs than among other social groups. SCs and STs are still less equipped with the basic requirements for human survival (water supply facilities, latrines, houses, etc.), and poverty is still very rampant among them.

Even though over time small improvements in the conditions of SCs and STs have occurred, 30 years on from the initiation of the SCSP/TSP, it is clear that legislators need to reckon with this sorry state of affairs and must feel obligated to take drastic steps to remedy the situation. In fact, only by making compulsory the appropriate allocation, timely disbursement and effective management of the funds for SCs/STs can positive and substantial changes be effected. Hence, there is a need to introduce a new piece of legislation that aims to achieve the holistic and speedy development of these communities. This report, by analysing the current situation of SCs/STs as well as the implementation of the SCSP/TSP policies through budget analysis, provides concrete evidence and justification for such a new law.

Part I presents a picture of the actual condition of Dalits and Adivasis, in comparison with the national average, across ten significant areas: demography, sex ratio, education, health, work participation, entrepreneurship, assets ownership and indebtedness, employment, social amenities and prevalence of poverty. Most of the data comes from the Census of India.

Part II explores the purpose and the current status of SCSP/TSP and then reviews the allocations of funds under these programmes since 1980. In particular, the evolution of SCSP/TSP will be examined with reference to the Five Year Plans and the last three Union Budgets, with the analysis focused on the inadequate allocation of funds and the gaps in implementation. A way forward to improve SCSP/TSP is then explored through a critical analysis of the suggestions and recommendations advanced by the National Advisory Council and the Working Group on Dalit issues for the 12th Five Year Plan.

In **Part III**, the need for legislation on SCSP/TSP is spelt out, and the salient features of such legislation are listed.

PART I

Socio-Economic Situation of SCs and STs in India¹

1. Demography

The SC population was 6.44 crore in 1961, representing about 14.7% of the Indian population. It has increased to 16.66 crore, representing 16.2% of the country's population, as per 2001 census. There are 22 districts in the country which have more than 30% SC population concentration and out of the 5.93 lakh villages in the country, around 44,000 villages have more than 50% SC population. The main concentration of SCs is in Uttar Pradesh (35.1 million), West Bengal (18.4 million), Tamil Nadu (11.8 million), Andhra Pradesh (12.3 million) and Bihar (11.3 million)².

The ST population was 3.01 crore in 1961, representing about 6.9% of the Indian population, and it has reached 8.43 crore (8.2%) by 2001. At present, there are 75 districts and around 90,189 villages in the country that have more than 50% ST population concentration. Over half of the ST population is concentrated in the states of Madhya Pradesh, Chhattisgarh, Maharashtra, Odisha, Jharkhand and Gujarat (Population Profiles, Census of India 2001, RGI).

According to the recently released Primary Census Abstract, Census 2011 data, the population of SCs is now 16.6% and STs 8.6%, together forming a quarter of the total Indian population. In the period 2001-2011, the SC population grew by 20.8% and ST population by 23.7%, in comparison to the total population decadal increase of 17.7% to touch 1.21 billion. The highest SC population concentration in a state is 31.9% in Punjab. In the case of STs, Lakshadweep has the highest population concentration of STs at 94.8 percent.

2. Sex ratio

A total of 80% of the SCs and 91% of the STs are based in rural areas and the sex ratio among SCs and STs is 936 and 978 respectively, compared to the national average of 933 females per 1000 males. The female/male ratio for the SC population in the 0-4 age group is 949, in age group 5-9 it is 924, and in the age group 0-9 it is 936 at the all-India level³.

The sex ratio among STs in the age group 0-6 years is 973 at all-India level⁴, which is higher than the national average for SCs. As regards sex ratio among the SCs/STs in the rural population, the female/male ratio has been decreasing. This falling ratio is much sharper for SCs and STs as compared to the general population.

3. Education

(i) Literacy

The crude⁵ literacy rate for the SCs was 10.3% in 1961 and it became 45.2% in 2001, an increase of 34.9% in the last forty years. The crude literacy rate for STs was 8.5% in 1961, and increased to 38.4%

¹Sources: Census, 2001 & 2011; National Family Health Survey- 1998-99 and 2005-06; 61st NSSO Round, 2004.

²Population Profiles, Census of India 2001, RGI

³Data Highlights: Scheduled Castes, Census of India 2001

⁴Data Highlights: Scheduled Tribes, Census of India 2001

⁵Crude Literacy rate: Literacy rate calculated by taking the total population of a place into account is known as Crude Literacy Rate. The formula for computing crude literacy rate is: Crude literacy rate = No of literate persons X 100/ total population.

in 2001, marking an increase of 29.9% over the same forty-year period. The effective⁶ literacy rate for SCs in 2001 was 54.7% as compared to 37.4% in 1991, representing an increase of 17.3% over that decade⁷. The effective literacy rate for STs in 2001 was 47.1% as compared to 29.6% in 1991, marking an increase of 17.5% in the last decade. In other words, in terms of literacy while on the one hand the improvement in the literacy rate for SCs and STs has been roughly the same, on the other hand both communities still lag behind other communities. The reduction in the literacy gap between the SCs and STs and others is evident. At the same time, however, the gap remains quite large and sustained effort is required to bridge this for SCs especially in the states of Bihar, Jharkhand and Uttar Pradesh, and for STs in the states of Andhra Pradesh, Bihar, Gujarat, Jharkhand, Madhya Pradesh, Orissa, Rajasthan, Tamil Nadu and West Bengal.

(ii) Enrolment Ratio

The gross enrolment of SC and ST students has increased faster than the enrolment of all categories during the last one decade. In 2010, the gross enrolment ratio (GER)⁸ for SC students was 132.0 for classes 1-5, whereas it dropped to 92.3 in classes 6-8, 70.9 in classes 9-10 and 38.3 in classes 11-12. Similarly, the GER for ST students was 137.0 in classes 1-5, dropping to 88.9 in classes 6-8, 53.3 in classes 9-10 and 28.8 in classes 11-12⁹.

(iii) Dropout Rate

The dropout rates from classes 1-10 stood at 56.0% for SC students and 70.9% for ST students; i.e. well over half the children were dropping out before completing their elementary education. This can be compared to the overall dropout rate of 49.3% from the same classes. SC students have high dropout rates in states like Bihar, Gujarat, Jharkhand, Rajasthan, Meghalaya, Odisha and Sikkim, and STs dropout at high rates in Andhra Pradesh, Bihar, Jharkhand, Gujarat, Odisha, Rajasthan, Tripura and West Bengal.

(iv) Higher Education/Technical Education/ Professional Courses

The share of SC and ST enrolment in higher education, as percentage to total enrolment, has been poor over the years. In fact, their enrolment share in higher education is much lower as compared to their total population¹⁰. The enrolment of SC and ST students as percentage of total enrolment in higher education (Including Open Universities and Polytechnics) is 11.6% and 9.8% respectively. At the doctoral level, the enrolment share of SC and ST students is 11% and 4% respectively. Besides, their enrolment in science courses, both at the Masters and Bachelors levels, is also low. Compare this with the overall GER of the country in higher education at 15.0 in 2009-10, and at 18.8 in 2010-11¹¹.

4. Health

⁶ Effective Literacy rate: literacy rate calculated taking into account the 7 and above population in the denominator is called the effective literacy rate. The formula for computing effective literacy rate is: effective literacy rate = No of literate persons aged 7 and above X 100/population aged 7 and above.

⁷ Report of the Task Group on development of Scheduled Castes and Scheduled Tribes, PCI, 2005

⁸ GER is the ratio of the number of children enrolled in the class group to the total number of children in the corresponding official age group.

⁹ MHRD, Statistics of School Education 2010-11.

¹⁰ Report of the Working Group on Higher Education for the 12th Five Year Plan, GOI, MHRD, 2011

¹¹ First Provisional Report of the All India Survey on Higher Education (AISHE), MHRD. 2012

According to the data of National Family Health Survey (NFHS) II and III, the neonatal mortality for SCs (53) and STs (53), infant mortality rate for SCs (83) and STs (84), child mortality rate for SCs (40), STs (46) and under-five mortality rate for SCs (119) and STs (127) rates are higher for SCs and STs when compared with the total mortality rates as well as the mortality rates for others (non-SC/STs). In fact, the gap between SCs/STs and general population for these health variables is more than 25 percent. For example, there are high mortality rates among the SCs which are closely linked with poverty, low educational status and discrimination in access to health services. At least 75% of SC women and children are found to be anaemic and more than 50% suffer from various degrees of malnutrition, which is more compared to the women of other communities. Comparing the institutional deliveries at the all-India level, the rates for both SCs and STs are less than it is for others. Pregnant SC and ST women also have lesser antenatal checkups as compared to others. At the national level, the full vaccination of SC (40%) and ST (26%) infants is less compared to others. Additionally, the level of anaemia among SC and ST children is more than that among others.

5. Work Participation Rate

Work participation rate is highest among STs (49.1%), followed by SCs (40.4%), and higher for both than the general population (30.3%). While 80% of the workers among the general population are main workers, the share of main workers among SCs is 73% and among STs it is 69 percent. A large proportion of STs are engaged in basic agriculture work and only about 18% of STs are engaged in non-agricultural works, whereas the percentage of non-agricultural workers among SCs is 34% and 47% among general population. The proportion of self-employed are only 21% among STs, and casual labourers are about 21% among SCs and 23% among STs in urban India.

6. Entrepreneurship

The third and fourth rounds of the Indian Micro, Small and Medium Enterprises (MSME) census data for 2001-02 and 2006-07 reveal clear and persistent caste and gender disparities in virtually all enterprises in the registered manufacturing MSME sector. In 2004-05, according to the National Sample Survey, in rural India 34% of SC and 46% of ST households were in self-employment (with corresponding urban proportions being 29% and 26% respectively). The share of SC/ST ownership has declined over the period (2001-2007), coupled with an increase in caste disparities in the ownership of manufacturing enterprises: i.e. a decline in ownership by SCs and STs (6% and 3% respectively in 2006-07) and a corresponding increase in the proportions owned by OBCs and Others (40% and 50% respectively).

