

Dalit Adivasi Budget Watch: 2015 to 2017

National Campaign on Dalit Human Rights-Dalit Arthik Adhikar Andolan



- Education
- Employment
- Energy
- Entrepreneurship
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- Equity
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- Women & child rights



Dalits - a people, a culture, a history



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National Campaign on Dalit Human
Rights-Dalit Arthik Adhikar Andolan



How long shall we continue to live this life of contradictions?

How long shall we continue to deny equality in our social and economic life?

If we continue to deny it for long, we will do so only by 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 Assembly has so laboriously built up.

—BR Ambedkar



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Foreword

I am happy to present to you '*Dalit Adivasi Budget Watch: 2015-17*', by DAAA- NCDHR. It is a commendable outcome of the laborious, painstaking and meticulous work by the organisation. I have known the National Campaign on Dalit Human Rights (NCDHR), who have been advocating for the rights of the Dalit and Adivasi in our country, for several years. They have also been advocating for the effective implementation of SCSP-TSP, and the so-called *Jadhav Guidelines* of 2010, on the subject.

The Sub-Plans—Scheduled Caste Sub Plan and Tribal Sub Plan (henceforth SCSP-TSP)—were introduced to bring about overall development of SC/ST communities through targeted budgeting. They are in accordance with the guiding principles for the functioning of our democracy. They form the core of social development by matching the needs of well-meaning public policy with available resources so as to ensure effective implementation.

To meet this end, monitoring budgets become important. NCDHR has made considerable efforts, and has been educating leaders of the Dalit and Adivasi community to understand the workings of budgets and conduct the necessary and vital analysis.

According to Census 2011, Scheduled Castes form 16.6% and Scheduled Tribes form 8.6% of the population. Together, they constitute 25.2% of India's population. Along with Muslims, the three social groups (DAM, i.e. Dalit, Adivasi and Muslims) constitute the largest block of the most vulnerable and marginalised social groups, which represent the bottom-most section on all socio-economic indicators in the country.

Official figures from 2009-10 show that the highest incidence of poverty is found among Adivasis (32.5%), followed by Dalits (29.6%), which is higher than the national average (21.6%) for the same period. The high instance of poverty is linked to absorption of the labour force in the economy. Official figures for the same period reveal that a majority of Dalit and Adivasi labourers work as casual wage labourers—51.2% Dalits and 42.5% Adivasis—with abysmally low and irregular incomes. Their access to regular salaried jobs is limited, with only 14% of Dalits and 8.1% of Adivasis gaining employment therein.

Further, landlessness among Dalits has increased since 1991. In 1991, 70% of total Dalit households were

landless or near landless (owning less than one acre). This increased to 75% in 2000. The prevalence of such high levels of poverty and economic disparity among the most vulnerable and marginalised population indicates, at best, a limited success of a planned and redistributive economy. Further, it has been re-enforcing caste and caste-based divisions of our society, and severely compromising basic human rights of children.

In such a scenario, SCSP-TSP assumes even greater significance as a means to ensure enjoyment of human rights by the most vulnerable and the marginalised. Under the circumstances, budget analysis and watch is of immense importance to the working of our democracy.

The current document analyses budgets for 2015-16 and 2016-17 for 15 states and the Union from the point of view of the Sub-Plans. The imperative need, as the document shows, is for a renewed and rigorous policy, and its effective implementation to realise the fruits of SCSP and TSP. The analysis and publication provides a roadmap to take forward our efforts and work.

I urge NGO-networks and policymakers to utilise the analysis and incorporate it in their work. It is only better implementation of SCSP-TSP that would ensure development of these communities, especially at the panchayat, block, district and state levels.

I wish this publication, all the very best.

Dr Narendra Jadhav
Member of Parliament (Nominated)
Rajya Sabha

Preface

India is one of the few countries that has recognised the significance of targeted budgeting, which is critical to ensure that historically discriminated communities need specific measures to address the economic gaps that exist. The Dalit Arthik Adhikar Andolan of the National Campaign on Dalit Human Rights (DAAA-NCDHR) has been working for several years to demystify budgets, and analyse them for Scheduled Castes and Scheduled Tribes and those working with them for empowerment. The attempt is to hold governments accountable to their promises made through the budgetary allocations in the Scheduled Caste Sub Plans and Tribal Sub Plans, which were crafted to bridge the development gap between Dalits/ Adivasis and other castes.

These are brilliant policies that, if executed well, will change the very nature of development for Dalit and Adivasi communities. It is indeed a forward thinking policy which allocates a population proportionate percentage for the welfare and development of Dalits and Adivasis. However, the true potential of these sub-plans have not been realised: their implementation, for the last several decades, has been extremely poor, and violates all the norms and guidelines set by the Planning Commission.

It is critical now to look at development through the lens of human rights and strengthen implementation through the principles of non-discrimination, participation and equality.

DAAA-NCDHR has studied publicly available budget documents to place before you the current scenario of budgets, both at the Union level and in 15 states across the country. This is a comprehensive picture taking into account four categories of budgets: allocated amounts, notional or paper allocations, targeted amounts and quality of schemes that directly impact the community.

The situation is quite grim across the country. A lot of talk on development for the marginalised is simply still rhetoric and more needs to be done for this to become a reality. The report brings out the main trends of insufficient allocations and how a very small percentage of the allocated amount reaches the communities. Gross diversions are rampant in the Sub-Plans, and this has been noted not only in the Union but all the states.

There are several great schemes that deserve mention, but there are also many archaic schemes, which should be either scrapped or new innovative schemes developed. There is no focused approach to ensure that women from Dalit and Adivasi communities are part of the development, and therefore more needs to be done in this regard.

This report is not only a stark reality of what is, but it also brings home the point that formulation of any policy for any community needs participation from the community, and they need to be part of the planning process. The community should have the right to planning, which will strengthen access to resources and development. Only then these Sub-Plans will be able to address the gaps and challenges, and have meaning to ensuring development to the community.

I would like to acknowledge the Dalit Arthik Adhikar Andolan-NCDHR team for all their hard work and inputs into the research, and the rest of the team for their support in ensuring that we bring this out on time. I would like to specifically acknowledge that members of the marginalised communities face several challenges as a result of non-implementation of these sub-plans, but fight on with determination and amazing grit. They are the heart and soul of the economy, and work tirelessly without much returns. Salute to their resilience!

