

Scheduled Caste Sub Plan (SCSP) & Tribal Sub Plan (TSP) in the Union Budget

PRE-BUDGET MEMORANDUM 2016-17

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CONTENTS

| S. NO | ITEM | PAGE NO |
|--------------|---|----------------|
| 1. | Overview | 3 |
| 2. | Key Demands in the Upcoming Budget 2016-17 (SCSP&TSP) | 3 |
| 3. | People's Budget | 5 |
| 4. | Status of Allocation in SCSP & TSP | 9 |
| 5. | SCSP in last five years | 9 |
| 6. | TSP in Last five years | 10 |
| 7. | Specific Problems allied with the Implementation of SCSP TSP | 11 |
| 8. | Allocation of SCSP TSP in Union Departments | 13 |
| 9. | Nature of SCSP TSP Allocation | 14 |
| 10. | Categorywise Allocation (Survival, Development, Participation & Protection) | 17 |
| 11. | Non Utilisation of SCSP TSP Funds (2013-14) AE | 18 |
| 12. | Annexure 1 | 20 |

Schedule Caste Sub-Plan & Tribal Sub-Plan

Overview

Scheduled Caste Sub-Plan-Tribal Sub-Plan (henceforth SCSP-TSP) was introduced towards development of the SC/ST through targeted budgeting for their overall development. Under SCP/TSP, the Central Government and State Government need to allocate development (plan) fund in proportion to their population. This fund is to be utilised by the government towards the development and welfare of Dalit and Adivasi communities.

Several studies and evaluations have shown that pace of growth and development amongst and for the Schedule Castes and Schedule Tribes (SCs and STs) have been much slower than rest of the society. This trend can never achieve the equitable and inclusive growth as underlined in the development policy and programmes of the government. There cannot be a more glaring paradox than a report from the constitutional body like Comptroller and Auditor General (CAG) on TSP that points at, underutilisation of funds, diversion of funds, and deficient financial management being common in most of the schemes targeted for SCs and STs. It further says, the schemes meant for the welfare and development of SCs and STs are not given adequate publicity resulting in poor awareness of different schemes amongst the target population¹.

Operational model of SCSP-TSP: the revised guidelines issued in 2014 detail the operational model for implementing SCSP-TSP. The Twelfth Plan document has stated: “Based on the experience of implementing the SCSP/ TSP by the Central Ministries/ departments, the guidelines issued by the Planning Commission will be reviewed to remove any shortcomings, so as to ensure that at least 16.2 per cent of the Central Plan outlay is earmarked under the Schemes/ Programmes that benefit the SC community demonstratively, and 8.2 per cent of the Central Plan outlay is earmarked under the Schemes/Programmes that benefit the ST community demonstratively.”

Key Demands for the Upcoming Budget 2016-17 (SCSP&TSP)

- 1) The ministry in the budget designed for 2016-17 needs to set aside budgetary allocations proportionate to 16.2% for SCs and 8.2% for ST under SCSP-TSP. The SCSP plan outlay, at the current projection, is approximately over Rs 82,643 Crs for SCs and Rs 42,815 Crs for Tribals. This would ensure real growth with inclusion of SC and ST communities.
- 2) In addition, reallocating the the gross misallocations and diversions of 2015-16 budget amounting to Rs. 30,000 Cr will be available further for the development of SCs and STs, in addition to the budgetary allocation of 2016-17.

¹ CAG Report 14 of 2007 : Performance Audit on Educational Development of Scheduled Castes and Scheduled Tribes

- 3) Funds meant exclusively for the welfare of SCs should not be used for other purposes/sectors. Several instances have come to light in quite a few states where SCSP/TSP funds have been diverted for other purposes such as expenditure on the construction of roads, bridges, stadiums, buildings and other state-owned assets like hospitals, flyovers and engineering colleges. Neither are these state owned assets designed for the development and benefit of the community nor do they level the playing field.
- 4) Schemes formulation under the budgetary allocations should not be merely survival-oriented but, focus on acquisition and generation of knowledge, building of assets (land, capital, etc.), accessing skills development for gainful and professional occupation, engaging in entrepreneurship and business enterprises, political capacitating and empowerment, that are critical for bridging the development gap.
- 5) To have Systems in place for participation of SC and ST communities in planning and implementation, and measures of accountability and transparency, and provision of penalties for negligence.
- 6) This population proportion based resource allocations for SCs and STs needs to be on based on gender equity, hence earmarking 50% share for SC/ST women and girls.
- 7) CAG audited TSP in 2015. The emerging report has several recommendations for effective implementation of TSP. The ministry may issue a similar audit of SCSP.
- 8) A central legislation is recommended clearly spelling out the duties and responsibilities of the Union and State Governments regarding budgetary allocation under SCSP and TSP. Through this legislation policies under SCSP-TSP need to clearly define the purpose of reporting under the said legislation and, transparency and accountability of allocation made under SCSP-TSP. Allocation of outlays, criteria of eligibility for schemes and programmes, should also be clearly spelt out in the legislation (*a copy of draft legislation which has emerged after due consultations with the community is herewith attached below for ready reference*)
- 9) At the Centre and the State level, well-designed, dedicated institutional mechanisms for SCSP and TSP needs to be established. This mechanism will be responsible for allocating SCSP/TSP funds to the concerned Ministries/Departments, duly taking into consideration the developmental needs of SCs/STs. Such a mechanism will enable the Ministries/Departments to clearly show the schemes formulated for the development of SCs/STs under a separate budget head. Institutional mechanisms such as –
 - a. A separate unit should be created within the Niti Ayog with powers to review, monitor and direct the concerned Ministreis/Departments to ensure effective implementation of the SCSP TSP
 - b. In the central ministries, a dedicated nodal unit to be headed by a Joint Secretary or Economic Advisor with full time support staff with the responsibility of preparing Annual SCSP Plans, and also to monitor their subsequent implementation.

People's Budget:

After several consultations with the SC ST community a draft alternative budget document is given below:

| People's Budget: Suggested Schemes for Union Budget 2016-17 (Rs. in Cr.) | | | | | |
|---|--|--|--|-----------------------|--------|
| Sl.No. | Dept./Min. | Name of Suggested Scheme | SCSP Allocation | TSP Allocation | |
| 1 | Agriculture | Loans for SC/ST women cooperatives for Agriculture | 400.00 | 200.00 | |
| 2 | | minor irrigation programme for SC/ST farmlands | 800.00 | 600.00 | |
| 3 | | Innovative grants for SC/ST agricultural cooperatives | 1200.00 | 800.00 | |
| 4 | | SC/ST land distribution to the tiller programme | 800.00 | 600.00 | |
| 5 | | Market Development Programme for SC/ST Farmers Product | 500.00 | 400.00 | |
| 6 | | Rehabilitation of project effected SC/ST Communities | 200.00 | 250.00 | |
| 7 | | Water Catchment Area Development Programme for SC/ST | 500.00 | 400.00 | |
| 8 | | Sustainable Agriculture Grants for SC/ST Farmers | 500.00 | 250.00 | |
| 9 | | Canal Construction Programme for SC/ST farmland | 800.00 | 600.00 | |
| 10 | | Community Well Restoration and New well diggings for SC/ST | 250.00 | 200.00 | |
| 11 | | Grants for SC/ST for agricultural equipments | 500.00 | 400.00 | |
| 12 | | Horticulture and sericulture scheme for SC/ST | 500.00 | 400.00 | |
| 13 | | Agricultural Training Institute for SC/ST | 100.00 | 50.00 | |
| 14 | Animal Husbandry, Dairying and Fisheries | District Level SC/ST Dairy Cooperatives Scheme | 800.00 | 600.00 | |
| 15 | | Animal Breeding Self Help Groups of SC/ST Woman | 600.00 | 450.00 | |
| 16 | | District Level SC/ST Fishing Cooperatives Scheme | 1200.00 | 1000.00 | |
| 17 | | Dairying market Development for SC/ST Entrepreneurship | 650.00 | 550.00 | |
| 18 | | Livestock Development Fund for SC/ST Family | 800.00 | 600.00 | |
| 19 | | Small Scale Entrepreneurship Fund for goat, Pig and Cow Breeding | 500.00 | 400.00 | |
| 20 | | Startup Fund for Food Processing | 1200.00 | 800.00 | |
| 21 | | Health and FW | Modernization of Health Centres in SC/ST Areas | 1200.00 | 800.00 |
| 22 | | | Health Insurance scheme for all SC/ST | 400.00 | 300.00 |
| 23 | | | Training and Appointment of SC/ST health workers | 500.00 | 300.00 |
| 24 | Superspeciality hospital for Malaria, TB, Hypertension, sickle cells, and other diseases in SC/ST Areas. | | 600.00 | 400.00 | |
| 25 | Rehabilitation fund for Dalits with Disabilities | | 200.00 | 100.00 | |
| 26 | Health Contingency fund at panchayat level for SC/ST community | | 200.00 | 100.00 | |
| 27 | Paramedical and nursing colleges for SC/ST girls | | 800.00 | 600.00 | |