SC/ST enterprises are comparatively smaller, more rural than urban, have a greater share of owner-operated (single employee) units. The inter-state variation in the share of SC/ST businesses reveals that, with the exception of the tribal majority north-eastern states, SC and ST businesses are under-represented as compared to their share of the state populations. The traditional stigmatizing association with leather work continues to be one of the top five business activities for SCs and not for other caste groups. The stigma of 'untouchability' has traditionally kept Dalits out of food-related industries¹². Hence, the proportion of SC-owned firms for food products and beverages is significantly lower than the national average and that of all other caste groups. Most Dalit businesses occupy a very low status in the production chain, viz., they are engaged in the bottom-of-the-ladder and low productivity enterprises. In sum, SC/ST enterprises are more survivalist than entrepreneurial.

¹²Comprehensive Study on Understanding Untouchability, Navsarjan Trust 2010

7. Assets Ownership and Indebtedness

As per the NSSO 59th Round Data of Jan. – Dec. 2003, the average value of assets owned by ST rural households is Rs.1.4 lakh and Rs. 1.3 lakh for SC rural households, which is about one-third of what was owned by other households (Rs.4.3 lakhs). The average value of assets of SCs, STs and other households in urban areas also reflects a similar trend. An interesting factor is that urban asset ownership for STs (Rs.2.40 lakh) and SCs (Rs. 1.8 lakh) is higher when compared to their position in rural areas.¹³

The share of landed property is about 54% for SC households as compared to 67% for other households including STs in rural areas, with a share of 32% for buildings as assets among SCs and only 21% among other households. In urban areas, the difference in the land ownership between different social groups is not much with only 6% points between SCs, STs and Other groups.¹⁴

According to NSSO 59th Round Data of Jan. – Dec. 2003, in 2002, about 18% of STs in rural areas and 12% in urban areas were indebted in some form or the other, whereas this was little higher in the case of SCs with indebtedness running to 27% in rural areas and 19% in urban areas. If indebtedness is broken down into different components, STs incurred 59% indebtedness towards farm-related work and 25% towards household expenditure, while the reverse applied in the case of SCs in rural India. In urban areas, among SC households 76% of indebtedness was mainly towards household expenditure.

8. Employment

(i) SCs and STs in Central Government Services

Though the share of SC employees in all the groups of services has increased between 1991 and 2001, there is a shortfall in Group A and Group B services. In Group C, it is at the population proportion level and in Group D it is 21.24% as against a reservation of 15 percent. In the case of STs, the representation is still abysmal with around 3% STs in Group A and B services, and about 6% in Group C and D services, as against their reservation quota of 7.5 percent.

(ii) SCs and STs in Private Sector Jobs

The CII Survey of the Private Sector's Manpower (2011) has revealed that the proportion of SC and ST employees in the private sector in some of the most industrialised states hardly reflects their population strength in those states. The only exception is Tamil Nadu, which ranks number one in industrialisation and employment (by number of factories and persons, according to the Annual Survey of Industries 2008-09). SCs and STs together in this state account for almost 18% of the industrial workforce while they form 20% of the state's population.

In sharp contrast are some of the other most industrialised states such as Maharashtra, Gujarat, Karnataka, Madhya Pradesh, Rajasthan and West Bengal, which show a sharp mismatch between SCs/STs as a percentage of the total workforce in the private sector and their proportion of the state population. For example, SCs and STs make up 19.1% of Maharashtra's population, but their share in private sector employment is only 5 percent. In Gujarat and Karnataka, SCs and STs are around 9% of the total private sector staff strength, but together account for 22% and 23% respectively of the populations of these two states.

¹³Research Study on Livelihood Options Assets Creation out of SCP & TSP Schemes and its Impact among SCs and STs in India (2007), p. 8, Socio-Economic and Educational Development Society (SEEDS)-sponsored by Planning Commission

¹⁴Ibid

According to the CII Survey, companies in the least industrialised eastern region, where jobs are far and few, have the highest percentage of SCs/STs employed in the private sector. For example, in Bihar, which ranks 17 as per the Annual Survey of Industries 2008-09, SCs and STs together constitute one-fourth of the total private sector workforce, whereas they form just 16.6% of the state's population. Chhattisgarh is better with a larger number of factories, and half its factory workforce comprises SCs/STs, whereas the SC/ST population is 43.4% of the state's population. Delhi and Haryana buck the general trend where the gaps between SCs/STs at work and their representation in the population are significantly higher. The CII Survey of the private sector's manpower mix in Chandigarh, Punjab and Rajasthan shows that SC/ST proportion is 25-50% lower than their strength in the respective state populations.

9. Social amenities

(i) Electricity facility

According to 2001 Census data, access to electricity among SC, ST and all households are 44.3%, 36.5% and 61.4% respectively. During the decade 1991-2001, access to electricity among SC, ST and all households increased by 16.2%, 13.7% and 13.3% respectively. Despite this increase, however, both SC and ST households continue to be deprived of electricity in comparison to general households. In terms of villages, 21.4% of SC villages and 47.8% of ST villages had no electricity as per Census 2001 data.

(ii) Drinking Water and Sanitation facilities

The urban population served with water supply facilities during 2000 was about 89% and with sanitation facilities was about 60%, which included the SC and ST population. 45.2% of all households had drinking water source within their premises, whereas only 27.0% of SC and 15.2% of ST households had this facility. Furthermore, 40% of all households had tap drinking water facilities, as compared to 32% among SC households and 20% among ST households. Only 23.7% of SC households and 17% of ST households had latrine facilities within their premises, as compared to 42.3% for all households.

(iii) Housing

Housing is one of the basic requirements for human survival. Ownership of a house provides significant economic security and dignity in society. The differentials that exist in housing status among the different social categories is seen across all the states in the country. As per 2001 Census data, the national average for availability of permanent houses among SC, ST and all households was 42.8%, 24.4% and 57.7% respectively. The situation of housing for SCs in Orissa (19.5%), Chhattisgarh (22.2%), West Bengal (23.9%), Bihar (27.9%), Jharkhand (29.6%), Madhya Pradesh (34.8%), Uttar Pradesh (41.0%) and all the North-Eastern states, except Mizoram, was below the national average. The condition of housing for STs in predominantly tribal states was pitiable. Chhattisgarh had only 8.2% of ST households living in permanent houses, followed by Jharkhand (11.1%) and Orissa (12.9%). Housing is a main area of concern, along with education, health and safe drinking water for the urban SC/ST population, who mostly dwells in slums in the cities.

10. Prevalence of Poverty

The economic status of SCs/STs continues to lag behind other communities, with a much higher percentage of SCs/STs living below poverty line as compared to OBCs and Others: as per the NSS 61st

Round (2004-05), the BPL population among SCs was 36.8% (rural) and 39.9% (urban), among STs 33.3% (urban) and 47.2% (rural), among OBCs 26.7% (rural) and 31.4% (urban), and among Others 16.0% (urban) and 16.1% (rural). In rural areas, the proportion of SCs living in poverty was lower than for STs, while the reverse situation applied in the urban areas. When comparing the poverty ratios for SCs, STs and the general population in 1993-94 to those in 1999-2000, there was a decline in the poverty ratio of 27% for the general population, 25% for SCs and 12% for STs. In other words, the poverty ratio declined faster for the general population than for SCs and STs, though between SCs and STs, the decline was more rapid in the case of SCs.

However, in 1999-2000, there were large variations in the proportion of SC and ST population living below the poverty line across the states. SCs in rural Bihar and Orissa recorded a high poverty ratio of 60% and 52% respectively, whereas SCs in rural Punjab had a poverty ratio of 12 percent. In the case of rural STs, 74% in Orissa and over 50% in Madhya Pradesh, Bihar, Chhattisgarh and West Bengal were living below the poverty line. The position of urban SCs and STs in these states also depicted abysmally high poverty ratio.

PART II

Policy and Purpose of SCSP/TSP¹⁵

The socio-economic deprivation and disadvantages suffered by SCs and STs led to the decision to adopt measures to close the enormous gaps and reduce the development deficits between these two communities and the rest of the Indian population. This need was explicitly recognized in the Constitution of India 1949, which mandated special protection and provision for SC and ST development. But it was only in 1974-75 in the Fifth Five-Year Plan period that the Government of India introduced the policy of the Tribal Sub-Plan (TSP) and later in 1979-80 in the Sixth Five-Year Plan period the Special Component Plan (SCP), now called Scheduled Caste Sub-Plan (SCSP). This umbrella strategy purports to direct Plan resources across Central Ministries in GOI and Departments in the States at least in proportion to the SC/ST population at the national level (16.2% and 8.2% respectively, as per 2001 Census figures), and similarly at the State level. The SCSP/TSP, therefore, are considered to be key instruments to fulfil the objectives of inclusive growth in India and closing the development gap between SCs, STs and others.

1. Status of SCSP/TSP¹⁶

Analysis of the SCSP/TSP shows that even though there is an overall inadequate allocation and expenditure of funds, still one has to recognize the fact that considerable funds have been allocated towards SCSP and TSP by the States/U.Ts and Central Ministries/Departments in different modalities - through their Plans, Central Sector, Centrally Sponsored Schemes, Special Central Assistance Schemes/Programmes, besides through NGOs via Multilateral and Bilateral Organizational funds (World Bank, Asian Development Bank, International Fund for Agricultural development, etc.). The crucial problem to attend to here is the non-utilisation or diversion of such allocated funds.