N Paul Divakar
General Secretary
DAAA-NCDHR

Abbreviations

ADB	Asian Development Bank	MSJE	Ministry of Social Justice and Empowerment
AE	Actual expenditure	MSP	Minimum support price
AIBFMP	Accelerated Irrigation Benefit & Flood Management Programme	MTF	Maintenance fees
AIBP	Accelerated Irrigation Benefits Programme	NABARD	National Bank for Agricultural and Rural Development
AMRUT	Atal Mission for Rejuvenation and Urban Transformation	NCRB	National Crime Records Bureau
AP	Andhra Pradesh	NDA	National Democratic Alliance
BE	Budgeted expenditure	NHM	National Health Mission
BPL	Below poverty line	NRLM	National Rural Livelihood Mission
BSP	Bahujan Samaj Party	NSSO	National Sample Survey Office
CAG	Comptroller and Auditor General (of India)	PIP	Programme Implementation Plan
CC	Concrete	PMAY	Pradhan Mantri Awaas Yojana
CGC	Coaching-cum-guidance centre	PMFBY	Pradhan Mantri Fasal Bima Yojana
CI	Circle inspector	PMGSY	Pradhan Mantri Gram Sadak Yojana
DDG	Detail demand for grants	PMKSY	Pradhan Mantri Krishi Sichai Yojana
DPO	Divisional police officer	PTG	Particularly vulnerable tribal groups
EAP	Employee assistance programme	RKVY	Rashtriya Krishi Vikas Yojana
ES	Elementary school	RMSA	Rashtriya Madyamik Shiksha Abhiyan
FFC	Fourteenth Finance Commission	RTF	Reimbursement of tuition fees
FW	Family welfare	RTI	Right to Information
FY	Financial year	RUSA	Rastriya Uchchar Shiksha Abhiyan
GoI	Government of India	SC	Scheduled Caste
HDR	Human Development Report	SCP	Special Component Plan
HH	Household	SCSP	Scheduled Caste Sub Plan
HUDCO	Housing and Urban Development Cooperation	SDPO	Sub-divisional police officer
IAY	Indira Awaas Yojana	SP	Samajwadi Party
ICDS	Integrated Child Development Scheme	SP	Superintendent of Police
ITDA	Integrated Tribal Development Authority	SRE	Security related expenditure
MAMATA	Conditional Cash Transfer for Pregnant Women	SSA	Sarva Shiksha Abhiyan
MFP	Minor forest produce	ST	Scheduled Tribe
MGNREGA	Mahatma Gandhi National Rural Employment Guarantee Act	TSP	Tribal Sub Plan
MoTA	Ministry of Tribal Affairs	UGC	University Grants Commission
		UP	Uttar Pradesh
		UPA	United Progressive Alliance

Glossary

Adivasi: Tribal or indigenous person in India

Backward caste: Caste position below forward castes in the ritualised social hierarchy

Crore: 1,00,00,000

Dalit: Literally meaning 'broken people', a term employed by rights activists to denote 'untouchables' or scheduled castes—the lowest group in the ritualised social hierarchy of the caste system, facing widespread discrimination on the basis of work and descent.

District Magistrate/Collector: Administrative head of a district with quasi-judicial powers

Dominant caste(s): Social groups with ascribed ritual status, and economic and political power, exercising dominance over Dalits in particular. Invariably, the term refers to every caste—except for scheduled castes and tribes—who are dominant vis-à-vis Dalits.

Scheduled caste: Official terminology used to connote those communities listed by the Government of India as castes characterised by extreme social, educational and economic backwardness arising out of the traditional practice of untouchability, for the purposes of accessing special development, protection and affirmative action schemes.

Scheduled tribe: Official terminology used to connote those communities listed by the Government of India as tribes characterised by extreme social, educational and economic backwardness arising out of segregated living spaces and indigenous cultural backgrounds, for the purpose of accessing special development, protection and affirmative action schemes.

SCP: Special Component Plan. The old term for Scheduled Caste Sub Plan (SCSP). This is targeted budgeting aimed

at development towards Scheduled Castes by allocating budgets proportionate to the population of the total plan budget under Union and state budgets.

SCSP: Scheduled Caste Sub Plan, or what was previously known as Special Component Plan (SCP). This is targeted budgeting aimed at development towards Scheduled Castes by allocating budgets proportionate to the population of the total plan budget under Union and state budgets.

TSP: Tribal Sub Plan. This is targeted budgeting aiming towards Scheduled Tribe by allocating population proportion of the total plan budget under Union and State Budgets.

Targeted allocation: Budget allocation that may benefit SC communities through individual and basti-oriented schemes as mentioned in the SCSP guideline "Guideline for Implementation 'Scheduled Caste Sub Plan', Planning Commission (2006)".

Notional allocation: The allocation does not really or directly benefit SCs, or pull them above the 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 SCs. These are only "paper allocations", where population-proportion budgets are reported as SCP allocations and utilisations.

Non-direct/general allocation: Allocation meant for the overall population of the country, and not just 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.

Executive Summary

I. Introduction

The Scheduled Caste Sub Plan (SCSP) and Tribal Sub Plan (TSP) were formulated in 1979 and 1974, respectively, to bridge the development gap between Scheduled Castes (SCs), Scheduled Tribes (STs) and the rest of society. The principles of equitable resource distribution, social justice and inclusion were fundamentals to these policies, and the schemes under these policies are to be designed to ensure direct benefits to the SC/ST communities and initiate an equitable growth model across the country.

It was only after continuous pursuance by Dalit-Adivasi organisations that, finally, Scheduled Caste Sub Plan-Tribal Sub Plan (SCSP-TSP) funds started having unique identification codes (that is, 789 and 796), along with operationalisation of the **Jadhav Committee**¹ report for categorising ministries, which must allocate and spend sub-plan funds on priority. But even after these interventions, the critical question remained effective implementation of sub-plans as per the objectives and in accordance with newly introduced guidelines.

This study brings forth our important analysis of sub-plan for financial years 2015-16 and 2016-17 for the Union budget and 15 state budgets. This document is extensively based on this quantitative analysis.

We are aware that a universal framework of analysis may tend to miss the nuanced understanding of variations at the state level. But on the whole, the universal framework allows us to give an overall picture, which will be useful for various stakeholders engaging with the Union and state budgets.

Methodology

Based on our understanding of sub-plan budget analysis, there can be 5 stages of effective budget implementation: (a) allocations; (b) targeted allocations; (c) expenditure; (d) quality of schemes; and (e) actual implementation. In this document, we have dealt extensively with the first four analysis of sub-plan budgets. We have not included the physical achievement, or the implementation part, for the reason that the final part will tend to obscure a more clear understanding of the first four stages of budget implementation.

The main source of evidences gathered in this document is the detailed demand for grants (DDGs) of the Union and 15 states, which gives a very complex understanding of how the objectives of the sub-plan are largely defeated in the budget

books itself and calls for specific remedial measures for ensuring that the SCSP-TSP is effectively utilised in the social and economic empowerment of the SC/ST communities.