| | | | | |
|----|--|--|---------|---------|
| 28 | | Financial Medical Assistance for BPL SC/ST Families | 100.00 | 50.00 |
| 29 | | Pre-Medical Coaching and Scholarship for SC/ST Students | 100.00 | 50.00 |
| 30 | | SC/ST fund for treatment of serious diseases | 500.00 | 350.00 |
| 31 | HUPA | Ambedkar Model Housing Scheme | 1500.00 | 300.00 |
| 32 | | Birsa Munda Model Housing Scheme | 0.00 | 200.00 |
| 33 | | Establishment of Special Employment Hub for SC/ST | 100.00 | 50.00 |
| 34 | | Grants for Development of SC/ST Housing Board in Smart Cities | 800.00 | 600.00 |
| 35 | | Savitri Bai Phule SC/ST Woman Housing Programme | 800.00 | 600.00 |
| 36 | | Housing Scheme Disaster Effectuated SC/ST Families | 1200.00 | 800.00 |
| 37 | School Education & Literacy | Free Stationery and Notebooks for SC and ST Students | 100.00 | 80.00 |
| 38 | | 1000 high quality schools for SC/ST students | 1200.00 | 800.00 |
| 39 | | Coaching programme for SC/ST students | 100.00 | 80.00 |
| 40 | | Finishing schools for SC/ST students | 100.00 | 80.00 |
| 41 | | Urban Residential Schools for SC/ST Students | 80.00 | 40.00 |
| 42 | | Seasonal Hostel for Migrant Childrens | 50.00 | 20.00 |
| 43 | | Inclusion Cells in Schools | 100.00 | 80.00 |
| 44 | | Web based Anti Discrimination MIS Scheme | 20.00 | 20.00 |
| 45 | | Savitri Bai Phule Model Schools | 50.00 | 50.00 |
| 46 | | Talent Search and Development Scheme | 20.00 | 20.00 |
| 47 | | Educational Support Allowance | 20.00 | 20.00 |
| 48 | | High class hostels for SC/ST students at district headquarters | 1200.00 | 800.00 |
| 49 | | Appointment of SC/ST Teachers in Rural Areas | 900.00 | 750.00 |
| 50 | | Schools of international Standard at State Level for SC/ST Students | 1600.00 | 1200.00 |
| 51 | | Grants for SC/ST Entrepreneurs for setting up educational institutions | 800.00 | 600.00 |
| 52 | Higher Education | Savitri Bai Phule Scholarship for SC/ST Woman | 200.00 | 150.00 |
| 53 | | Social Justice Scholarships for PG SC/ST Students | 200.00 | 150.00 |
| 54 | | Web based Anti Discrimination MIS System Scheme | 20.00 | 20.00 |
| 55 | | Top Class Hostel for SC/ST Students in Smart Cities | 1000.00 | 500.00 |
| 56 | | Coaching Schemes for SC/ST students | 100.00 | 80.00 |
| 57 | | Felicitation centres for SC/ST students | 100.00 | 50.00 |
| 58 | | Ambedkar Overseas Scholarships Scheme | 50.00 | 20.00 |
| 59 | | Top Class Residential Coaching for SC/ST Students | 800.00 | 600.00 |
| 60 | | Grants for SC/ST NGOs for opening colleges | 1200.00 | 800.00 |
| 61 | | Laptop Grants for SC/ST PG Students | 800.00 | 600.00 |
| 62 | | 8 Ambedkar Universities for Research and Study in SCs Issues | 1600.00 | 0.00 |
| 63 | | 6 Birsa Universities for Research and Study in STs Issues | 0.00 | 600.00 |
| 64 | | Scaling up RGNF to all SC/ST Research Students | 1200.00 | 800.00 |
| 65 | | Research Grant for Post Doctoral SC/ST Students | 400.00 | 350.00 |

| | | | | |
|-----|------------------------------|---|---------|---------|
| 66 | | 20 Savitri Bai Phule Dalit Woman Study Centre | 200.00 | 150.00 |
| 67 | | Grants for Book Publishing of SC/ST Researchers | 500.00 | 400.00 |
| 68 | | Grants for Overseas Educational Tour of SC/ST Researchers | 500.00 | 400.00 |
| 69 | | Research Grant for SC/ST Woman | 600.00 | 400.00 |
| 70 | | Fellowship for professional courses of SC/ST Students | 600.00 | 400.00 |
| 71 | | Scholarship for SC/ST in open university | 1200.00 | 800.00 |
| 72 | | Scholarship for SC/ST students in Technical Courses | 600.00 | 400.00 |
| 73 | | Grants for SC/ST Students in Self Financed Courses | 800.00 | 700.00 |
| 74 | | National Centre on Dalit Studies | 200.00 | 0.00 |
| 75 | | National Centre on Adivasi Studies | 0.00 | 200.00 |
| 76 | Labour and Employment | Establishment of Employment Centre for SC/ST Labour | 300.00 | 200.00 |
| 77 | | SC/ST Migrant Labour Development Programme | 600.00 | 400.00 |
| 78 | | Skill Development fund for SC/ST Youths | 600.00 | 550.00 |
| 79 | | Startup Fund for Unemployed SC/ST | 800.00 | 650.00 |
| 80 | | Grants for SC/ST youths training in super specialty profession | 650.00 | 450.00 |
| 81 | | SC/ST Innovation fund for employment generation activities | 1200.00 | 800.00 |
| 82 | | Rehabilitation and Protection of SC/ST Child Labour | 600.00 | 400.00 |
| 83 | MSME | Training Capacity Building and Entrepreneurship Development for SC/ST Youth | 300.00 | 150.00 |
| 84 | | Venture Capital for SC/ST | 2000.00 | 1500.00 |
| 85 | | Entrepreneurship Development fund | 800.00 | 600.00 |
| 86 | | industrial/ IT 'incubation Centre' for SC and ST | 600.00 | 500.00 |
| 87 | | Innovation fund for SC/ST Cooperatives | 2000.00 | 1500.00 |
| 88 | | Ambedkar Special finance grants for SC/ST entrepreneurs | 5000.00 | 2000.00 |
| 89 | | Finance Development Corporation for SC/ST Woman | 2000.00 | 1500.00 |
| 90 | Panchayati Raj | Capacitation Allowance programme for SC/ST elected PRI Members | 100.00 | 50.00 |
| 91 | | Community Development Centre for SC/ST | 200.00 | 80.00 |
| 92 | | Innovation Grants for Panchayats for SC/ST Development | 400.00 | 200.00 |
| 93 | | Skill Development of SC/ST elected Woman PRI Leaders | 200.00 | 100.00 |
| 94 | Rural Development | Rural Development Grants programme for SC/ST women | 100.00 | 60.00 |
| 95 | | Development of model SC/ST villages | 200.00 | 100.00 |
| 96 | | Basic Amenities for SC/ST Household Guarantee scheme | 800.00 | 600.00 |
| 97 | | SC/ST Locality Approachable Road Scheme | 1200.00 | 800.00 |
| 98 | | SC/ST Household total Electrification Programme | 1600.00 | 1500.00 |
| 99 | Land Resources | Land Distribution scheme for Landless vulnerable SC/ST families | 1200.00 | 800.00 |
| 100 | | National Right to Homestead Land programme | 500.00 | 400.00 |
| 101 | | SC/ST Landless Agricultural Labourer Housing scheme | 500.00 | 400.00 |
| 102 | | Savitri Bai Phule land for SC/ST Single landless Woman | 300.00 | 200.00 |
| 103 | | Grants for Development of Fallow Land | 1200.00 | 800.00 |