A review of the status of SCSP and TSP strategies implemented during the past three decades for the welfare and development of SCs and STs indicates broadly four major issues:

- (i) Inadequate allocation of funds as per the SC and ST population in the states;
- (ii) Non-utilisation of even the allocated funds;
- (iii) Implementation and administrative bottlenecks;
- (iv) Improper delivery mechanisms at the field level;
- (v) Lack of appropriate schemes or ill designed schemes, that is, schemes under SCSP and TSP are mostly survival in nature and these are very less useful schemes in comparison with those falling under the current modern growth sector. The schemes are also designed in such way that they do not ensure that the real beneficiaries will be SCs/STs. Mainly they are general in nature.
- (vi) Notional allocation of funds to SCP and TSP, that is, fulfilling SCSP/TSP mandates by making 'paper allocations' where population proportionate budgets are reported as SCSP/TSP allocations and utilisations, as for example: expenses shown under staff salary, office expenses, construction works

¹⁵ National Advisory Council Recommendations on the Scheduled Caste Sub-Plan (SCSP) and Tribal Sub-Plan (TSP): Towards Reform (2012).

¹⁶ Guideline for Implementation Scheduled Caste Sub Plan, Planning Commission (2006); Report of Jadhav Task Force to Review Guidelines on Scheduled Castes Sub-Plan and Tribal Sub-Plan (2010); Socio-Economic and Educational Development Society (SEEDS) sponsored by Planning Commission, Research Study on Livelihood Options Assets Creation out of Special Component Plan (SCSP) and Tribal Sub Plan (TSP) Schemes and its Impact among SCs and STs in India (2007); National Advisory Council Recommendations on the Scheduled Caste Sub-Plan (SCSP) and Tribal Sub-Plan (TSP): Towards Reform (2012).

and others that have no direct relevance to the development of SCs and STs although they are marked as allocations for SCs and STs.

Evidence shows that the implementation of SCSP/TSP has been gravely deficient both in the states and at the Centre. Instead of genuinely planning for SCs/STs in a manner that would ensure that critical gaps in their development are closed so that a level-playing field is created for these communities with the rest of the population (in education, housing, health, employment, access to civic amenities, entrepreneurship, etc.), the SCSP/TSP has been reduced to a mere accounting exercise. That is, several Central Ministries/State Departments simply 'book' a proportion of their expenditure (as per the population proportion of SCs/STs) under the SCSP Head or TSP Head. This 'accounting approach' to the SCSP/TSP assumes that a proportion of the existing schemes are 'paid for' by the SCSP/TSP funds on the understanding that an obligation has been fulfilled. The fact is that, except for schemes implemented for SCs by the Ministry of Social Justice and Empowerment and for STs by the Ministry of Tribal Affairs, specifically for SCs and STs, there is no special or specific planning for SCs/STs. In addition, little or no attempt is made by other Ministries/Departments to develop new schemes and programmes with greater and creative potential to address the development needs of SCs/STs.

Certainly, no State/Union Territory can abstain from allocating resources towards the SCSP/TSP. Similarly, no State/Union Territory can justify inadequate allocation by arguing that SCs and STs also benefit from the general schemes/programmes and that, therefore, there is no need to allocate a separate amount and to create separate schemes meant only for SCs/STs. Moreover, a serious matter and an unacceptable situation today is the non-utilisation of allocated resources or the simply the diversion of such funds to other sectoral or department schemes and programmes. In fact, every year it is not uncommon for state governments to divert money allocated to schemes earmarked for SCs and STs. The result is that urban areas are developed with roads, cities are beautified with statues and jails are built and facilities are provided in jails from the money which is exclusively meant for SCs/STs, none of which will directly benefit these communities.

2. SCSP in Five Year Plans since 1980

Overview on Allocation of Funds in Five Year Plans since 1980¹⁷

The status of allocation of funds under SCSP by the Central Ministries/Departments and States/UTs from the Sixth Five Year Plan up to the Tenth Five Year Plan is as follows:

Status of allocation of funds under SCSP 1980-2004¹⁸

Five Year Plans	Centre		States/UTs	
	Amount	%	Amount	%
6 th Five Year Plan	No Allocation	No Allocation	3614.66	7.67
7 th Five Year Plan	1070.17*	1.08*	7368.05	8.28
8 th Five Year Plan	1269.57	3.36	22420.33	11.26
9 th Five Year Plan	1646.00	10.63	45038.08	11.22
10 th Five Year Plan (first two	5478.89	10.63	1817.39	11.80

¹⁷Source: Guideline for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006).

¹⁸Scheduled Caste Sub Plan: Guidelines for Implementation, Planning Commission, New Delhi, 2006, p.17-18.

years(2002-04)				
* Includes both SCSP and TSP				

From the above Table, the following points emerge:

- In the Sixth Plan (1980-85) no allocation was made under the SCSP for the Central Sector; however, an allocation of Rs3614.66 crore (7.67%) was made under the State Sector.
- Allocations under the Central Sector were made only from the Seventh Plan onwards.
- In the Seventh Plan, a sum of Rs. 1070.17 crore (1.08%) for SCSP and TSP was allocated under the Central Sector, whereas the State Plan allocations were much higher, constituting 8.28% of the total allocation.
- Similarly, in the Eighth Five Year Plan, the Central Sector allocation was only 3.36% whereas the State allocation for SCSP was 11.26 percent.
- To note here is that during the Ninth Five Year Plan, the Central sector allocation for SCSP increased to 10.63%, which was almost on par with the allocation under State Sector (11.24%).
- A point to be underlined is that in all the Five Year Plans, given that the SC and ST population was 16.5% and 8.1% respectively as per 1991 census, allocations under the SCSP have not been made as per the agreed proportionate percentage of SCs in the states and at the central (all-India) level.

Gaps and Problems identified by Planning Commission in Implementation of SCSP/TSP:

- 1) States/UTs were allocating funds mostly from the divisible sectors/programmes.
- 2) Plan outlays from schemes/programmes were not reaching the SC/ST habitations, which are outside the villages/towns.
- 3) Priority sectors and needs-based schemes/programmes for the benefit of SCs, like education, health, technical/ vocational training, etc. were not devised based on beneficiaries' actual needs.
- 4) Development schemes/programmes of infrastructure relating to roads, major irrigation projects, mega projects of power and electricity sector were not accruing any direct and immediate benefits to SCs.
- 5) Schemes related to minor irrigation, asset creation, housing and land distribution were not given importance.
- 6) The allocations made were only notional in nature, showing benefits supposedly accruing to the SCs for their welfare and development from the general sectors.
- 7) The funds allocated were not budgeted and released in time.
- 8) The expenditure in many of the States/UTs was not even 50% of the allocated funds.
- 9) No proper budget heads/sub-heads was created and so the funds were easily diverted from SCSP funds to other general sectors.
- 10) As the Secretary of the Ministry of Social Welfare was not made a Nodal Officer, there was no controlling mechanism for the planning, supervision and allocation of funds to the priority sectors benefitting SCs.

Overview of Five Year Plan Phases

Phase I: 1980-2002 - Initial Evolution and Implementation of SCSP/TSP (6th to 9th Five Year Plan)

(1) **Sixth Five Year Plan (1980-85)** is the first plan which gave due emphasis to the development of SCs/STs in terms of the Special Component Plan and Tribal Sub Plan that sought to provide comprehensive development with a due share of benefits in physical and financial terms from the various programmes of every sector.

For Scheduled Castes: The earlier Five Year Plans envisaged that the benefits of economic development resulting from the investments in agriculture, irrigation, education, health, industry and other sectors would, in the course of time, trickle down to the SCs as well. As this approach did not produce the intended results, a new strategy during the Sixth Five Year Plan was evolved with a combination of three components: (1) The Special Component Plan (SCP) of the States/U.Ts and Central Ministries; (ii) The Special Central Assistance (SCA) to Special Component Plan (SCP); and (iii) The Scheduled Castes Development Corporations in the States (SCDCs) through a cluster saturation approach in a Block, District and State.

For Scheduled Tribes: During the same plan period, the emphasis for STs was on family-oriented economic activities rather than infrastructure development schemes. A 'Modified Area Development Approach' (MADA) was adopted for tribal concentrated pockets of 10,000 population with at least half being STs. Primitive Tribal Groups were also given emphasis for their overall development.

(2) During the **Seventh Five Year Plan (1985-90)**, there was a substantial increase in the flow of funds for STs. Two national level institutions, Tribal Cooperative Marketing Development Federation (TRIFED) as an apex body for State Tribal Development Cooperative Corporations, and National Scheduled Castes and Scheduled Tribes Finance and Development Corporation (NSFDC) were set up to provide a remunerative price for the forest and agriculture produce of Adivasis and credit support for employment generation and skill development respectively. In the Seventh Five Year Plan, Tribal clusters having a total population of at least 5000 and above with ST population concentration of 50% or more outside the TSP were also included. Later, the development of the Primitive Tribal Groups (PTGs) was also included in this strategy.

As for SCs in the Seventh Five Year Plan, the thrust was on: (a) economic development of SCs for raising their income to cross the poverty line; (b) *basti*-oriented schemes for improvement in the working and living conditions of SC *bastis*; (c) liberation from scavenging and employment of SC sanitation workers; (d) educational and skills development; (e) promotion of occupational mobility of the SCs; (f) special attention to SC women and children.

Besides the above, the SC/ST (Prevention of Atrocities) Act 1989 was enacted in this Plan period to ensure security of life for SCs and STs. Since the Seventh Five Year Plan period, a specific amount is allocated for schemes to be taken up by the District Planning Boards to directly benefit the SC population. In this connection, the Social Welfare Department has been providing village-wise and district-wise SC population data to the District Planning Boards.

(3) In the **Eighth Five Year Plan (1992-97)**, high priority was given to SCs in addressing such issues as the removal of the following: 'untouchability', suppression of rights, usurious money lending, land alienation, non-payment of minimum wages, etc. The elimination of scavenging and rehabilitation of

scavengers and provision of scholarships to children of parents engaged in unclean occupations were also emphasized. The National Safai Karamchari Finance and Development Corporation was set up for guaranteeing employment generation and finance for Safai Karmacharis, with a major thrust on ensuring benefits for women. Voluntary organizations were promoted and assisted to play a partnership role in the designing and implementation of programmes, especially trainings for mobilizing community resources.