II. Analysis

Due allocation

At present, all Union ministries and departments allocating fund under SCSP-TSP report these allocations separately under minor head code 789 and 796² in accordance with the guidelines. But at the state level, except for **Gujarat, Madhya Pradesh and Kerala**, all other studied states have opened the SCSP & TSP minor head codes. Even though some states publish separate budget books and some show allocations under specific major heads, it does not fully serve the purposes of opening minor head 789 and 796.

The SCSP-TSP policy espouses, **“ earmark funds under SCSP/TSP from the Plan outlay, at least in proportion of percentage of SC/ST population under separate budget head/ sub-head for each ministry/department in Union and States”**. However, over the years, the performance of the Union and state governments has been disappointing to meet this end. Our analysis shows that the Union with Delhi government performs the poorest in allocating budgetary resources in proportion to the population in 2016-17. It has miserably failed to follow the prescribed norms. As a result, one can account for substantial under allocations in various Ministries/departments.

In 2016-17, many states have improved their allocations for SCs and STs in their annual budget in comparison to previous years. However, the Union government fairs worse along with Delhi government. Union government allocated as less as 7.06% (due 16.6%) and 4.36% (due 8.6%) under SCSP and TSP, respectively, much below the due mandatory allocation.

Our analysis of SCSP across 15 states reveals that states like Delhi, Rajasthan and Jharkhand have allocated less than their population proportion of SCs. The denial amount is as high as 13.33% (Rs 2,746 crore), 9.89% (Rs 8,655 crore) and 7.56% (Rs 2,430 crore), respectively. States like Gujarat, Haryana, Odisha and Telangana have also allocated less than the required allocation for Dalits, with the denial amount crossing Rs 5,340 crore for all these states. Contrarily, in some states, there has been over allocation under SCSP. These states are Andhra Pradesh, Madhya Pradesh and Bihar, and amount is Rs 1,512 crore.

The case of TSP reveals that in most of the states the allocations were either in proportion to the population or in excess, with Jharkhand and Kerala topping the list of the states allocating Rs 1,881 crore and Rs 310 crore in 2016-17 respectively. These allocations were 5.07% and 1.32% more than the due mandatory amount. However, this did not translate into allocations being made towards programmes, in accordance with the guidelines issued by the Planning Commission. A deeper analysis of the TSP allocations shows that more than half the funds allocated under TSP are spent on schemes and programmes that are very general in nature and have no direct implications towards the development of the community in question.

Targeted allocation

As per Jadhav Committee Guidelines, the “target allocation” means that the budgetary allocations towards schemes directly benefit the SC/ST communities through focus on individual, basti/hamlet or community. Our analysis finds that as a result of major allocations made towards non-targeted schemes/programmes, a very nominal share of the SCSP-TSP is left that is allocated towards “targeted schemes”. At the Union Level, in 2016-17, only 18% of the total SCSP allocations are direct/targeted allocations. Similarly, analysis of the states revealed that in Karnataka, Jharkhand, Rajasthan and Uttar Pradesh, 12%, 20%, 30% and 20%, respectively, were direct/targeted allocations. Kerala preforms better in comparison to the other states, with 97% of allocations being direct/targeted in nature.

In the case of TSP, at the Union level, only 37% of the total TSP allocation is direct/targeted allocation, which is marginally better than SCSP. Among the states, Karnataka, Uttar Pradesh, Rajasthan and Jharkhand were allocating the least amount under targeted schemes for STs. Kerala was seen to be performing comparatively better in allocating resources towards direct/targeted schemes.

A combined analysis of allocation made under the Union budget and state budget revealed that only 23-25% of the total SCSP-TSP allocations are targeted towards the real development of SC and ST communities in India. SCSP-TSP allocations have been routinised, trivialised and converted into statistical-arithmetical exercises, which do not make a direct impact to bridge the development gap to the conditions of SCs/STs.

This trend is also reflected across the different states that were analysed. A major proportion of the fund allocated under SCSP-TSP is towards non-targeted/notional schemes. States like Odisha, Maharashtra, West Bengal, Jharkhand, and Madhya Pradesh were found to be allocating more than 80% towards

non-targeted/notional schemes.

According to our analysis, the total amount for non-targeted allocation under SCSP across 15 states was Rs 1,12,358 crore, which is 76% of overall SCSP allocation in all the 15 states. Under TSP, the same allocation pattern was seen to be followed. Non-direct allocations in the listed schemes amount to Rs 62,045 crore, with no specific focused development initiatives for members of ST community. States like Jharkhand, Madhya Pradesh, Odisha, Maharashtra and West Bengal were found to be allocating significantly towards the non-targeted/notional allocation under TSP.

It is important to mention here that the policy guidelines states that **“SCSP and TSP funds should be non-divertible and non-lapsable”**. But our analysis reveals that under SCSP, out of total 294 schemes, 205 are non-direct in nature; under TSP, out of total 307 schemes, 212 schemes are non-direct in nature. In these non-direct schemes, there is also a major chance of diversion of SCSP-TSP funds for purposes that do not lead to the actual development of SCs/STs.

Social and economic services-allocation

In Statement 21 and 21A, plan allocations/outlays are segregated by three sectors. Seen through the prism of outcomes, these sectors can be classified under ‘social services’, ‘economic services’ and ‘general services’. While general services mostly deals with administrative expenditure, we are dealing exclusively with the social services and economic services in this analysis.

Social services promote social development, and include departments like education, art and culture, medical and public health, women and child development, water supply and sanitation. Most of the schemes mentioned here render social services for members of the SC/ST community and are oriented towards survival³. According to our analysis, the schemes within the social services for SCSP, which are oriented towards survival amounts for 75% of the sub-plan, whereas for TSP, it is 84%.

Economic services includes departments like rural development, agriculture and allied services, industry and minerals, science, technology, environment and transport. The allocation of SCSP within economic services amounts to 26% and TSP to 13%. These departments are ‘developmental’ in nature.

While social protection and social participation is considered essential for SC/ST communities, it has been ignored by planners and seriously absent in the above-

¹ Guideline for Implementation “Scheduled Caste Sub Plan”, Planning Commission (2006)

² **Minor Code of 789 and 796:** Minor Head Code 789 for SCSP and 796 for TSP were initiated to differentiate the Dalits and Adivasis Budgets from other sector budgets. Without this, there is a greater chance of fund diversion for purposes that are not intended in the Budget estimates (BE).

³ These include nutrition, shelter, adequate standard of living and access to healthcare.