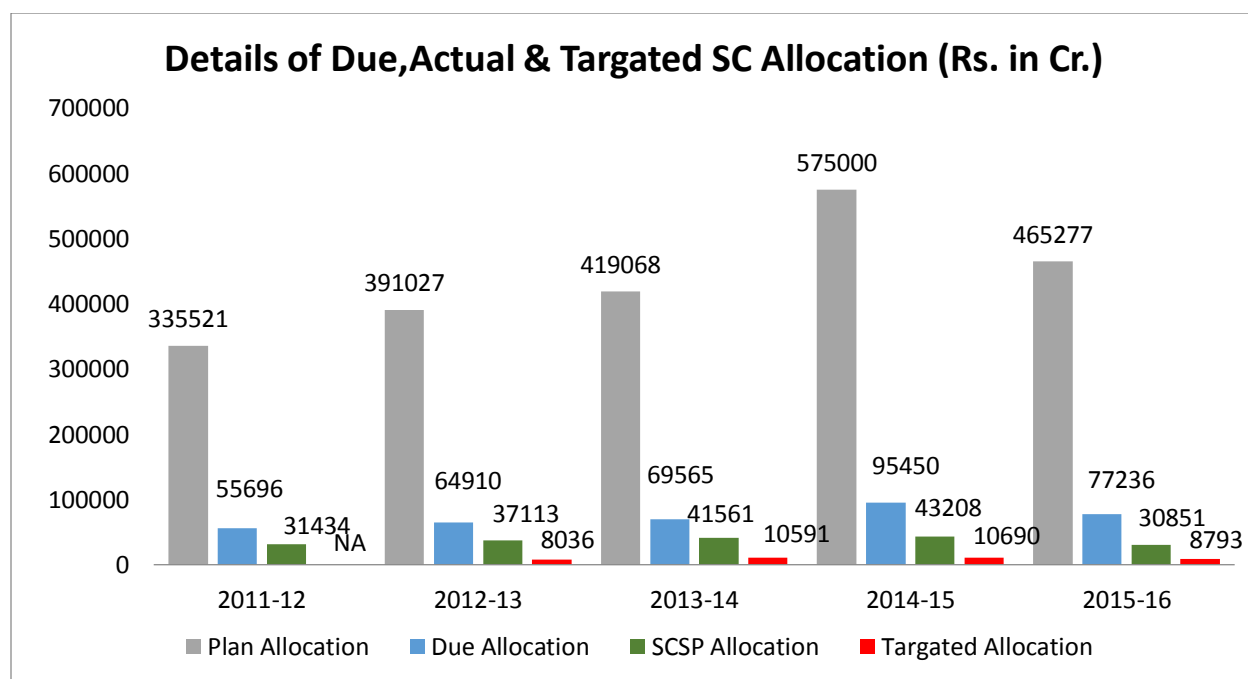
| | | | | |
|--------------------|--------------------------------------|--|-----------------|-----------------|
| 104 | | Grants for Engineering Equipment for SC/ST families | 800.00 | 600.00 |
| 105 | MSJE | Implementation of SC/ST POA Act | 600.00 | 0.00 |
| 106 | | Startup fund for Ex. Safai Karamcharies | 200.00 | 0.00 |
| 107 | | Rehabilitation of SC/ST Woman victim of Sexual Violence | 200.00 | 0.00 |
| 108 | | SC/ST pension programme | 400.00 | 350.00 |
| 109 | | Rehabilitation of SC/ST bonded labourers | 250.00 | 200.00 |
| 110 | | Rehabilitation of Devadasi, Jogini, Basavi etc. | 250.00 | 200.00 |
| 111 | | provision of basic amenities for most vulnerable SC/ST | 250.00 | 200.00 |
| 112 | | Establishment of Block Level Resource Centres for SC/ST communities | 300.00 | 100.00 |
| 113 | Tribal Affairs | Special fund for FRA Implementation | 0.00 | 500.00 |
| 114 | | Innovation fund for Tribal Cooperatives and Tribal Entrepreneurship | 0.00 | 200.00 |
| 115 | | Working Woman Hostel for Tribal Woman | 0.00 | 100.00 |
| 116 | | Rehabilitation of trafficked Women | 0.00 | 50.00 |
| 117 | | Nomadic, semi-nomadic and Vimukta jatis of SCs and STs. | 0.00 | 200.00 |
| 118 | | Innovation Development fund for Scheduled Areas | 0.00 | 100.00 |
| 119 | | Special fund for implementation of PESA in Schedule Areas | 0.00 | 200.00 |
| 120 | | Grants for Development of most vulnerable Tribal Groups | 0.00 | 400.00 |
| 121 | Women and Child Development | Overseas Scholarship for SC/ST Woman | 50.00 | 50.00 |
| 122 | | Hostels for Single SC/ST Working Woman in smart cities | 100.00 | 50.00 |
| 123 | | Cooperatives for SC/ST Woman Entrepreneurship | 100.00 | 50.00 |
| 124 | | Insurance Programme for Adolescent SC/ST Girls | 400.00 | 250.00 |
| 125 | | Savitri Bai Phule special fund for protection and empowerment of SC/ST Woman | 1500.00 | 1200.00 |
| 126 | | Insurance scheme for Sexually Abused SC/ST Woman | 800.00 | 600.00 |
| 127 | | Venture Capital for SC/ST Woman Entrepreneurs | 2000.00 | 1500.00 |
| 128 | Youth Affairs & Sports | Sports fellowship for SC/ST sports persons | 600.00 | 400.00 |
| 129 | | Pension scheme for ex-sports person | 200.00 | 150.00 |
| 130 | | Coaching assistance for SC/ST sports persons | 100.00 | 50.00 |
| 131 | | Birsa Ambedkar SC/ST sports talent development programme | 200.00 | 100.00 |
| 132 | | Overseas Training for SC/ST Sports Persons | 500.00 | 400.00 |
| 133 | Drinking water and sanitation | Provision for civic amenities for SC/ST families | 1200.00 | 800.00 |
| 134 | | Digital connectivity for SC/ST locality | 400.00 | 250.00 |
| 135 | | Drinking Water Tanks in SC/ST Localities | 1500.00 | 1300.00 |
| 136 | | Community Sanitation Programme in SC/ST Localities | 1200.00 | 800.00 |
| 137 | | Community Well Regeneration Scheme in SC/ST Localities | 800.00 | 600.00 |
| Grand Total | | | 81860.00 | 57600.00 |

Status of Allocation in SCSP & TSP

The policy clearly states to “Earmark funds under SCSP/TSP from the Plan outlay, at least in proportion of percentage of SC and ST population (16.2 and 8.2) under separate budget head /sub-head for each Central Ministry/ department”.