For STs, the Eighth Five Year Plan emphasized the elimination of exploitation, land alienation, non-payment of minimum wages and restrictions on right to collect minor forest produce, besides addressing their needs for socio-economic upliftment.

(4) The **Ninth Five Year Plan (1997-2002)** emphasized for SCs their 'participation' in Panchayati Raj institutions, in pursuance of the 73rd and 74th Constitutional Amendments. The strategies adopted for them were social empowerment, economic empowerment and social justice in order to accelerate the socio-economic status of SCs.

During the same Plan period, the approach envisaged for STs was their advancement via a similar process of social empowerment, economic empowerment and social justice for their socio-economic development, an exclusive Ministry of Tribal Affairs was set up in 1999 to ensure a focused approach on the development and welfare of Adivasis in the country.

Constitution of Tripartite Committee

A Central Standing Tripartite Committee (CSTC) was constituted by the Planning Commission in 1999 with the task of reviewing the implementation of the Special Strategy of SCSP for SCs and TSP for STs, and to resolve various policy-related issues with respect to Central Ministries/Departments as well as State Governments. The specific task of the Committee was to review the implementation of the SCSP and TSP and guide the nodal Ministries of Social Justice and Empowerment and Tribal Affairs in ensuring the earmarking of funds by the service-oriented Central Ministries/Departments and States/UTs.

Phase II: 2002-2007 - Guidelines (10th Five Year Plan)

The **Tenth Five Year Plan (2002-07)** continued the three strategies of the Ninth Plan for the SCSP and TSP: (i) ***Social Empowerment*** through strengthening the existing educational development schemes and starting new higher education schemes; (ii) ***Economic Empowerment*** through employment-cum-income generation activities; and (iii) ***Social Justice*** through the elimination of all types of discrimination so as to improve their socio-economic conditions and bring them on par with the rest of society.

For the TSP, these strategies were supported by the ongoing central and centrally sponsored schemes of the Ministry of Tribal Affairs and other Central Ministries and Departments. There was a substantial increase in the financial outlays for ST development through various schemes in this Plan period, with an emphasis on education, minor irrigation and the development of forest villages.

In 2006, the Planning Commission released its Guidelines for the Implementation and Monitoring of Scheduled Castes Sub Plan for SCs and Tribal Sub Plan for STs, which reiterated the key objectives of

these Plans and laid down guidelines to be followed strictly in the preparation of the Annual Plan for 2006-07:

- 1) Earmarking of funds for SCSP from total State Plan Outlay at least in proportion to SC population share of the total state/UT population.
- 2) SCSP funds to be made non-divertible and non-lapsable.
- 3) Making the Department concerned with the welfare and development of SCs as the nodal department for the formulation and implementation of SCSP.
- 4) Placing the funds earmarked for SCSP at the disposal of the concerned nodal department, which in turn will reallocate the funds to the sectoral departments for implementing schemes directly relevant to SC development.
- 5) Placing the funds earmarked for SCSP under separate budget heads/ sub-heads for each development department implementing the SCSP/TSP. In this connection, it may be noted that the List of Major and Minor Heads of Account of Union and States, as issued by the Comptroller General of Accounts, provides that Scheduled Caste Sub Plan (789) [and Tribal Sub Plan (796)] may be opened as Minor Head below the functional Major Head / Sub Major Head, wherever necessary and applicable.
- 6) Special Central Assistance (SCA) for the SCSP is being extended by the Centre to the States as a 100% grant meant to fill critical gaps and missing inputs for family-oriented income-generating schemes and supporting infrastructure development with a special focus on BPL families.
- 7) State and District/ Block level Monitoring Committees should be constituted to monitor the implementation of various schemes under SCSP of various development departments. The District/ Block level committees may review the progress of implementation of schemes and utilization of funds on monthly basis and the State level committees may review the progress on quarterly basis.
- 8) The nodal department should ensure timely release of funds to the concerned departments who in turn should ensure immediate release of funds soon after the receipt of funds from nodal department to their field level implementing agencies.
- 9) Non-earmarking of funds under SCSP may result in non-approval of Plans of the states/ UTs.
- 10) Evaluation of the impact of economic development schemes implemented under SCSP on the socio-economic conditions of SCs is to be conducted by the nodal department on a regular basis.

Phase III: 2007-2012 - Jadhav Committee Efforts (Eleventh Five Year Plan)

In the 11th Five Year Plan (2007-12), the thrust was on the expansion and inclusion of higher education, residential schools for SC/ST girls, adult education, the establishment of cultural institutions in the field of archaeology, anthropology and ethnography, archives, libraries, museums, program-driven health care (NRHM), improvements to maternal health, National Food Security Mission, etc.

Allocation and Denial

Denied Allocations in SCSP and TSP in 11th Five Year Plan (2007-12) - Rs in Crore

Financial Year	Total Plan Budget	Due as per TSP	TSP Allocation (% to Total Plan)	Missing Amount	Due as per SCSP	SCSP Allocation (% to Total Plan)	Missing Amount

2007-08(RE)	1,58,491	12,996.3	7,447.0 (4.7%)	5,549.3 (3.5%)	25,675.5	12,367.7 (7.8%)	13,307.8 (8.4%)
2008-09(RE)	1,83,528	15,049.3	8,771.0 (4.8%)	6,278.3 (3.4%)	29,731.5	14,727(8%)	15,004.5 (8.2%)
2009-10(RE)	2,33,386	19,137.7	8,600.6 (3.7%)	10,537.0 (4.5%)	37,808.5	15,905.7 (6.8%)	21,902.9 (9.4%)
2010-11(RE)	2,84,284	23,311.3	10,363.3 (3.6%)	12,948.0 (4.6%)	46,054.0	23,153.2 (8.1%)	22,900.8 (8.1%)
2011-12(RE)	3,27,396	26,846.5	17,959.0 (5.5%)	8,887.4 (2.7%)	53,038.2	29,917.5 (9.1%)	23,120.7 (7.1%)
Total	11,87,085	97,341.0	53,141.0	44,200.0 (3.7%)	1,92,307.7	96,071.1 (8.1%)	96,236.7 (8.1%)

Source: Union Budget 2007-08, 2012-13, Vol.1, Statement 21

Analysis of the 11th Five Year Plan shows that out of the total Plan budget of Rs.11,87,085 crores for this Plan period, only an average of 8.1% was disbursed for programmes under the SCSP. A total amount of Rs.96,236.7 crores was not allocated under the SCSP in accordance with the SC population proportion of 16.2%.

Similarly, for the TSP in the 11th Five Year Plan period, out of the total Plan budget of Rs.1187085 crores for that period, only 4.5% was disbursed for programmes under the TSP. This meant that a total of Rs. 44,200.00 crores was not allocated under the TSP in accordance with the ST population proportion of 8.2 percent.

What must be kept in mind is that this denial of full allocations under the SCSP/TSP did not happen in this Five Year Plan alone. In fact, full justice has not been done even once by either the Centre or any state government in the 30-plus years of the existence of the SCSP/TSP policy.

Gaps and Problems in Implementation of SCSP and TSP in 11th Five Year Plan

The following gaps and problems are identified through analysis of the 11th Five Year Plan budget (2007-12):

- 1) There are very few special and specific programmes made available for implementation under the SCSP/TSP. Mostly the programmes included are part of larger common programmes, with only a proportion of such programmes being specifically earmarked for SCs and STs.
- 2) Most of such programmes, therefore, do not follow the norms of SCSP/TSP, such as indivisibility and direct benefits to the SC/ST population.
- 3) Very few Ministries/Departments at the Centre and in the States have designed and developed programmes under SCSP/TSP. Moreover, funds allocated under SCSP/TSP are not appropriate and inadequate; i.e. they fall short of the existing population proportion both in the Union and State budgets.
- 4) The vague nature of the funds already allocated is so widespread that it is most likely to be diverted or linked to other programmes.
- 5) There is a trend of notional allocation of funds under SCSP/TSP; i.e. allocation under schemes and programmes which are normally meant for general development of the state.
- 6) No link book is made available in the budget documents with regard to allocations under SCSP/TSP.

- 7) There is no proper tracking mechanism available to ensure the timely implementation of programmes under the SCSP/TSP.
- 8) Very few Departments have appointed Nodal Officers for the implementation of SCSP/TSP.
- 9) No uniform model is adopted by the States and the Centre for implementation of the SCSP/TSP.
- 10) Neither State nor District level monitoring committees have been set up in all the districts.
- 11) The monitoring committees, if and when constituted, have not held regular monthly meetings, nor are the minutes of any meeting held being made available to the public.
- 12) No plans of States/UTs are disapproved by the Centre on grounds of inappropriate allocation under SCSP/TSP and no provisions are made to this effect in the rules governing the SCSP/TSP policy.
- 13) No special annual reports on the SCSP/TSP implementation and beneficiaries are made available for scrutiny and discussion by elected representatives or interested civil society organizations.

Status of SCSP/TSP in post-Jadhav Committee Period

Given the above problems, the Planning Commission set up in June 2010 a Taskforce to review the 2006 Guidelines on the Scheduled Castes Sub Plan and Tribal Sub Plan, under the Chairmanship of Dr. Narendra Jadhav, Member of the Planning Commission.

The terms of reference of the Taskforce were:

- (i) to re-examine and revise the existing Guidelines issued by the Planning Commission for implementation of the SCSP and TSP.
- (ii) to understand the operational difficulties, in consultation with implementing Ministries, and to suggest remedial action so that the SCSP and TSP policy is implemented effectively.

The Taskforce, while highlighting the gaps in the implementation of the existing Guidelines, mentioned the following in its report:

- 1) Hardly any Ministry is showing its SCSP/TSP outlays under a separate Budget Head.
- 2) Some Ministries are showing a notional earmarking, but the criterion followed in doing so is neither uniform nor transparent. Also, in the absence of this outlay being shown under a separate minor head (789 for SCSP or 796 for TSP), such notional earmarking does not have much significance, nor is its non-divertibility ensured.
- 3) In the absence of separate earmarking and budgeting of funds under SCSP/TSP by Central Ministries/Departments, it is not possible, as of now, to quantify the total amount allocated and/or spent by the Central Government under SCSP/TSP.
- 4) The SCSP and TSP strategies thus remain substantially un-implemented at the level of the Central Ministries/ Departments, mainly due to lack of an effective mechanisms in this regard.