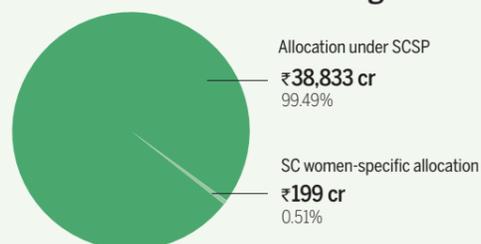
mentioned three categories. As a result, there are a few sectors that have the component of social protection⁴ and provide the scope of participation⁵.

Over the years, it has been observed that this uneven distribution of budgetary allocations across schemes is mainly due to lack of effective planning and involvement of community in the budget-making process, hence not reflecting their needs.

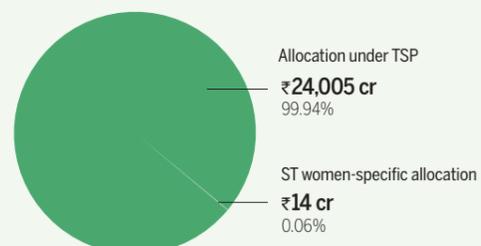
III. Dalit and Adivasi women allocation

Further, a closer look at the gendered dimension of the budget revealed that like previous budgets, Dalit and Adivasi women received meagre amounts under the SCSP-TSP budget. The budgets under study followed the pattern set by previous budgets. Dalit and Adivasi women are neglected within the Dalit and Adivasi budgets, as well as negated in the Gender Responsive Budget.

1.1: SCSP allocation versus SC women-specific allocation in Union Budget 2016-17



1.2: TSP allocation versus ST women-specific allocation in Union Budget 2016-17



A paltry sum of Rs 507 crore (1%) for Dalit women and Rs 539 crore (2%) for Adivasi women has been allocated from the total SCSP-TSP budget. Only the MSJE & MOTA has made allocations for SC and ST women, and there is a negligible allocation in other departments. No other ministry/department has gender-focussed allocations.

According to Census of India 2011, there are 914 women

for 1,000 women, and SC and ST women constitute 48.4% and 49.5%, respectively, of the total SC/ST population. Therefore, 1% budgetary allocation could be termed as an economic offence against SC/ST women. Similar trends are seen across states, with both Union and State governments allocating only in 3-4 women-oriented schemes.

IV. Non-utilisation of SCSP and TSP fund in union

The SCSP & TSP policy guidelines mention “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”⁶. From our analysis it emerges that this is an important instrument necessary for optimum utilisation of funds available under SCSP-TSP.

By analysing the Actual Expenditure (AE) for Union Budget of 2014-15 and 2013-14, Rs 20,513 crore and Rs 6,974 crore had remain unutilised under SCSP. In TSP, the utilisation status is equally grave at Union level. The AE of 2014-15 and 2013-14 shows that, Rs 12,427 crore and Rs 2,559 crore remained unutilised, respectively. As a result, SC/ST communities are facing multiple layers of deprivation in access to their economic rights.

Usually, allocations under SCSP-TSP are less than the proportion of the population. Secondly, the funds that are allocated under SCSP-TSP are mainly towards non-related schemes. And lastly, the allocated fund is under-utilised.

As per CAG performance audit report No. 33 of 2015: “The Planning Commission stated (October 2014) that the provision for creation of Non-Lapsable Pool of Resources was yet to be created. Further, The Ministry of Tribal Affairs also replied (October 2014) that the Non-Lapsable Central Pool of TSP Funds (NLCPTF) had not been formulated so far and thus, that Ministry had not received any funds in this regard. Thus, the concept of transfer of unutilized TSP funds to NLCPTF remained a non-starter”. So in our common understanding, it is clear that the thousands of crores unutilised SCSP and TSP money is lapsed every year due to unavailability of “Non-lapsable Pool of SCSP-TSP Funds”.

Another reason for this huge under-utilisation of SCSP-TSP money is the nodal ministries for different sectors failed to monitor the utilisation of funds released under SCSP/TSP. At the Union Level, only 15 ministries/departments have appointed nodal officers. In many cases, where nodal departments were

1.3: Sector-wise categorization of proposed scheme allocation in SCSP and TSP

	Nature of scheme	SCSP (Rs cr)	% of SCSP	TSP (Rs cr)	% of TSP
1	Education (School & Secondary)	21,000	20.00	10,846	19.94
2	Education (Higher & Professional)	15,500	14.76	7,500	13.79
3	Civic Amenities (Water, Electricity, Connectivity)	15,000	14.29	7,500	13.79
4	Land, Agriculture, Horticulture, Fisheries, Animal Husbandry	15,000	14.29	9,000	16.55
5	Women Related Schemes (Exclusive for SC/ST Women)	10,997	10.47	5,750	10.57
6	Entrepreneurship	8,000	7.62	2,500	4.60
7	Social Protection	6,000	5.71	3,000	5.52
8	Health & Family Welfare	5,000	4.76	2,500	4.60
9	Livelihood Generation & Poverty Alleviation	3,000	2.86	2,500	4.60
10	Housing	2,200	2.10	1,100	2.02
11	Employment & Skill Development	1,300	1.24	650	1.19
12	Access to Justice	1,200	1.14	800	1.47
13	Participation (Local Governance)	800	0.76	750	1.38
	Total	104,997	100.00	54,396	100.00

Sectors arranged in descending order of SCSP allocations

constituted, they did not have any role/control over formulation, implementation and monitoring programme of SCSP and TSP.

V. Recommendations

We, therefore, recommend the following:

1. Abolish ‘post facto accounting’: Schemes need to be planned so as to ‘bridge the development gap’ of SC/ST communities and not just a ‘post facto accounting’ of general and notional allocations made in the name of SC/STs, which do not have any direct benefit to them.

2. Set aside SCSP/TSP funds for real schemes—no notional allocations: The ministry in the budget designed for 2017-18 needs to set aside budgetary allocations proportionate to 16.6% for SCs and 8.6% for ST under SCSP-TSP. As per the guidelines, the due SCSP is approximately Rs 1,04,997 crore and due TSP is Rs 54,396 crore.

3. Economic Sector Schemes must be increased: After extensive consultation with the community at state and national level and people’s SCSP-TSP budget is herewith proposed, which has an increased proportion of economic sector such as entrepreneurship, employment & skill development and participation related schemes. (See Figure 1.3)

4. Special focus for SC/ST Women: Apart from the 10% specific allocation for women in SCSP and TSP as recommended in the above table, there should be special mechanism to prioritise women beneficiaries especially in agriculture, land and livelihood, entrepreneurship, employment & skill development, higher and professional education, social protection, housing and participation related schemes.