Allocation of SCSP & TSP in the last Five Years (Plan-Due-allocation-Targeted)

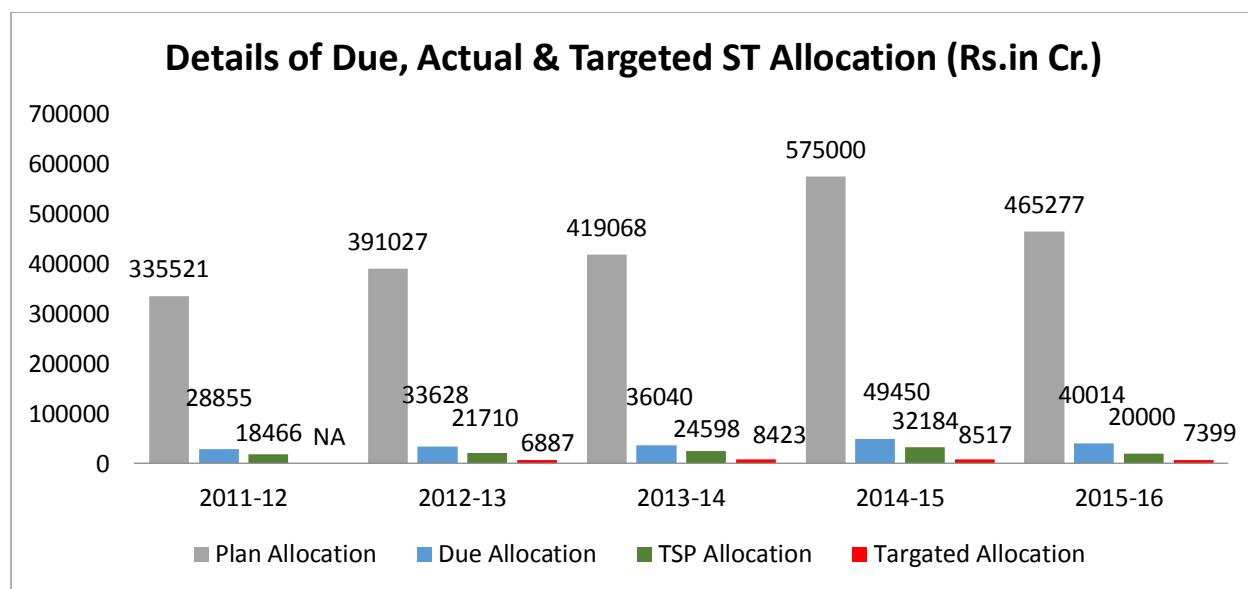
SCSP in the last five Years:



| S.No. | Year | Plan Allocation | Due Allocation | | SCSP Allocation | | Targeted Allocation | |
|-------|---------|-----------------|-----------------|----------------|-----------------|----------------|---------------------|----------------|
| | | | % of Allocation | Amount Rs. Cr. | % of Allocation | Amount Rs. Cr. | % of Allocation | Amount Rs. Cr. |
| 1 | 2011-12 | 335521 | 16.6 | 55696.5 | 9.37 | 31434.46 | NA | NA |
| 2 | 2012-13 | 391027 | 16.6 | 64910.5 | 9.49 | 37113.03 | 2.06 | 8036.19 |
| 3 | 2013-14 | 419068 | 16.6 | 69565.3 | 9.92 | 41561.13 | 2.53 | 10591.14 |
| 4 | 2014-15 | 575000 | 16.6 | 95450.0 | 7.51 | 43208.08 | 1.86 | 10689.60 |
| 5 | 2015-16 | 465277 | 16.6 | 77236.0 | 6.63 | 30850.88 | 1.86 | 8792.70 |

Source: Union Budget Volume 1, Statement 21

TSP in the last Last five Years:



| S.No. | Year | Plan Allocation | Due Allocation | | TSP Allocation | | Targeted Allocation | |
|-------|---------|-----------------|-----------------|----------------|-----------------|----------------|---------------------|----------------|
| | | | % of Allocation | Amount Rs. Cr. | % of Allocation | Amount Rs. Cr. | % of Allocation | Amount Rs. Cr. |
| 1 | 2011-12 | 335521 | 8.6 | 28854.81 | 5.50 | 18466.23 | NA | NA |
| 2 | 2012-13 | 391027 | 8.6 | 33628.32 | 5.55 | 21710.11 | 1.76 | 6887.28 |
| 3 | 2013-14 | 419068 | 8.6 | 36039.85 | 5.87 | 24598.39 | 2.01 | 8423.30 |
| 4 | 2014-15 | 575000 | 8.6 | 49450.00 | 4.65 | 32184.23 | 1.48 | 8516.75 |
| 5 | 2015-16 | 465277 | 8.6 | 40013.83 | 4.30 | 19999.59 | 1.59 | 7399.15 |

Source: Union Budget Volume 1, Statement 21A

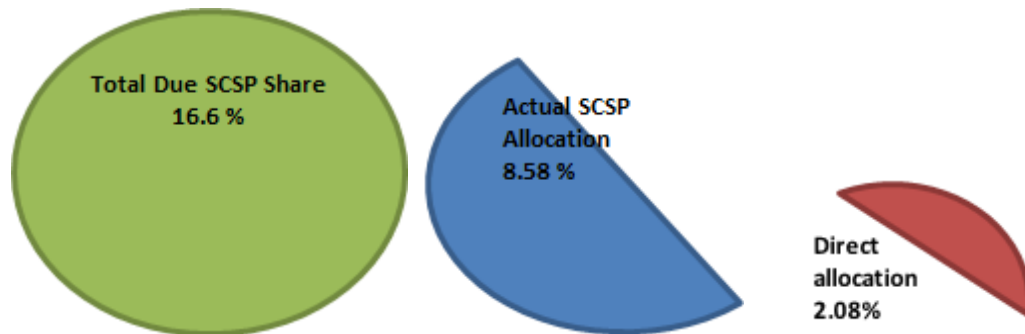
Observations:

After due analysis, the above tables give a picture of due allocations under SCSP-TSP, actual amount allocated as per Statement 21 and 21A – focusing on the direct or Targeted scheme that directly can be utilised by the SC/ST communities either as individuals, families or Basties.

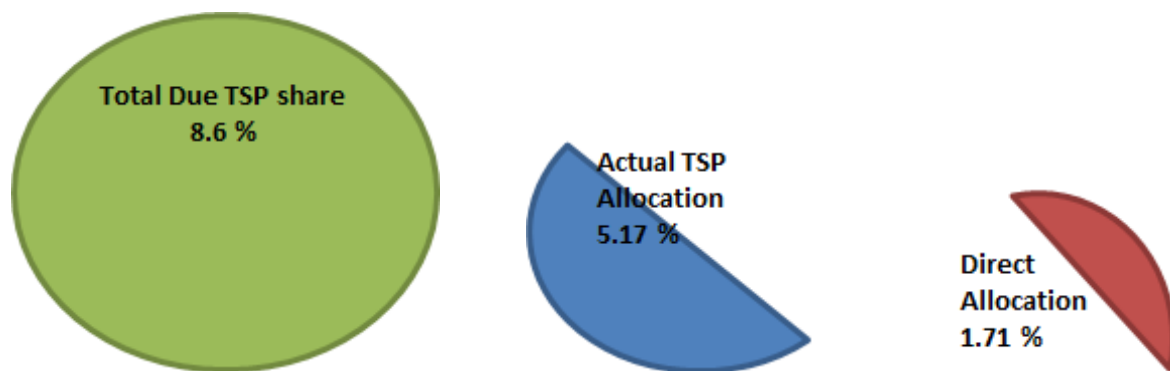
The table shows, 5 years series data of which 4 years all the three variables mentioned above are analysed. For the year 2012-13, it is analysed that Rs. 391027 is the amount of total plan out which the due allocation should be Rs. Cr. 64910.5 for SCSP and about Cr 33628.32 for TSP but only Rs. 8036.19 expected to reach the SC community and about Rs. 6887.28 expected to reach ST community. This points towards under allocation

over the last five years. On an average about 8.5% has been allocated for SC community as opposed to the designated 16.2%. Meaning therefore, that there has never been population proportionate allocation in the last 5 years. As one can see that the actual allocation that directly benefited the community is only an average of about 1.6% for SC and 1.3% for ST.

Current Allocation Trend of SCSP



Current Allocation Trend of TSP



Specific Problems allied with the implementation of SCSP & TSP:

- ✦ A large amount of funds under SCSP-TSP is allocated towards general programmes and schemes, which are not specially designed for SCs and STs. Many ministries and departments make huge amounts of 'notional' allocations in the Union Budget, which are mere paper figures and do not flow through special schemes directly benefitting SCs or STs. These include salary, administrative, construction and miscellaneous expenses.
- ✦ The Plan allocation made by various line departments meant for SCs and STs does not have enough scope for tailor-made projects and schemes suited to their specific needs.