The Taskforce made the following recommendations for immediate implementation from the financial year 2011-12. The proposed recommendations were limited to the Central Sector Plan Outlay of Ministries/Departments:

- 1) Regarding the classification of Ministries according to their obligation to earmark their Plan outlay/expenditure under SCSP/TSP, the 68 Central Ministries/ Departments can be grouped into four categories: (1) No obligation to earmark funds under SCSP/TSP; (2) Earmarking less

- than 15% for SCs and 7.5% for STs; (3) Earmarking outlays between 15% - 16.2% for SCs and 7.5% - 8.2% for STs; (4) Earmarking more than 16.2% for SCs and 8.2% for STs.
- 2) Placing of Earmarked Funds for SCSP under a Separate Budget Head '789' and for TSP under '796'.
 - 3) Strengthening of administrative arrangements for the planning and implementation of SCSP/TSP by setting up nodal units in all Ministries/Departments that have obligations to earmark funds under the SCSP and TSP.
 - 4) SCSP and TSP funds (shown respectively under the Minor Head 789 and 796 of all Ministries) remaining unutilized at the end of a financial year may be transferred, on the lines of the Non-Lapsable Central Pool of Resources (NLCPR) for the North Eastern Region (NER), to two Pools to be named as "Non-Lapsable Central Pool of SCSP Funds (NLCPCF)" and "Non-Lapsable Central Pool of TSP Funds (NLCPTF)" - two Heads to be created in the Public Account similar to that created for the NER.

Phase IV. Status of Implementation of SCSP and TSP in Union Budget

Implementation in Union Budget (2011-12)

(1) In the Union Budget 2011-12, some improvement was made in the budgetary allocations and processes in response to the recommendations of the Jadhav Committee recommendations. For instance, for the first time the Union Budget had two separate Budget Statements 21 and 21A specifically for SCs and STs, noting all the allocations to be made under separate minor heads 789 and 796.

Further, while assessing the Central government's response to the recommendations of the Task Force through the detailed demands for grants (DDGs) for 2011-12 across the Ministries and Departments, the following are some critical observations:

- 1) Minor heads 789 and 796 that have been opened in the DDGs of Ministries and Departments mentioned in Statements 21 and 21A do not show the budget estimate (BE) and revised estimate (RE) figures for the 2010-11 budget.
- 2) The total quantum of allocation mentioned in Statements 21 and 21A does not match those in the DDGs; it is much less than the outlays shown in the DDGs.
- 3) Under Statement 21, the Union Ministries and Departments show allocations for SCs, but the DDGs reveal that the Department of Biotechnology, Chandigarh UT, and Department of AIDS Control did not report any allocations. Likewise, under Statement 21A for STs, 26 Ministries have allocated Plan funds under the TSP. However, an analysis of the DDGs reveals that the Ministry of Civil Aviation, Department of Biotechnology and Ministry of Water Resources have not allocated funds for STs.
- 4) Minor heads 789 and 796 have been opened by most of the Union Ministries and Departments that report allocations in the DDGs. Moreover, the two separate budget statements 21 and 21A were introduced on schemes for SCs and STs.
- 5) With regard to targeting Central Plan Assistance (CPA) for SCs and STs, the Rashtriya Krishi Vikas Yojana allocated funds for SCSP and TSP as recommended. However, CPAs like the Backward Regions Grant Fund and Jawaharlal Nehru National Urban Renewal Mission did not allocate funds for SCs and STs.

(2) To be noted is that the Guidelines for the SCSP and TSP also focus on the implementation mechanism for targeted schemes. The Guidelines mention that proper and appropriate developmental

programmes/schemes/activities should be designed to ensure that they are relevant for the overall development of SCs and STs, both through the existing general programmes and through introducing new avenues/programmes for the purpose of specifically and directly targeting the development of SCs and STs. In this process, outlays for area-oriented schemes directly benefiting SCs and STs in hamlets, villages and pockets having a majority of SC or ST populations should be included in the SCSP and TSP.

(3) From an analysis of six schemes, it was found that the scheme design of Indira Awas Yojana (IAY), Sarva Shiksha Abhiyan (SSA) and University Grants Commission (UGC) have tried to address the concerns of SCs and STs. According to the guidelines of IAY scheme, at least 60% of total IAY allocation should be utilised for construction or up-gradation of dwellings of SC/ST households and a maximum of 40% is to be utilised for non-SC/ST households and this arrangement ensures direct benefit to SC/ST rural households. Likewise under UGC, there are some schemes which are helping SC and ST students directly, as for example: Rajiv Gandhi National Fellowship for SC/ST students, schemes for Top Class Education, PG Scholarship etc. Other programmes like National Rural Health Mission (NRHM) and Integrated Child Development Scheme (ICDS) have made some provisions to cover the needs of SCs and STs. However, these schemes do not have much clarity in their implementation guidelines for SCs and STs. Jawaharlal Nehru Urban Renewal Mission (JNNURM) has no policy provision to specifically address the development deficits of SCs and STs in urban areas. With regard to allocation of financial resources for SCs and STs, all of the above-mentioned programmes and schemes, except JNNURM, have made plan allocations exclusively for SCs and STs. These outlays are reflected in budget documents like the Budget Statements and DDGs through minor heads 789 and 796. IAY has created a column for reporting the beneficiary data on SCs and STs. The beneficiary data on elementary education (SSA) and higher education are provided in the form of gross enrolment ratios and dropout rates for SCs and STs.

(4) Schemes like NRHM and ICDS do not provide data on SC and ST beneficiaries. The Department-related Standing Committees on Rural Development, Human Resource Development, Health and Urban Development are expected to play a critical role regarding the overall implementation of these schemes. But they have shown low utilisation of funds and poor outcomes. These problems thus have an indirect negative impact on the process of socio-economic development of SCs and STs.

(5) Although the setting up of the Jadhav Taskforce in 2010 and its recommendations are progressive steps reflecting the urgency on the part of the government to address the deficits in the implementation of the SCSP and TSP policy, a range of issues still persist. One major issue is that the four-category formula of the Jadhav Taskforce allows 43 mainstream Ministries/Departments to have no obligation at all to earmark funds for SCs and STs. Among the 43 Ministries/Departments, 12 had Plan Budgets amounting to Rs. 18,000 crores in 2010-12. Moreover, under these 43 Ministries/Departments, there is enough scope to create some exclusive schemes for the development of SCs and STs. Besides, the percentage share of allocation determined by the Taskforce under SCSP and TSP under the three remaining categories is not adequate to address the development deficit of SCs and STs. Ministries like the Ministry for Small and Medium Enterprises, Commerce, Information Technology and Science and Technology (which are very crucial for the long-term development of SCs and STs) fall under category II and have been directed to allocate less than 15% of the total funds under SCSP and less than 7.5% of funds under TSP. Similarly, under the other two categories (III and IV), the allocations to be made between 15 - 16.2% for SCs and 7.5% - 8.2% for STs, and more than

16.2% and 8.2% respectively are also not adequate to address the current development deficit of SCs and STs.

Implementation in Union Budget (2012-13)

In the Fiscal Year (FY) 2012-13, the performance of the Union Ministries/Departments has been disappointing. The Ministries/Departments have not been serious about the implementation of the SCSP and TSP, as evidenced by their failure to intervene strategically in the development process of SCs and STs by bridging the critical gaps in development indicators, tackling poverty and unemployment, and creating productive assets and income generating opportunities for these communities.

SCSP and TSP Guidelines	Implementing status of Union Ministries/Departments for FY 2012-13
<p>Earmark funds under SCSP/TSP from the Plan outlay in proportion to the percentage of SC and ST population (16.2 and 8.2) under separate budget head/sub-head for each Central Ministry/ Department.</p>	<ul style="list-style-type: none"> • 25 Ministries/Departments have earmarked funds under SCSP, which is 9.49% of the total Plan outlay (according to Statement 21), and there is a gap of Rs 26,233.34 crores or less allocation under SCSP (Statement 21). • Among the 25 Ministries, the Ministry of Social Justice and Empowerment makes the largest share in the total allocation which is 11.59% out of total allocation under SCSP. • 28 Ministries/Departments have allocated funds under the TSP, which is 5.55% of the total Plan outlay (according to Statement 21A), and there is a gap of Rs 10,354.10 crores or less allocation under TSP. • Among the 28 Ministries, the Ministry of Tribal Affairs is allocating a substantial amount of funds (18.84%) as a proportion of the total allocation.
<p>Only those schemes should be included under SCSP/TSP which ensures direct benefits to individuals or families belonging to Scheduled Castes and Scheduled Tribes.</p>	<ul style="list-style-type: none"> • Under SCSP, only 38 schemes are of direct benefit, whereas 112 schemes are general in nature and 170 schemes are notional. • Funds allocated for direct benefit schemes for SCs amount to Rs 8,580.73 crores, general schemes Rs 26,789.20 crores and notional schemes Rs 2,444.35 crores. • Under TSP, 58 schemes are of direct benefit, whereas 59 schemes are general and 65 are notional. • Funds allocated for direct benefit schemes for STs amount to Rs 6,918.09 crores, for general schemes Rs 12,333.99 crores and notional schemes Rs 2,292.23 crores.

<p>A dedicated unit for effective functioning may be constituted in every Central Ministry/Department for the welfare and development of SCs/STs as a Nodal Unit for formulation and implementation of SCSP/TSP.</p>	<ul style="list-style-type: none"> Information pertaining to only 15 Ministries/Departments allocating funds under SCSP/TSP is available through RTI applications. Out of the 15, only 10 have appointed Nodal Officers.
<p>SCSP and TSP funds should be non-divertible and non-lapsable.</p>	<ul style="list-style-type: none"> Under SCSP/TSP, 171 schemes are general and 235 schemes are notional. In these general and notional schemes, there is also a major chance of diversion of SCSP/TSP funds. A non-lapsable Central pool should have been created to hold the money that remains un-utilised at the end of a financial year. It is not clear whether such a pool has been created or not.