5. Empowered Institutional Mechanism: At the Centre and the State level, the implementation and monitoring to be entrusted to Ministry of Social Justice and Empowerment (SCSP) and Ministry of Tribal Affairs (TSP) which are sufficiently

empowered to oversee effective implementation and monitoring – these should include exclusive senior Secretary, Joint Secretaries, Economic advisors, a well-equipped research and support team in each of the ministries with necessary financial allocations.

6. Reimburse denied allocations: In addition, reallocating the denied amount from 2016-17 budgets amounting to Rs 75,764.5 crore to be available for the development of SCs and STs, in addition to the budgetary allocation of 2017-18.

7. Legislate SCSP and TSP: 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.

8. SCSP/TSP to be 25% of total Union Budget: Till now the allocation under SCSP-TSP has been one-fourth of the total Plan Outlay of the Union Budget. Plan outlay has been around 30% of the total Union Budget while non-plan has been 70%. In the merged scenario of plan and non-plan we suggest, therefore, SCSP-TSP to be at least 25% of the total union budget. These allocations to be made as per the Jadhav Committee guidelines while allocating funds under SCSP-TSP.

9. SCSP-TSP Allocations in Railway Budget: Specific direct benefit schemes to be designed by the railway ministry targeting SC/ST community.

10. Accountability, Participation and Transparency: 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.

11. CAG to be directed to audit SCSP, TSP schemes in 2017-18: 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.

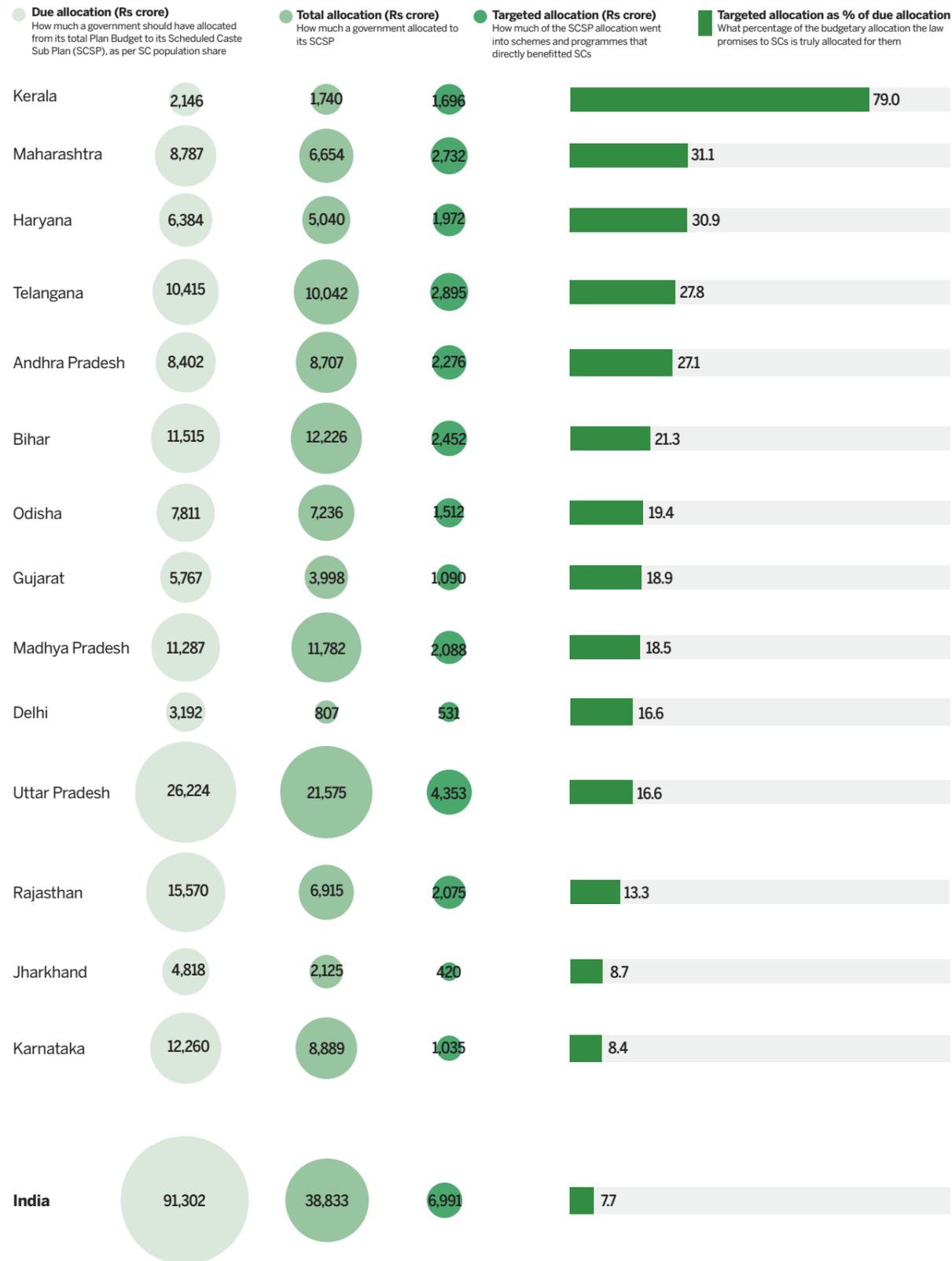
⁴ Schemes/programmes that cover issues such as social protection for SCs/STs, safeguards in or exploitation.

⁵ Schemes/programmes that enable people to play an active role in their communities and societies, including freedom to express opinion and to have a say in matters affecting their lives.