- ⊕ Most of the direct benefit schemes are for survival, and not for development or empowerment or to bridge the gap. Survival implies that the schemes are only catering to the basic needs like nutrition, or just an adequate standard of living rather than focus on Rural Development; Agriculture and Allied Services; Industry & Mineral; Science, Technology and Environment and Transport. There is no focus on entrepreneurship, employment and skill development projects
- ⊕ There remains a critical administrative bottlenecks in implementation of the development programmes/schemes. Appropriate budgetary norms are not being followed and sufficient administrative, executive and accountability mechanisms to ensure proper use of funds meant SCs and STs are not in place in the states and districts. There has been poor utilisation of the allocated funds for the welfare of SCs and STs.
- ⊕ SCSP and TSP funds have been diverted to other sectors and purposes. Funds continue to be diverted from SCSP-TSP and are instead being used for general expenditure. E.g. Rs. 744 Crores from SCSP-TSP were diverted to cover the costs of the 2010 Commonwealth Games. In 2010-11, funds were diverted for Ring Road projects, salaries of college teachers, video conferencing facilities at Mandal Headquarters and so on. In 2011-12, funds were diverted towards government advertisements in print media, assistance to Andhra Pradesh State Road Transport Corporation (APSRTC) and in 2012-13, for projects like Hussain Sagar Lake, Catchment Area Improvement Project and Hyderabad Metro Rail Project².
- ⊕ There is a lack of transparency in many state budgets in terms of accessing public information regarding SCs and STs, and many state budgets do not publish summary statement on SCSP-TSP. In most of the cases in high quantum scheme like SSA there is no clear process on how the allocated funds are spent and therefore it becomes quite an opaque process to understand and there is total lack of transparency in the process.
- ⊕ The poor service delivery mechanism in the field is a serious constraint to attaining development outcomes as amount for the schemes not released on time and the beneficiaries not properly identified.

NCDHR has analysed the SCSP-TSP allocation, utilisation and implementation in the terms of government plans guidelines and accounts. Based on the analysis and field level study, this memorandum is prepared to bring the concerns and suggestions regarding the SCSP TSP which is an important initiative in closing the developmental gap between the SCs/STs and the rest of the communities.

Concerns

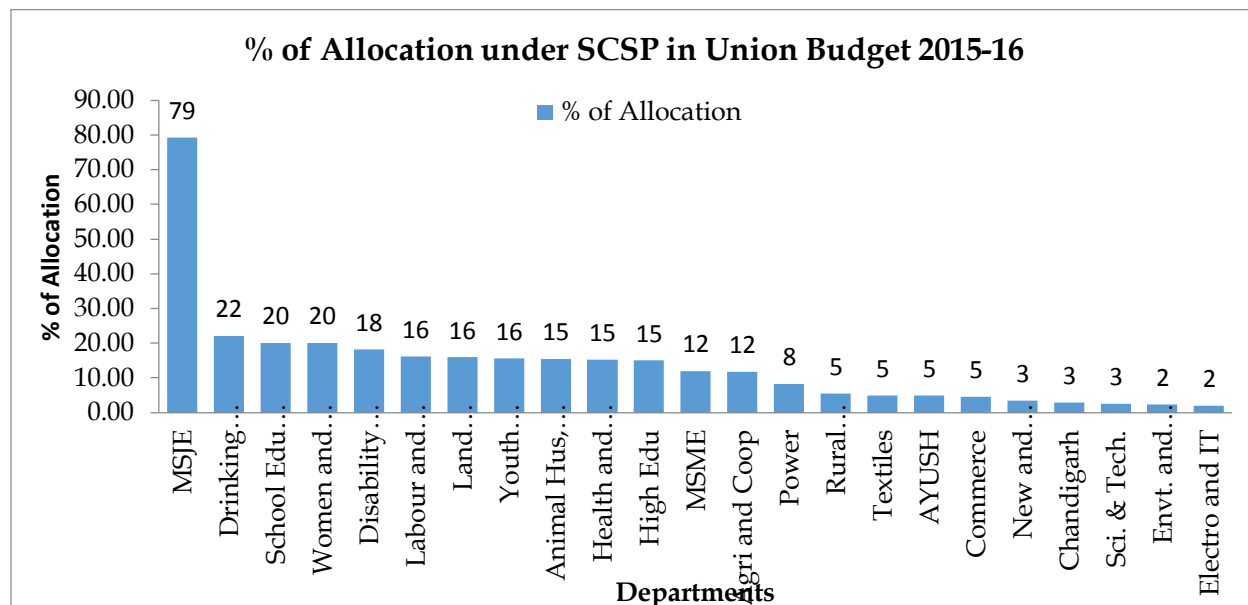
Growing gaps in Allocations; In spite of all the mechanisms and guidelines for TSP (1974) & SCSP (1979) drafted by the Government of India there is a large shortfall of proportionate allocations. Only around 50% of the due amount is allocated under SCSP

² www.tehelka.com

and TSP over the last decade on paper. The denied amount under these two sub-plans in the last 5 years is more than 2 Lakhs Crore.

Allocation of SCSP & TSP in Union Dept/ Min. in 2015-16

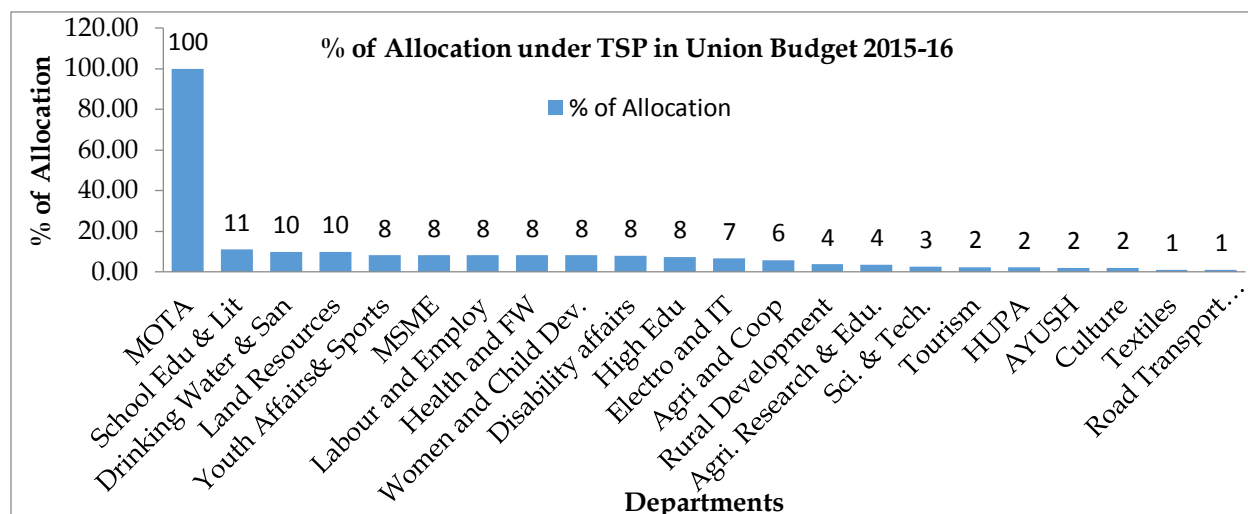
SCSP allocation in various Dept/Min:



Observations:

- A total of 23 departments/ministries have allocated for SCs under SCSP out of a total of 108 Min/ Dept (which excludes allocation for Daman and Diu)
- In terms of percentage of allocation, Ministry of social justice and Empowerment has allocated the highest allocation (79%) and lowest allocation is under Ministry of Electronics & IT (2%)
- Out of the 23 departments/ministries allocating under SCSP, only 12 departments/ministries are allocating a significant percentage i.e 12%-22%.
- Important ministries like Ministry of Housing & Urban Poverty Alleviation, Department of Panchayati Raj, Department of Industrial Policy & Promotion, Department of AIDS Control have NIL allocation under SCSP

TSP allocation in various Dept/Min:

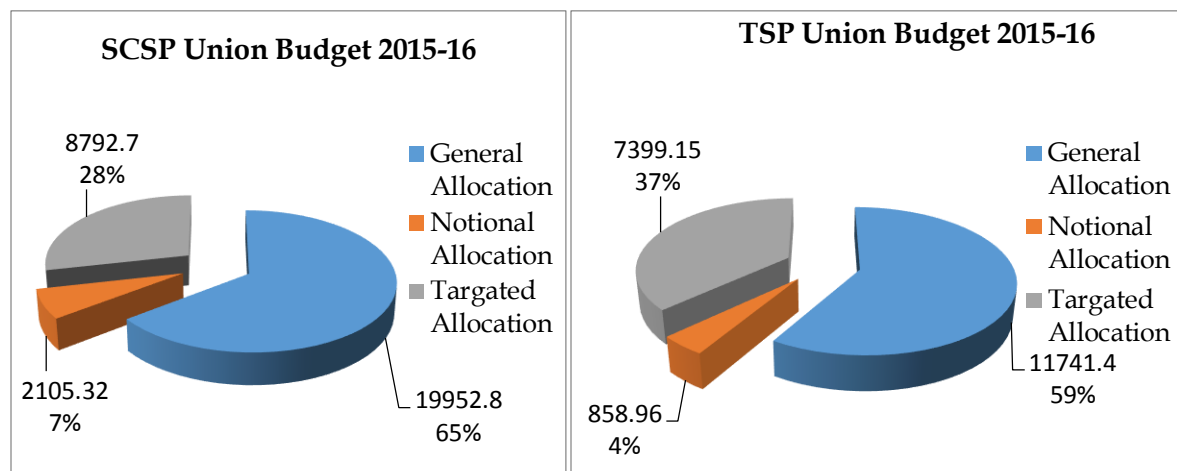


- ✓ Under TSP, 22 ministries are allocating out of total 108 Ministeries/Departments (which excludes allocation for UTs)
- ✓ Ministry of Tribal Affairs has allocated 100% fund for STs under TSP and another 12 departments/Ministries have allocated a significant percentage i.e 6%-11%
- ✓ Important Ministeries/Departments like Panchayati Raj, Power, Telecom, New and renewable energy and Mines have NIL allocation under TSP

Nature of SCSP and TSP allocation

The SCSP/TSP policy says that “Only those schemes should be included under SCSP/TSP which ensures **direct benefits** to individuals or families belonging to Scheduled Castes and Scheduled Tribes”.

Nature of allocation- Targeted, General and Notional (FY2015-16)



Observation:

- ✓ General allocation³ make up a major percentage of both SCSP and TSP allocation, around 60% of TSP allocation and 65% of SCSP allocation in FY 2015-16
- ✓ 28% of SCSP and 37% of TSP allocation are targeted allocation, which benefits SCs and STs directly and 7% of SCSP and 4% of TSP are Notional allocation⁴.

The policy guidelines also says that “SCSP and TSP funds should be **non-divertible** and **non-lapsable**”. But in our analysis it was found that –

- ✓ Under SCSP/TSP, 171 schemes are general and 235 notional. In these general and notional schemes, there is also a major chance of diversion of SCSP and TSP funds.

Concerns

75 % of Allocation is Notional or Non Targeted: The phenomenon of ‘notional’ allocations has plagued the SCSP-TSP from the early years of the policy implementation and, unfortunately, it still persists. More than 65% of the allocated amount is either ‘notional⁵’ or ‘non-targeted’ and has very minimal or no impact on the SCs and STs.

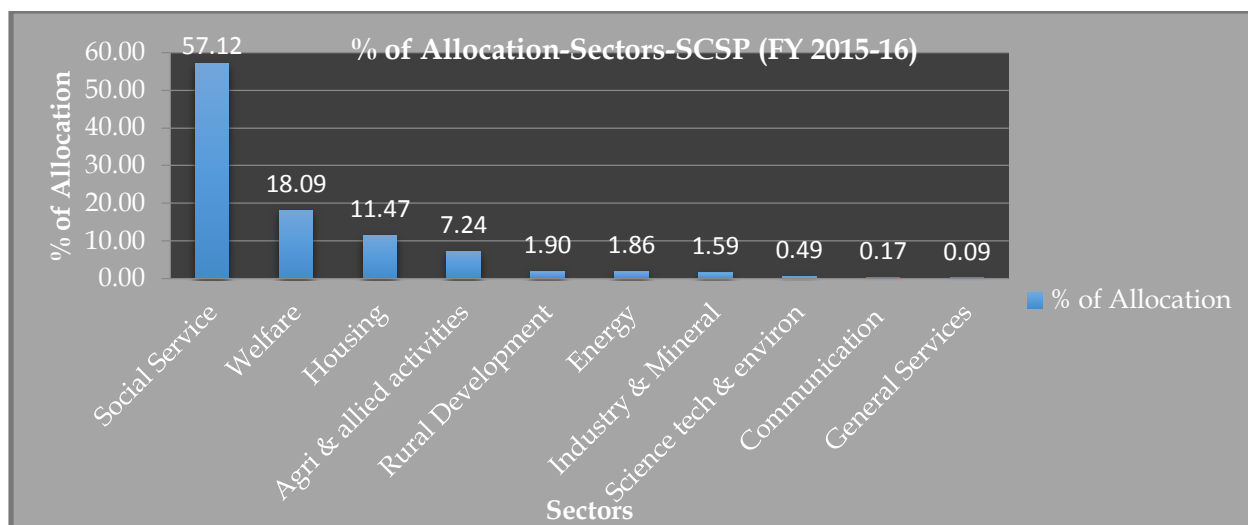
³ The allocation meant for overall population of the country not only for SCs/STs, where the benefits are not tracked to individual family or SCs/STs hamlets. Mostly the economic sectors are having general allocations – it is nothing but ‘retro-accounting’. There is very little or no direct flow to address the real needs of SCs and STs.

⁴ The allocation does not really or directly benefit the SCs 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 and departments are more in the nature of welfare and not oriented towards economic mobility, skill development, land purchase, employment or enterprise development which would directly enhance the living standards of the SCs. These are only “paper allocation” where population proportion budgets are reported as SCP allocations and utilizations.

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Allocation of SCSP & TSP in Different Sectors:

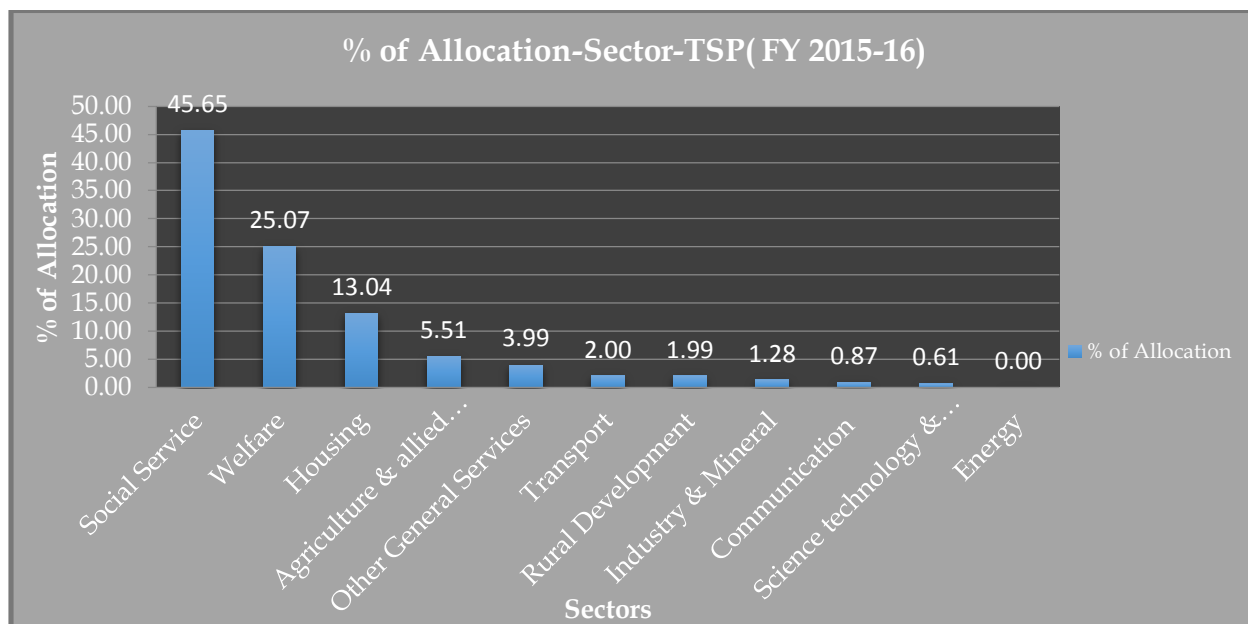
Sector specific allocation in SCSP



Observation:

- ✓ Almost 80% of the SCSP allocation in Union Budget 2015-16 comes under Social Service⁶ and Welfare sector. Housing and agriculture sector remains on third and fourth position with 11.47% and 7.24% allocation.
- ✓ Other sectors like rural development, Energy, Industry, Science, and Communication have very negligible allocation or No allocation.