- The Total Plan Expenditure of the Union Budget 2012-13 (Budget Estimates) is Rs.3,91,027.00crores. For the SCSP and TSP, Rs.37,113.03crores and Rs.21,710.11 crores respectively has been allocated, which account for 9.50% (SCSP) and 5.56% (TSP). This represents a gross under-allocation, for the allocations should be in proportion to the percentage of SC and ST population (16.2%and 8.2%respectively).
- As per the SCSP/TSP Guidelines, each Ministry has to allocate fund under the SCSP and TSP, but it is unfortunate that only 25 Ministries/Departments have allocated for SCs and 28 for STs.
- Meanwhile, almost 70-75 other Ministries/Departments, including those such as Energy, Coal and Industry Departments, have not allocated any funds under these Sub Plans.
- If the spending on SCs and STs in the Total Budget (Plan+Non-Plan),amounting to Rs.14,90,925.29crores, is calculated, the share of both communities comes to a meagre 3.9 percent.

Gaps in Allocations & Management:

More Notional & General Allocation, Less Real Allocations

The phenomenon of 'notional' allocations has plagued the SCSP and TSP from the early years of the policy implementation and, unfortunately, it still persists. This comes from the argument that the concerned Ministry's schemes are 'indivisible' (i.e. cannot be separated into schemes for SCs/STs and that for others). Hence, in order to fulfil the policy obligations of allocations under SCSP and TSP, a retro-budgeting exercise is done wherein a technical calculation of 16.2% is shown under the 789 minor budget head and 8.2% shown under the 796 minor budget head. These 'technical' figures are taken as allocations – without any actual flow of funds or without any funds being set apart for relevant and targeted schemes for SCs and STs.

Another practice of notional allocations is under flagship programmes in several Ministries/Departments, which can be termed 'general' allocations. A proportion of the total flagship scheme funds is presumed to be utilised by SCs and STs, as per official reports. This proportion is then allocated under the SCSP and TSP, using the argument that out of the total programme, a proportion is

utilised by the SCs and STs and hence, it may be taken as SCSP and TSP allocations. This is yet another false allocation of SCSP and TSP, as the schemes are not devised to address the specific, real concerns and needs of SCs and STs and to ensure their targeted development. Most flagship programmes like SarvaSikshaAbhiyan (SSA), National Rural Health Mission (NRHM), etc. have general (notional) allocations in which a considerable proportion of funds are allocated towards SCSP and TSP, while in reality no real funds flow for SC and ST development.

1. Notional Allocations

Associated with the above is the claim of Ministries/Departments and State Governments that they fulfil SCSP/TSP mandates by making 'paper allocations' where population proportionate budgets are reported as SCSP/TSP allocations and utilisations. They do not really or directly benefit SCs or STs, or take them out of poverty line, or reduce the gap between them and others. It is also seen that schemes developed by many Ministries/ Departments are more in the nature of welfare programmes and not at all oriented towards ensuring the economic mobility, skills development, land purchase, employment or enterprise development which would directly enhance the living standards of SCs and STs.

2. General Allocations

This is the allocation meant for the overall population of the country and not for SCs and STs alone, and hence the benefits are not, and cannot be, tracked to individual SC/ST families or SC/ST hamlets. Mostly the economic sectors have general allocations, where 'retro-accounting' is practised. There is very little or no direct flow of funds to address the real needs of SCs and STs. A total amount of Rs. 39110.21 crores has been allocated for general schemes under SCSP and TSP in the Union Budget 2012-13. These allocations are made mostly in the Ministries of Drinking Water and Sanitation, Women and Child Development, and Departments of School Education and Literacy, Health and Family Welfare and Higher Education.

3. Real Allocations

The allocations that directly benefit SC and ST individuals, households and hamlets are those for specially designed schemes, like pre-and post-matric SC/ST scholarships, construction of SC/ST girls' and boys' hostel, etc. Under SCSP, the Ministry of Social Justice and Empowerment (MSJE) and under TSP, the Ministry of Tribal Affairs (MoTA), have made the maximum percentage of real allocations in comparison to other Ministries and Departments.

4. Non-Utilisation of Allocated Funds

The Planning Commission, in its 10th Five-Year Plan (2002-07) Mid-Term Review Report, says that only about 50% of the allocated funds were being utilised. Ministries/Departments and State Governments do not come up with relevant and innovative schemes, and they are reluctant to use funds for SC/ST development. These funds, on the contrary, are used for other purposes, resulting in funds not reaching SCs/STs for their direct development. It is also seen that SCSP/TSP funds get used for various miscellaneous expenses like distributing *diwali* sweets, *goshala* maintenance, jail improvements, etc.

5. Exempting Ministries/Departments from SCP and TSP Allocations

Exempting some of the mainstream Ministries/ Departments and putting no obligation at all on them to earmark funds for SCs and STs is a serious concern. The scrutiny of the non-obligatory 43 Ministries/Departments for 2012-13 reveals that not all of them are regulatory

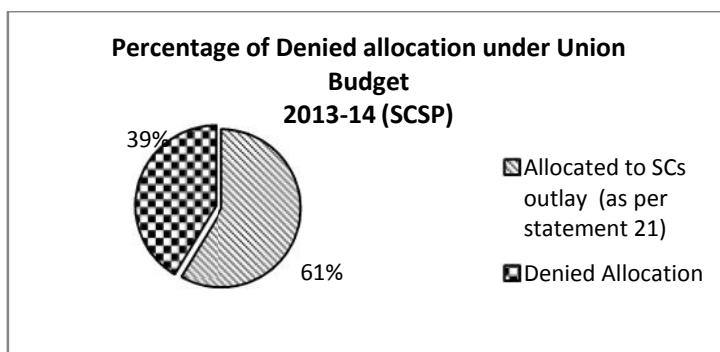
Departments/Ministries. There is enough scope to create some exclusive schemes for the development of SCs and STs in many of these Departments/Ministries.

In point of fact, the SCs and STs contribute a large labour force in the country and, therefore, it is arguable that in order to adjust with the rapidly changing production processes and to increase their productivity as active citizens, it is essential that occupational opportunities are created for SCs and STs. This can be done through formal education that includes components of general and technical/vocational education, which need to be strengthened considerably. Training and skills enhancement of workers and general education should not be viewed as two unconnected compartments. Moreover, asset creation becomes very crucial for SCs/STs to live with dignity and self-respect.

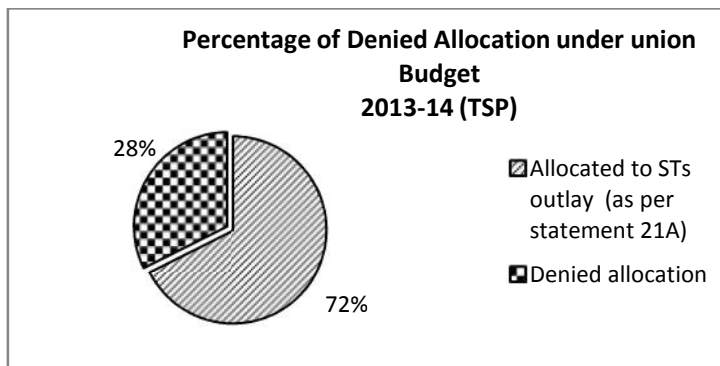
Current Union Budget (2013-14)

As shown for the past years, in 2013-14 as well, the Central government Ministries/Departments continue to flagrantly violate the guidelines as regards the quantum of allocations by the necessary sectors under SCSP and TSP and the nature of schemes accounted there under.

The 2013-14 Total Plan Expenditure Budget of the Union Government is Rs. 4,19,068crores. The amounts allocated for the SCSP and TSP are Rs. 41,561.13 crores and Rs. 24,598.39 crores respectively, which amount to 9.92% (SCSP) and 5.87% (TSP) of the total Plan Budget. Therefore, the denied budget allocation is Rs. 26327.89 crores for the SCSP and Rs. 9765.19crores for the TSP. This can be graphically shown as follows:



Source: Expenditure Budget 2013-14, Volume I, Statement 21



Source: Expenditure Budget 2013-14, Volume I, Statement 21A

- 1) The budgets for SCSP and TSP have shown a minor increase of 0.43% and 0.32% respectively, when compared to last year's budget. By comparison, the overall budget has shown a growth of 29.4 percent.
- 2) 25 Ministries/Department have allocated funds for SCSP and 32 for TSP for 2013-14. Under the TSP, 53 new schemes have been set up with a budget of Rs. 760.89 crores, and a similar number of new schemes have been set up under the SCSP.
- 3) For programmes such as Drinking Water and Sanitation, Rural Development, School Education and Literacy, Health and Family Welfare, the Ministries/Departments of Tribal Affairs has shown budget increases under SCSP and TSP.
- 4) In 2013-14 under the SCSP, only 12 Ministries/Departments had made allocations for SC women, amounting to 29% of the total SCSP. Ministries/ Department like the Home Department, Drinking Water and Sanitation, Telecommunication, Youth and Sports Affairs, Culture and Earth Science, which also contribute to women's development, have yet to create specific SC women-focused programmes. A similar trend is also observed under the TSP for ST women.