⁶ Jadhav Committee Guidelines, 2010

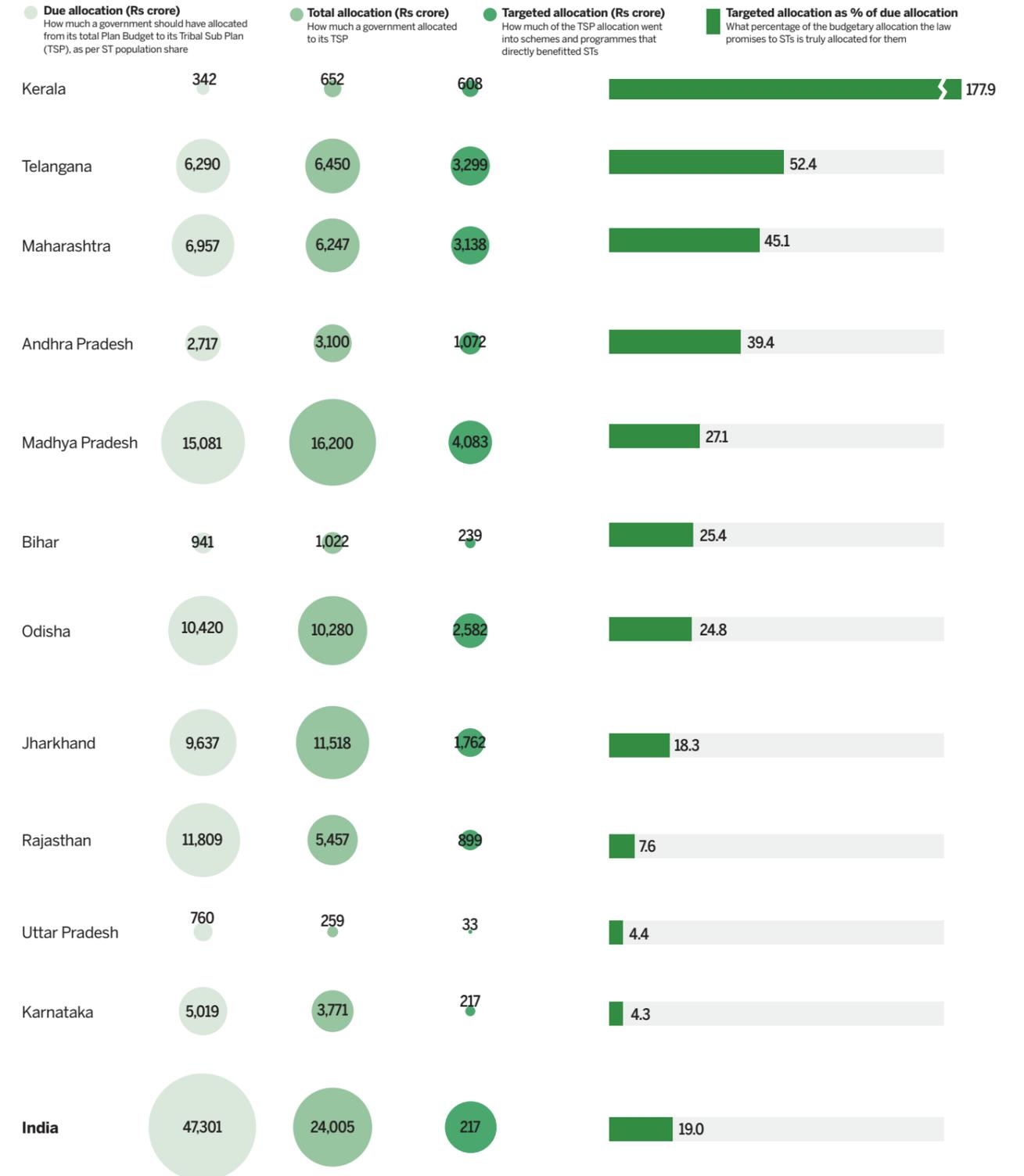
SCSP and TSP Allocations at a Glance

Scheduled Caste Sub Plan (SCSP)



Data for 2016-17
States and India arranged in decreasing order of % of targeted allocation

Tribal Sub Plan (TSP)



Data for 2016-17
States and India arranged in decreasing order of % of targeted allocation
Data for Gujarat not available; data for Delhi and Haryana not applicable



India

1.1: Demographic profile

	SC	ST
Population	201.4 million	104.5 million
Share in population	16.6%	8.6%
Child sex ratio	933	957
Percentage of rural population who are BPL	36.8%	47.3%
Literacy rate	62.8%	61.6%

Sex ratio is number of girls per 1,000 boys aged 0-6 years

BPL: Below poverty line

Literacy rate is among population aged 7 years and above

Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of the Union budget

The Union budget gives a glimpse to the nature of development planning for Scheduled Castes (SCs) and Scheduled Tribes (STs) in order to bridge the gap between them and the rest of the population. Our analysis of Scheduled Caste Sub Plan (SCSP) and Tribal Sub Plan (TSP) in the Union budgets for two financial years, 2015-16 (Budget Estimate) and 2016-17 (Budget Estimate), establishes that, once again, it is only an accounting gimmick for SCs and STs.

In 2015-16 and 2016-17, of the total due allocation as per SCSP policy of Rs 1,68,537 crore, only Rs 69,683 crore has been allocated to SCs as SCSP. Thus, Rs 98,854 crore has been denied under SCSP. Likewise in TSP, of the total due allocation as per TSP policy of Rs 87,314 crore, only Rs 44,004 crore has been allocated. The denied amount under TSP is Rs 43,309 crore.

Thus, in the last two years, Rs 1,42,164 crore has been denied to SCs and STs by the present Union government.

In 2015-16, the NDA government made meaningful allocations for SCs and STs in two Union ministries. The Ministry of Social Justice and Empowerment (MSJE) allocated Rs 5,128 crore under SCSP and TSP (79.3% of the total MSJE allocation). The Ministry of Tribal Affairs (MoTA) allocated

Rs 4,792 crore for STs (100% of the total MoTA Allocation). A large percentage of the allocation in these two ministries comes under 'targeted allocation'. The same allocation pattern has been followed in 2016-17: Rs 5,128 crore to MSJE and Rs 4,792 crore to MoTA.

The remaining allocations to SCs and STs made in the other 21-24 ministries/departments have no such provision, and are mostly 'notional²' or 'general³' schemes. Under SCSP/TSP, only 12 departments/ministries are allocating a significant percentage: between 6% and 22%.

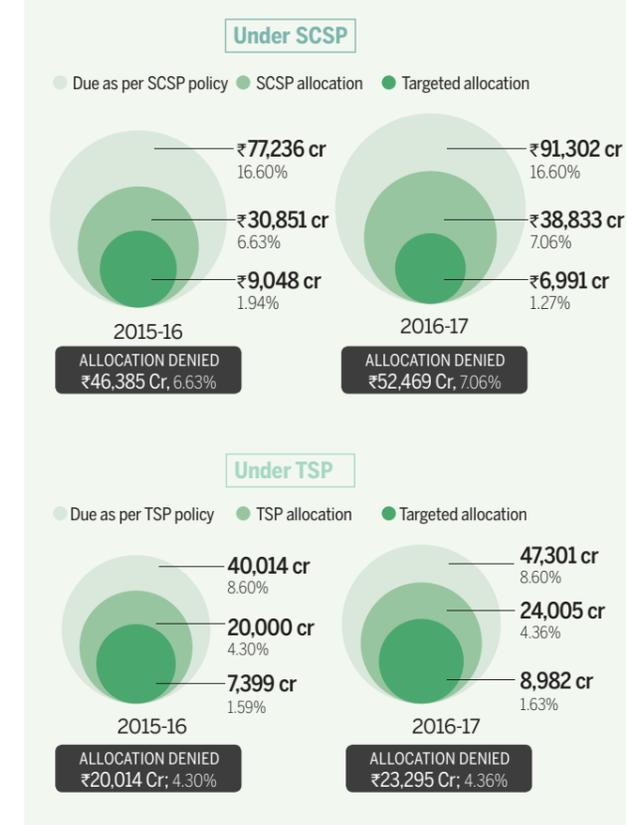
At the same time, key ministries, which have allocated funds under SCSP previously, have made no allocation in 2015-16. These are Ministry of Housing & Urban Poverty Alleviation, Department of Panchayati Raj, Department of Industrial Policy & Promotion, and Department of AIDS Control. In 2016-17, the Ministry of Housing & Urban Poverty Alleviation has again started allocating under SCSP after three years, but the allocation is still very negligible, of Rs 1,047 crore.