Sector specific allocation in TSP:



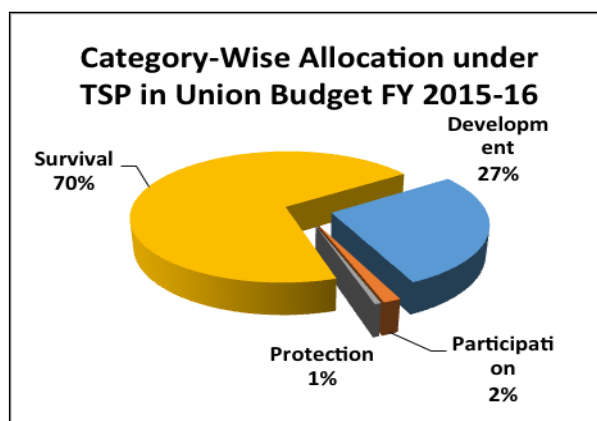
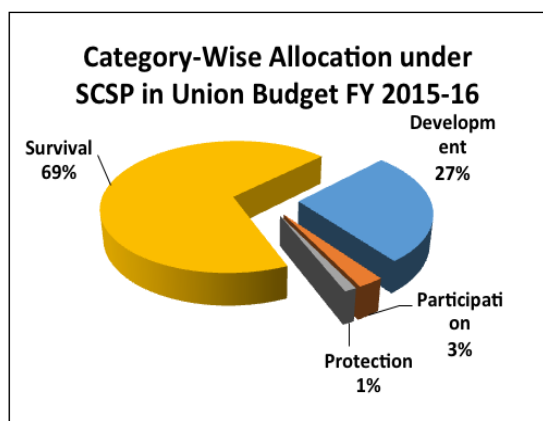
⁶ The social service are to promote social development which includes department like Education; Art and Culture; Medical and public Health; Women and Child Development; Water Supply and Sanitation

Observation:

- ✓ Social Service and Welfare sector have combined allocation of 70% out of total TSP in FY 2015-16, Housing and Agriculture comes third and fourth with 13% and 5.51% allocation.
- ✓ Transport, Rural development, Industry and communication sector have very little allocation in comparison to the other sectors

Category wise allocation (Survival, Development, Participation and Protection)

The Plan allocation/outlays are segregated as sector wise allocations. The graph in the above section shows that sector wise allocation which can be classified as for the 'social services' and 'economic service'. The Social services are to promote social development which includes department like Education; Art and Culture; Medical and Public Health; Women and Child Development; Water Supply and Sanitation. Most of the schemes under the social services are rendering social services which are of '**survival⁷ in nature**' for the SCs and STs. Economic Services Sectors includes Rural Development; Agriculture and Allied Services; Industry & Mineral; Science, Technology and Environment and Transport. These are the department which are considered as '**Development**' by nature. There are few sectors which have the component of social protection⁸ and provide the scope of Participation⁹.



Observation:

- ✓ Based on our understanding of the schemes for the SCs and STs, around 70% of the allocations are for the survival and only 27% for the development.

⁷ These include nutrition, shelter, an adequate standard of living and access to health care.

⁸ Schemes/programmes that cover issues such as social protection for SCs/STs, safeguards in employment, and protection and rehabilitation for persons who have suffered any form of abuse or exploitation

⁹ Schemes/Programmes that enables people to play an active role in their communities and societies, which include freedom to express opinions and to have a say in matters affecting their lives.

- ✓ Only 1% of the schemes comes under protection category for both SCSP and TSP and

Concerns

Insufficient allocation for Economic Inclusion: Insufficient allocations for development in the Economic Sector as most of the schemes are survival in nature. With an emphasis only on survival without 'special schemes' for the development, participation and social protection would perpetuate inequalities rather than pave way for bridging the development gap.

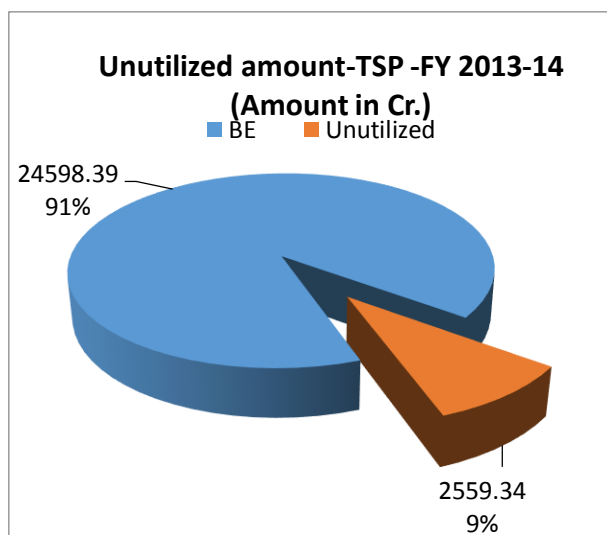
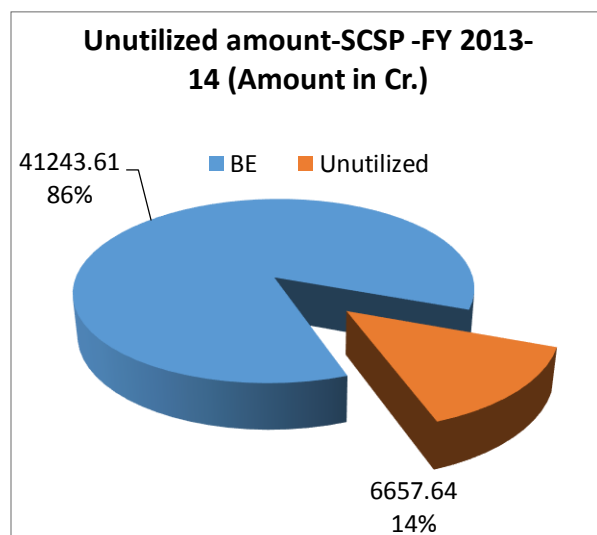
At the present juncture, it is imperative that government allocation should focus on livelihood protection along with the other growth engines sector of economy directly impacting the employment, entrepreneurship and livelihood strategies of the SCs and the STs.

Non-utilization of SCSP & TSP fund (2013-14 AE)

The SCSP & TSP policy guidelines mentions that “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”, which can be an important instrument in optimum utilisation of available SCSP & TSP fund.

Observation:

- ✓ A total Rs 9216.98 Cr. SCSP and TSP fund has been unutilized in the FY 2013-14, which is 14% for SCSP and 9% for TSP.



Concerns

Information pertaining to only 15 Ministries/Departments allocating funds under SCSP/TSP is available through RTI application. Out of the 15, only 10 have appointed nodal officers.

According to the Jadav Taskforce recommendation, 2010, a non-lapsable Central pool should be created to hold the money which remains unutilised at the end of a financial year. Now it is not clear whether such a pool has been created or not.

Other Major Concerns

Planning and Formulation of Schemes: The SCSP TSP allocations are simply a post facto accounting exercise and do not take into account the needs of the community while planning and formulation of the schemes. It lacks the much needed pro-active planning. Due to the lack of planning and participation of the community, the schemes are poorly designed and have little impact on the communities.