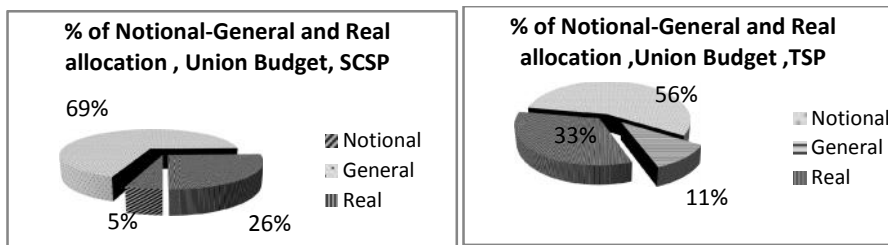
Gaps in the implementation of the SCSP/TSP are clearly evident when the key recommendations of 2010 Jadhav Taskforce are compared with the 2013-14 Budget allocations, as follows:

Key recommendation of Jadhav Taskforce	Status in 2013-14 Budget and scope for improvement	% in Budget 2013-14
Earmark funds under SCSP/TSP from the Plan outlay, at least in proportion of their population	Rs. Cr. 26327.89 (39%)for SCSP and Rs. Cr. 9765.19(28%) for TSP,as recommended allocations by the Task Force, were denied.	SCSP9.92% TSP 5.87 %
<i>Category I</i> - no obligation to earmark plan funds under SCSP and TSP assuming that it will be difficult to quantify the benefit to SCs and STs.	Ministries/Departments: Corporate Affairs, Civil Aviation, Coal, Steel, Petroleum & Natural Gas, Mines, and, Department of Chemicals and Petro Chemicals, Pharmaceuticals, Consumer Affairs, Economic Affairs, Financial Services, Expenditure, Heavy Industries, Public Enterprises Fertilizers, Ministries of Minority Affairs and Tribal Affairs, Ministry of Earth Sciences, Home Affairs, External Affairs, Personnel, Public Grievances and Pension, Law and Justice, and Departments of Health Research; Scientific and Industrial Research; Atomic Energy, Space, Agricultural Research and Education, Ministries of Railways, Water Resources and Departments of Road Transport and Highways, Shipping, Telecommunications, Ministries of Culture, Information and Broadcasting, Planning, Statistics and Programme Implementation, Tourism, Urban Development, and Departments of Industrial Policy and Promotion, Biotechnology; Food & Public Distribution, Food Processing Industries, and Posts –These have significant importance for development. However, on examination of these Ministries/Departments, it is possible to have divisible schemes that will directly benefit SCs and STs.	-
<i>Category II</i> - ≤ 15% allocation (SCSP) & ≤ 7.5% (TSP)	Ministries/Departments: <i>Ministries of New and Renewable Energy, Environment & Forest, Micro, Small & Medium Enterprises, Textiles, Department of AYUSH, Commerce, IT, Science and Technology, and Power</i> which contribute to economic growth of the country, and are of critical importance for the long-term development of SCs/STs.	5.8% SCSP 3.1% TSP

<p>Category III - 15-16.2% allocation (SCSP) & 7.5-8.2% (TSP)</p>	<p>Ministries/Departments: <i>Ministry of Labour & Employment, Panchayati Raj, Youth Affairs and Sports, Department of Agriculture & Cooperation, Animal Husbandry, Dairying & Fisheries, Health & Family Welfare, Higher Education and Land Resources</i>.under <i>category III</i> have been hit by policy and institutional bottlenecks, resulting in the majority of SCs/STs continuing to live in conditions of socio-economic under-development.</p>	<p>12.5% SCSP 7.3 % TSP</p>
<p>Category IV - >16.2% allocation & >8.2% (TSP)</p>	<p>These Departments: <i>Housing & Urban Poverty Alleviation, Woman & Child Development, Social Justice & Empowerment, Drinking Water & Sanitation and Department of School Education & Literacy, Rural Development</i> are important and survival importance for SCs/STs.</p>	<p>17.8% SCSP 10.8 TSP</p>

A noticeable trend is that the current funds allocated under the SCSP and TSP are mostly allocated for survival instead of for the development of SCs/STs. Around 70% of the allocations are for survival needs, and only 20% for the development of SCs/STs. This evidences the low priority accorded by the government towards the economic growth of SCs and STs.

Moreover, the nature of the schemes is that a large proportion of them - 77.23% for SCSP and 67.89% for TSP - are merely general or notional schemes that are not aimed at tackling poverty and unemployment, creation of productive assets and income generating opportunities, etc. for SCs and STs. This is graphically represented in the following chart:



Current Challenges: Need for Effective Implementation

On 17 June 2011, Indian Prime Minister Manmohan Singh addressed the Conference of State Ministers of Welfare and Justice. He stated the following: *the scheduled castes sub plan and tribal sub plan are a 'strategic measure' to address the development gap between the SCs/STs and the general population; and that state governments must prepare and implement the SCSP/TSP with all sincerity so that the benefits actually go to those for whom they are intended.*

Nevertheless, as has been shown above, a review of the Union Budgets from the lens of Dalits and Adivasis using Statements 21 and 21A and the Detailed Demands for Grants (DDGs) reveals several large gaps in the current implementation of the SCSP and TSP. Although the setting up of the Jadhav Taskforce and its recommendations have had an impact, as borne out by the opening of Minor Head 789 for SCSP and 796 for TSP, challenges continue to plague the implementation of the SCSP and TSP.

Further steps have to be urgently taken in order to make the SCSP/TSP Guidelines effective and reduce the development discrepancies between SCs/STs and the rest of the Indian population. After all, this is one of the core objectives enshrined in the Indian Constitution, which firmly focuses on the necessity

of the development of marginalised communities. Article 38 affirms that the state has to secure a social order for the promotion of welfare of the people; and strive to minimize the inequalities in income, and endeavour to eliminate inequalities in status, facilities and opportunities, not only amongst individuals but also amongst groups of people residing in different areas or engaged in different vocations. Similarly, Article 46 enjoins the state to promote with special care the educational and economic interests of the weaker sections of the people, in particular, the scheduled castes and the scheduled tribes, and protect them from social injustice and all forms of exploitation.

Therefore, the effective implementation of policies like the SCSP and TSP can be considered a constitutional obligation; and much more, concerted efforts are required by the government to strengthen the implementation of the SCSP and TSP policy. If effectively implemented, these two Sub Plans will accelerate the development of SCs/STs in reality, by securing to them:

- reduction in poverty and unemployment;
- creation of productive assets and income generating opportunities;
- human resource development by enhancing their access to education and health services;
- enhancing quality of life by providing basic amenities, including housing, in their localities; and so on.

What, therefore, is the way forward?

Phase V. Way Forward

National Advisory Council's Recommendations

On 20th December 2011, the National Advisory Council sent a list of Recommendations on Reforming the Scheduled Castes Sub-Plan (SCSP)/ Tribal Sub-Plan (TSP) to the Government of India. The key principles of the reform agenda devised for the Twelfth Plan were the following:

- i. The Planning Commission, in case of the Centre, and the Planning Department, in case of the States, must indicate the tentative plan size to each Ministry or Department, as the case may be, for the purpose of the preparation of plans for inclusion in the budget estimates of the ensuing financial year. The fresh guidelines should mandate earmarking of SCSP/TSP funds from plan outlays at least 6 months before the commencement of the next financial year.
- ii. Schemes where benefits to SCs/STs are merely notional are not to be included in the Sub Plans.
- iii. A specific institution should be setup at Centre and State levels to allocate SCSP/TSP funds to the Ministries/Departments, duly taking into consideration the developmental needs of SCs/STs, so that Ministries/Departments can clearly show the schemes for the development of SCs/STs separately under the separate budget minor heads. The same institution should also be responsible for approvals and issue of sanctions and effective implementation and monitoring of the SCSP/TSP.
- iv. SCSP/TSP funds should be deployed with particular focus on education, income generation and access to basic amenities in SC/ST localities in the country.
- v. Funds should be non-lapsable and non-divertible.
- vi. SCSP/TSP funds should be channelized only to such schemes where tangible benefits accrue to SC/ST individuals or households or groups or localities.
- vii. Schemes taken up under the SCSP/TSP should be closely monitored and the information should be hosted in the public domain so as to enable anyone to track every scheme, every household and every rupee spent under the schemes.
- viii. Social auditing of the schemes should also be facilitated.

Working Group on Dalit Issues for 12th Five Year Plan Recommendations of 28th May 2012

Building on the 2011 NAC Recommendations, on 28th May 2012 the Working Group on Dalit Issues for the 12th Five Year Plan clearly brought out the imperative need for a fresh set of guidelines for the SCSP and TSP with clearly laid out planning processes, monitoring and evaluation of outcomes. The Working Group also enunciated a set of Essential Elements of Implementation Framework of SCSP, which can be extended as equally applicable to the TSP. Some of the recommendations are reported hereunder:

Central Government

- i. A permanent Cabinet Committee on the Development of Scheduled Castes should be set up to review and guide the effective implementation of the SCSP. This Committee may be chaired by the Prime Minister.
- ii. A separate unit should be created in the Planning Commission under a Principal Advisor for SCSP with adequate staff to appraise the Annual SCSP Plans of Central Ministries/Departments, finalize the allocations and to evaluate the outcomes at the end of the financial year. This unit shall also be the Secretariat for the High Level Committee(HLC) in the Planning Commission.
- iii. In the Central Ministries/Departments, a dedicated nodal unit headed by a Joint Secretary or Economic Advisor should have the responsibility of preparation of the Annual SCSP Plans, and also to monitor their subsequent implementation.
- iv. The National Commission for Scheduled Castes should be strengthened with adequate professional expertise and provided with supporting manpower to undertake independent evaluation of SCSP schemes of the Central Ministries/Departments and to give feedback to these Ministries/Departments. The National Commission for Scheduled Castes can also recommend schemes which have the potential to best address the development needs of SCs to the concerned Central Ministries/Departments for inclusion in their Annual SCSP Plans.

State/UT Governments

- v. An apex body may be set up in all states/UTs with the Chief Minister of the State/UT as the Chairperson. Its duties shall include the formulation of policies, approval of the Annual SCSP Plans of the state departments, and monitoring of the progress of SCSP so as to take corrective measures for improving the performance of the departments.
- vi. A department may be designated as the Nodal Department for SCSP. Such Nodal Department should be strengthened to appraise the Annual SCSP Plans prepared by other departments and also to undertake intensive monitoring and evaluation of the implementation of the Annual SCSP Plans.
- vii. The Nodal Department may also be empowered to clear the schemes proposed by the departments under the SCSP only if the schemes fulfill the criteria of securing direct benefits to SC individuals, households or localities.