Under TSP, in 2015-16, ministries/departments like panchayati raj, power, telecom, new and renewable energy, and mines had nil allocation. In 2016-17, the Ministry of Mines and the Ministry of New and Renewable Energy have again started allocating under TSP, but very small amounts: Rs 11.7 crore and Rs 87 crore, respectively.

Budgets 2015-16 and 2016-17 spell doom for SC/ST women, as it earmarks practically nothing for them. Of the total allocation of Rs 30,850 crore under SCSP in 2015-16, the allocation for SC women-specific schemes is a meagre Rs 73.7 crore, or just 0.23%. The same is the case for allocation under TSP: Rs 40 crore, or 0.2% only. In 2016-17, only MSJE and MoTA have made allocations for SC/ST women. Elsewhere, allocations by other departments from the total SCSP/TSP budgets are negligible: just Rs 507 crore (1%) for Dalit women and Rs 539 crore (2%) for Adivasi women. The only solace is a 26% increase in post-matric scholarships for women, from Rs 664 crore to Rs 837 crore.

Overall allocations

1.2: Share of allocation in Union budget



As a percentage of the total plan outlay, the allocations for 2015-16—6.6% for SCSP and 4.3% for TSP—are the lowest in the last three years

- The SCSP allocation was Rs 30,851 crore in 2015-16 and Rs 38,832 crore in 2016-17. However, this was only 6.6% and 7.06%, respectively, of the total plan outlay, against the due as per policy of 16.6%. Worse, the SCSP allocation in 2015-16 was 39% lower than in 2014-15 (BE).

- Similar trends are seen in TSP allocations. The TSP allocation was Rs 19,980 crore in 2015-16 and Rs 24,005 crore in 2016-17. However, this was only 4.3% and 4.36%, respectively, of the total plan outlay, against the due as per policy of 8.6%. And the TSP allocation in 2015-16 was 38% lower than in 2014-15 (BE).
- The increase in devolution to states, from 32% to 42%, is cited as the reason for the decrease in allocations to SCSP and TSP. Para 3 of the introductory note before Statement 21 and 21A (2015-16) in the Budget document refers to this decrease as "marginally reduced contribution by the Union Government" and attributes it to "enhanced devolution of Union taxes to States as recommended by the Fourteenth Finance Commission (FFC)". This is incorrect.
- Allotments to overall flagship schemes have also been decreased, and so the real increase is only 2%. Moreover, the Central government needs to continue critical spending on SCs and STs, as state governments have not shown the political will to spend the necessary amounts on welfare and empowerment of SCs and STs.

Targeted versus notional/non-direct allocations

1.3: Nature of allocation



¹ Targeted Allocation: The budget allocation that may benefit SC communities through individual and basti-oriented schemes, as mentioned in the SCSP guideline "Guideline for Implementation "Scheduled Caste Sub Plan"; Planning Commission (2006)"

² Notional Allocation: The allocation does not really or directly benefit SCs, or pull them out of the poverty line, or reduce the gap between them and the 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 SCs. These are only 'paper allocations', where population-proportion budgets are reported as SCSP allocations and utilizations.

³ General Allocation: The allocation meant for overall population of the country, and not just for SCs/STs. Benefits are not tracked to individual family or SC/ST hamlets. Mostly, economic sectors are having general allocations. It is nothing but 'retro-accounting': very little or no direct flow to address the real needs of SCs and STs.

As mentioned above, 'general' and 'notional' allocations account for a majority of SCSP and TSP allocations in both years. Targeted allocations, which benefit SCs and STs directly, have a smaller share.

Policy guidelines⁴ say that "SCSP and TSP funds should be non-divertible and non-lapsable". But our analysis shows that, under SCSP/TSP, 289 schemes are non-targeted in nature. In these schemes, there is a high possibility of diversion of SCSP/TSP funds for purposes that have nothing to do with SCs and STs.

Category-wise allocation (survival, development, participation and protection)

In Statement 21 and 21A, plan allocation/outlays are segregated by sector. Seen through the prism of outcomes, these sectors can be classified under 'social services' and 'economic services'.⁵

Social services promote social development, and include departments like education, art and culture, medical and public health, women and child development, and water supply and sanitation. Most schemes here render social services. **For SCs and STs, these are of the nature of survival⁵.**

Economic services include departments like rural development, agriculture and allied services, industry and minerals, science, technology, environment and transport. **These departments are of the nature of 'development'.** There are few sectors that have the component of social protection⁶ and provide the scope of participation⁷.

At the Union level, based on our understanding of schemes for SCs/STs, around 70% of allocations in 2015-16 was for survival and only 27% for development. Further, only 1% of schemes came under the protection category for both SCSP and TSP. As for participation, there is a negligible allocation. This trend of high allocation to the survival category continues in 2016-17.

Over the years, it is observed that this uneven distribution in schemes is mainly due to the lack of effective planning, non-involvement of community, absence of a bottom-up approach to planning and allocations, or non-benchmarking to tribal- and Dalit-specific plans. Community needs have not

been considered in letter and spirit while formulating schemes.

Budgeted versus actual expenditure



Actual Expenditure (AE) is the most credible figure in the whole budget analysis. It is a barometer of implementation status because it has been audited by an independent agency. In recent years, the gap between Budget Estimates (BE) and AE is increasing because the figures of BE allocation lack political commitment and AE reflects the gap between intention and action. The most significant evidence is the AE-BE comparison of 2013-14 and 2014-15.

In 2014-15, at the first instance, from the due as per the SCSP policy, there is 50%-plus less allocation to the BE of SCSP. The AE is further decreased by another 41% from that of BE. The tragic part: yet another 63% of AE is only the targeted

expenditure. This trend is seen also in TSP.