The 12th Plan – Vol-iii, page 247, Para 24.141 therefore notes that the SCSP-TSP para 24.14, strategy for 12th Plan will mean a paradigm shift from post- facto accounting to proactive planning for SCSP/TSP. The revised guidelines No. M-11012/03/2013-SJ&SW, Dated the 18th June, 2014 issued also reiterate this shift in approach.

Absence of necessary Institutional Mechanisms: Currently there is a lack of clear mechanisms and specific guidelines for formulation, allocation, monitoring and evaluation

Accountability and Transparency: There is a lack of transparency and accountability measures to ensure effective implementation of the plans. Schemes under SCSP and TSP are not sufficiently publicised with clear guidelines for concerned communities/people to utilize it effectively. There is little accountability in implementation.

Annexure 1

SUGGESTED SCHEMES UNDER SCHEDULED CASTE SUB PLAN AND TRIBAL SUB PLAN:

The Ministries/Departments and other agencies of the Centre and States shall, in particular give high priority to the following schemes:

I. Agriculture & Land

1. Providing agricultural land of a viable extent to all rural landless SC families including families with unviable extents of land;
2. Government could also set apart funds from SCP for Land Purchase, Land Development, Irrigation promotion, Irrigation management for Dalits.
3. Allocation from SCSP to buy WET lands and assign the same to the landless SCs
4. Funds from SCSP TSP could be utilised for purchase of tractors, ploughing/weeding/harvesting Machines, digging wells, motor pump sets, power connection, formulation of drip irrigation facilities etc., for cultivation
5. Government could set up a separate agricultural Institute/training centre/research wing/etc., for training and capacitating SC/ST Youth who involve in Agricultural activity through the funds of SCSP/TSP

II. Education

1. Residential schools of high quality to ultimately cover all SC/ST boys and girls and up to Class XII;
2. Coaching schemes of high quality in higher secondary school to equip the SC and ST boys and girls to compete for selections to professional and other higher educational institutions
3. Scholarships to all SC and ST boys and girls studying professional education – like engineering, nursing, medical, Business administration, management studies etc
4. Revise Post -Matric Scholarship (PMS) sharing pattern between the Union and States: At present government of India (GOI) starts with zero budgeting transferring 100% of previous 5 years commitment to respective states. This has resulted in the GOI Budget for Post-Matric-Scholarship not achieving any scale-jumping. Last year viz. 2013 GOI allocated only Rs.1,500/- cr. for the whole country for Post-Matric-Scholarship. Whereas one progressive state like TN or Andhra have made nearly Rs.1,000/- cr. allocation under the State Budget for the purpose. The goal of 100% upward mobility of all SC/ST +2 leavers to degree courses can be achieved if GOI expand its PMS Budget by 10 times i.e. Rs.15,000/- cr. p.a.
5. At least one Model residential Schools for SC and ST students in all 640 districts in India. 50% of this should be for girls
6. At least one pre matric hostel for SC and St Students in all 5564 Taluka/Thahsil in the country. 50% of these hostels should be for girls

7. Special fund to establish primary schools within 1 KM of for each and every SC and ST habitations across the country, at least 5000 schools should be established every year.
8. A facilitation Centre in every state for SC/ST students seeking higher studies both outside and inside the country; that can provide information, financial assistance, bridge courses, travel assistance etc
9. A finishing school in each state to enhance capacity of SC/ST students who are currently studying or have passed out from professional courses

III. Housing & Water & Sanitation

10. provision of house-sites and adequate houses with all facilities for all SC and ST families;
11. Provision of civic amenities and facilities necessary for SC and ST habitations, portable drinking water facilities, sanitation facilities; community hall with 24 x 7 electricity and computers to be used as study centres for SC and ST children and for other common developmental and welfare activities, internal roads, electricity, telephonic and digital links, postal and telegraph links,
12. Provision of ration shops, private shops, and other facilities.

IV Health

13. Health care facilities for all kinds of minor and major ailments; Schemes for reduction of neo-natal mortality, infant mortality, child mortality, maternal mortality, malnutrition, anaemia among SCs and STs, especially SC and ST children and women, and bringing them to the level of Socially Advanced Castes (SACs)

V Welfare & Social Security

14. Care, education and economic settlement of SC and ST persons with disabilities.
15. Pension facilities (old age person, PWD, widows, single women etc.)

V Rehabilitation of Bonded Labourers, Manual Scavenging & Devadasi

16. Total liberation, comprehensive and sustainable rehabilitation of bonded labourers and prevention of fresh recruitment of bonded labourers.
17. Total liberation and comprehensive rehabilitation of manual scavengers.
18. Measures for preventing fresh recruitment of manual scavengers and humanization of other sanitation services such as introduction of modern machinery to clear sewages without human beings having to get into man-holes.
19. Schemes for total liberation and comprehensive and sustainable rehabilitation of women subjected to traditional practices of sexual exploitation like Devadasi, Jogin, Basavi etc.

VI Skill Development & Entrepreneurship

20. Schemes for skill development, entrepreneurship development, fulfilment of reservations and equipping SCs and STs to compete successfully for open competition jobs and posts.
21. Schemes that will benefit SCs and STs directly and are related to Developing Human Resource Capacities for Providing Professional Services: data processing, computing and software development, trade and market development.
22. Schemes that will benefit SCs and STs directly and are related to Acquiring, Developing, Innovating and Producing Knowledge: doctoral and post-doctoral research within and outside the country, doing primary research projects in science and technology, attending conferences abroad, setting up private research institutes, fellowships for research projects and publications, etc.
23. Schemes that will benefit SCs and STs directly and are related to Acquiring, Owning and Building up Material Assets: owning agricultural land, irrigation facilities, land for housing and cemetery/cremation, private land for conducting commerce and business, private land for starting public educational institutions in arts, science and technology; public land for common use in SCs residential areas/hamlets; common property resources for grazing cattle and collecting firewood, etc.
24. Schemes that will benefit SCs and STs and are related to Developing Commerce, Trade, Business through Entrepreneurship Enterprises: Special loans with concessional interests for contractual business, for agricultural development, for self-employment commercial projects, for contractual projects, for commercial film production, etc.
25. Schemes that will benefit SCs and STs directly and are related to Managerial Skills Development: for skills development in managing human and material resources in institutions, etc.
26. Schemes that will benefit SCs and STs directly and are related to Political Empowerment for acquiring skills to utilize their franchise to collectively promote their basic and important interest; for acquiring skills for contesting elections, for training in political knowledge, for capacitating in political governance skills and for creating capacity to resist and repel improper influence of dominant classes of individuals in the exercise of their franchise.
27. An industrial/ IT 'incubation Centre' for SC and ST entrepreneurs with trainings on company management, provided with seed capital etc
28. Funds to be made available for horticulture & Seri-culture

VII Schemes related specifically to Scheduled Tribes

29. Schemes for preservation of tribal culture and tribal autonomy;
30. Schemes for fulfillment of tribal rights under the Scheduled Tribes and rights of other Traditional Forest Dwellers (Recognition of **Forest Rights) Act (FRA)**
31. Schemes for full operationalisation of the Panchayats (Extension to the Scheduled Areas) **Act, 1996 (PESA)**;
32. Schemes for the proper implementation of the Fifth and Sixth Schedules of the Constitution.

33. Restoration to Schedule Tribes of originally Tribal lands now in the possession or occupation of others and restoration and protection of traditional access to common resources and natural resources in tribal areas;
34. Special schemes tailored to the needs of nomadic, semi-nomadic and vimukta jatis of SCs and STs.

VIII Financial inclusion of SCs & STs

35. Government should come out with distinct collaborative venture with banks mandating not less than 20% of their credit flow to SCs. Whatever government guarantee or risk-cover that the financial institutions may expect should be adequately budgeted. Taking 20% of Rs.1 Lakh Crore as the credit flow for SCs a total amount of Rs.20 Lakh Crores will be the target for the financial sector. At least for 10% of this amount which will be Rs.2 Lakh Corers, the government should extend sovereign guarantee and also statutorily mandate the banks to comply with.