NAC Recommendations of 5th November 2012

On 26th October 2012, the National Advisory Council, after deliberations, approved the recommendations of the Working Group on Dalit Issues and decided to recommend to the Government the Essential Elements of Implementation Framework for both the Scheduled Caste Sub-Plan (SCSP)

and Tribal Sub-Plan (TSP), as planning, appraisal and institutional strengthening were deemed relevant for both the SCSP and TSP. Hence, on 5th November 2012, fresh guidelines have been released.

The following recommendations were formulated in order to operationalize a new planning process, a Paradigm Shift from 'Accounting' to 'Planning' for SCSP and TSP:

- 1) Earmarking of SCSP/TSP funds not less than the population proportion of SCs/STs, and much before Plan outlays, are to be distributed to the Central Ministries or State Departments.
- 2) Initiating a Pro-Active Planning Process for SCSP/TSP by the Central Ministries and State departments in order to come up with SC/ST Sub Plans.
- 3) The planning process should begin with an assessment of current status of SCs/STs on select development parameters and estimation of the gaps in development between SCs/STs and others.
- 4) The implementation strategies also need to be evaluated to judge whether SCs/STs are effectively reached or covered under the programmes.
- 5) The Central Ministries and State Departments should also consult relevant stakeholders to take their inputs while formulating the SC/ST Sub Plans.
- 6) The SC/ST Sub Plans should include only schemes that fulfil specific criteria for benefit of involved categories.
- 7) **Institutional strengthening at the Centre:** A High Level Committee (HLC) should be set up to Review and Appraise Central SC/ST Sub Plans and monitor their implementation:
 - a) The present Central Tripartite Committee (CTC) in the Planning Commission to be replaced with a new High Level Committee (HLC) consisting of the Deputy Chairperson, Planning Commission, Minister of Social Justice and Empowerment, Minister of Tribal Affairs, besides Member/s-in-charge, Planning Commission and Chairperson, National Commission for Scheduled Castes and National Commission for Scheduled Tribes.
 - b) A separate unit should be created in the Planning Commission under a Principal Advisor for SCSP/TSP with adequate staff to appraise the Annual SCSP/TSP Plans of Central Ministries, finalize the allocations and to evaluate the outcomes at the end of the financial year.
 - c) In the Central Ministries, a dedicated nodal unit should have the responsibility of preparation of Annual SCSP/TSP Plans, and also to monitor their subsequent implementation.
- 8) **Institutional strengthening in the States:** A Nodal Agency should be set up to review and appraise the SC/ST Sub Plans and to monitor their implementation in the states:
 - a) An apex body may be set up in all States with the Chief Minister of the State as the Chairperson. The duties of such an apex body should include formulation of policies, approval of Annual SCSP/TSP Plans of the departments, and monitoring of progress of SCSP/TSP so as to take corrective measures for improving the performance of the Departments.
 - b) A department may be designated as Nodal department for SCSP/TSP. Such Nodal department should be strengthened to appraise the Annual SCSP/TSP Plans prepared by other departments and also to undertake intensive monitoring and evaluation of the implementation of Annual SCSP/TSP Plans.
- 9) It should be the responsibility of the Ministries/Departments at the Centre, through their Nodal Units, to monitor and ensure effective implementation of SCSP/TSP.

- 10) Periodic evaluation of the outcomes of the schemes taken up under SCSP/TSP should be undertaken by the Central Ministries/State Departments.
- 11) The National Commission for Scheduled Castes and National Commission for Scheduled Tribes should also get periodic evaluations conducted on SCSP/TSP schemes, to give feedback to the Central Ministries/Planning Commission for better implementation of SCSP/TSP.
- 12) The State Commissions for Scheduled Castes and Scheduled Tribes should be similarly strengthened and mandated to ensure independent evaluations are conducted at the state level on the planning and implementation of the SCSP/TSP.

PART III

Need for Legislation

As suggested by the government bodies appointed to ensure SC/ST development, many improvements could be made to the current SCSP/TSP mechanisms. For example, the current 'post-facto accounting approach' to the SCSP/TSP fails to achieve the desired objective (of bridging the gap between SCs/STs and others). The prevailing approach - consisting largely of pro-rata accounting of expenditure on SCs/STs in existing schemes - has to give way to a robust 'proactive planning approach' in order to secure genuine, inclusive growth. However, in order to achieve the desired results for which these policies aim, the key demand to ensure an improvement in SC/ST budget management is for a Central Legislation on SCSP and TSP. It is a known fact that without such legislation, accountability will not be possible and the entitlements under the SCSP/TSP due to nearly 25% of the Indian population will not be implemented.

The legislation should aim at the following:

- It must advance the social, cultural, economic, educational and political development and transformation of SCs and STs, ensuring their empowerment and social justice, protecting their historical social and cultural traditions, and safeguarding their dignity and security.
- Apart from this, the SCSP and TSP legislation should also give special focus to gender equality in every development scheme/project and to children in order to abolish extreme malnutrition and reduce the Child Mortality Rate (CMR), Mother Mortality Rate (MMR), Neo-natal Mortality (NnM) and Infant Mortality Rate (IMR).
- Attention should be given to the protection and preservation of land and natural resources of Adivasis, who traditionally not only owned these resources, but more importantly, protected and preserved them as well.
- One of the main goals should be to abolish all kinds of discrimination practiced against Dalits and Adivasis, and to bring them on par with non-Dalits and non-Adivasis on every parameter of social, cultural, educational, economic and political progress and well-being.

Only by making mandatory respect for the rules in favour of SCs and STs will it be possible to ensure that budget allocations reach SC/ST individuals, families and habitations directly and in their entirety.

The National Advisory Council, therefore, should urgently recommend that the Parliament debates and deliberate on a national SCP/TSP legislation. The need for a central legislation can follow the example offered by the state of Andhra Pradesh, which has enacted such a law on SCSP and TSP in January 2013, and has become the first state in the country to give statutory status to the SC/ST Sub-Plans.

Salient Feature of National SCP/TSP Legislation

The National Coalition on SCP/TSP legislation, comprising about 2001 Dalit and Adivasi organizations from 22 states across the country, has proposed a Bill on SCP/TSP Legislation to the Indian Parliament.

The following are some of the main elements that the new legislation should provide for:

- i. Clearly setting apart a proportion of the total Plan outlays of the Centre and States that is equivalent to the population proportion of SCs/STs at national and state levels, for their development much before the allocations are made to the departments and ministries.

- ii. A well- designed, dedicated institutional set-up at the Central and State levels, which shall allocate SCP/TSP funds to the Ministries/Departments, duly taking into consideration the developmental needs of SCs/STs. This will enable the Ministries/Departments to clearly show the schemes formulated for the development of SC/STs under a separate budget head.
- iii. Where allocation and expenditures do not comply with the guidelines, the authority should have the power to reallocate or re-appropriate the funds to other departments or to other schemes/programmes.
- iv. Schemes should be designed innovatively, which are non-divertible and non-lapsable and be individual or family oriented or aimed at *basti*/hamlet development.
- v. No allocation must be allowed where schemes are general in nature and do not have the objective of bridging the gap between SCs/STs and the general population.
- vi. Encouraging the participation of SC/ST communities, CSOs and experts in planning as well as implementing and evaluating the schemes falling under SCSP and TSP.
- vii. The performance/outcome budget should be published every year, providing details about the beneficiaries and be made publicly available.

List of References

- (1) Union Budget 2007-08, 2013-14, Vol 1, Vol II, Statement 21
- (2) Data highlights, Census of India 2001
- (3) Provisional Population Totals India, Paper1, Census 2011
- (4) Report of the Task Group on development of Scheduled Castes and Scheduled Tribes, PCI, 2005
- (5) MHRD, Statistics of School Education 2010-11
- (6) Report of the working group on higher education for the xii five year plan, GOI, MHRD, 2011
- (7) First Provisional Report of the All India Survey on Higher education (AISHE), MHRD, 2012
- (8) NSSO 59th round data, January - December 2003, NSS 61st round (2004-05)
- (9) Annual Survey Report of Industries 2008-09
- (10) Research Study on Livelihood Options Assets Creation out of Special Component Plan (SCSP) and Tribal Sub Plan (TSP) Schemes and its Impact among SCs and STs in India- Socio Economic and Educational Development Society (SEEDS) sponsored by Planning Commission, Government of India, November 2007.
- (11) Report of Jadhav Task Force to Review Guidelines on Scheduled Castes Sub-Plan (SCSP) and Tribal Sub-Plan (TSP), June, 2010, Planning Commission.
- (12) Five Year Plans Document; from the first plan to eleventh plan (1951-2012)
- (13) Detailed Demand for Grants (2011-12 & 2012-13), Union Budget, Government of India.
- (14) Guideline for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006)
- (15) National Advisory Council Recommendations on Reforming Scheduled Castes Sub-Plan (SCSP) / Tribal Sub-Plan (TSP) (20th December 2011)
- (16) National Advisory Council Recommendations on The Scheduled Caste Sub-Plan (SCSP) and Tribal Sub-Plan (TSP): Towards Reform (5th November 2012)
- (17) Working group - XII - Recommendations to the Planning Commission (28th May 2012)

On the 26th January 1950, we are going to enter into a life of contradictions. In politics we will have equality and in the social and economic life we will have inequality. In politics we will recognize the principle of one man one vote and one vote one value. In our social life and economic life, we shall, by reason of our economic and social structure, continue to deny the principle of one man one value...

If we continue to deny it for long, we will do so only putting our political democracy in peril. We must remove this contradiction at the earliest possible moment or else those who suffer from inequality will blow up the structure of political democracy which this (Constituent) Assembly has so laboriously built up.

- Dr. B.R. Ambedkar