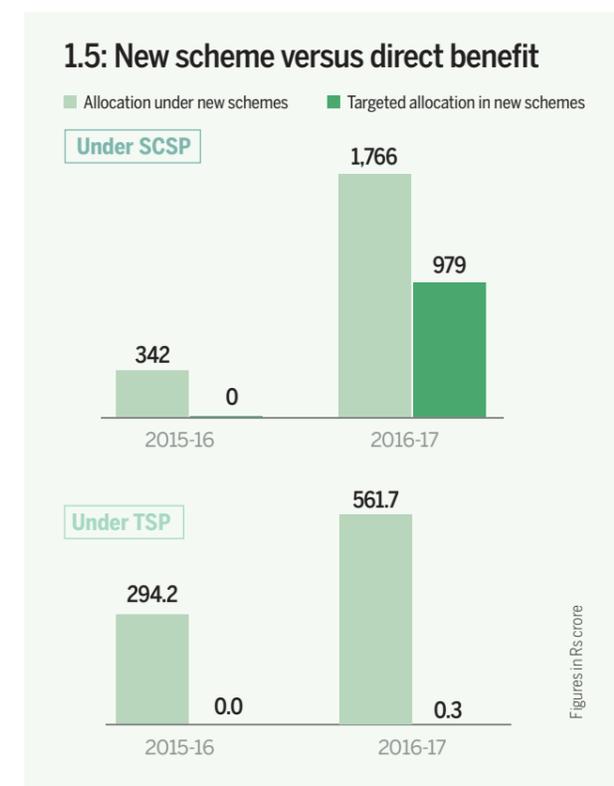
According to the AE of 2014-15 and 2013-14, Rs 20,513 crore and Rs 6,974 crore remained unutilised under SCSP. Adding to the above concern, the targeted schemes constitute only Rs 10,963 crore and Rs 10,472 crore within the utilised amount in 2014-15 and 2013-14. This multi-stage denial of due budget share to SCs has a huge impact on their holistic development and goes against the basic principle of policy guidelines.

In TSP, the utilisation status is equally grave at the Union level. The AE of 2014-15 and 2013-14 shows that, Rs 12,427 crore and Rs 2,559 crore remain unutilised. The targeted allocation was Rs 8,497 crore and Rs 8,127 crore, which is completely inadequate to bridge gaps in development outcomes.

The massive difference between the BE, AE and targeted allocation is a decade-long practice in the Indian budgetary system, and is a matter of grave concern. This places a serious question mark on the commitment of the government towards the development of the community, which needs serious policy-level change and reorientation of schemes at the planning, allocation and implementation level.

New scheme versus targeted with direct benefit

Nine new schemes in six Central ministries/departments,



with an allocation of Rs 341.7 crore, were introduced as part of SCSP in 2015-16. Only one scheme directly benefits SCs. The rest are 'general' in nature, with no real flow of benefits to SCs. The situation is slightly better in 2016-17: 29 new schemes in nine Central ministries/departments have been introduced, with a total allocation of Rs 1,766 crore. Direct allocation in new schemes is Rs 979 crore.

Under TSP, the status of direct allocation in new schemes is identical in both years. Not a single new scheme in 2015-16 was directly benefiting STs. In 2016-17, only one scheme has direct allocation for STs: rehabilitation of bonded labour under the Ministry of Labour and Employment. In 2015-16, 13 new schemes were launched in seven Central ministries/departments, with a total allocation of Rs 294 crore. In 2016-17, 34 new schemes were launched in nine Central ministries/departments, with a total allocation of Rs 561 crore.

Examples of some Notional /General schemes under SCSP and TSP (2015-16)

University Grants Commission (UGC)

Department: Higher Education
SCSP allocation: **Rs 584.0 crore**
TSP allocation: **Rs 298.2 crore**

Profile: Provides assistance to all eligible universities and institutions deemed to be universities, provision for assistance to Central universities is being distinctly made.

- 60% of total SCSP/TSP allocation goes to create capital assets
- 29% goes to institution under grant-in-aid head
- 3% to salaries
- Only 8% spent on fellowships to faculty, post-doctoral fellowship, and scholarship and hostel to students

(Source: RTIs and DDGs of Department of Higher Education)

Rashtriya Madhyamik Shiksha Abhiyan (RMSA)

Department: School Education & Literacy
SCSP allocation: **Rs 695.0 crore**
TSP allocation: **Rs 379.4 crore**

Profile: To improve quality of education imparted at secondary level by making all secondary schools conform to prescribed norms; removing gender, socio-economic and disability barriers; providing universal access to secondary level education by 2017.

- As per outcome budget, DDGs (Detailed Demand for Grants) of Department of School Education & Literacy, the allocated amount goes under the head of construction and other expenditure. It does not target SC/ST students and allocate anything specific to address their developmental needs.

⁴ Policy Guidelines refers to Guideline for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006) and Narendra Jadhav Committee recommendation of earmarking the allocation for SC and ST, 2010

⁵ These include nutrition, shelter, adequate standard of living and access to healthcare.

⁶ 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.

⁷ Schemes/programmes that enable people to play an active role in their communities and societies, including freedom to express opinion and to have a say in matters affecting their lives.

Pradhan Mantri Krishi Sinchai Yojana (PMKSY)

Department: Agriculture and Cooperation

SCSP allocation: **Rs 311.6 crore**

TSP allocation: **Rs 144.0 crore**

Profile: The scheme provides end-to-end solutions in irrigation supply chain, water sources, distribution network and farm level application. This focus is on providing water efficiently to every agriculture farm (*har khet ko paani*) and increasing agricultural productivity. PMKSY has three components: PMKSY, watershed management (as per land resources) and Accelerated Irrigation Benefit & Flood Management Programme (or AIBFMP, which is part of the Ministry of Water Resources, River Development and Ganga Rejuvenation).

- The outcome budget does not indicate how many Dalit/Adivasi households will benefit (only overall beneficiaries list is available). There is no clarification on how river development and Ganga rejuvenation will benefit Dalits and Adivasis at large.

National Health Mission (NHM)

Department: Health and Family Welfare

SCSP allocation: **Rs 3,731.5 crore**

TSP allocation: **Rs 2,013.0 crore**

Profile: Specific goals for states will be based on existing levels, capacity and context. State-specific innovations will be encouraged. Process and outcome indicators will be developed to reflect equity, quality, efficiency and responsiveness. Targets for communicable and non-communicable diseases will be set at the state level based on local epidemiological patterns and financing available for each of these conditions.

- **NHM program implementation plan (PIPs) show there is no specific approach for SCs. More than 20% of NHM budget is going under SCSP.**
- **Social group (SC/ST) segregated data is not maintained at national/state/district levels and there is no specific SC/ST focus in schemes.**

Kendriya Vidyalayas Sangathan

Department: School Education and Literacy

SCSP allocation: **Rs 177.0 crore**

TSP allocation: **Rs 93.6 crore**

Profile: To meet the educational needs of children of transferable Central government employees.

- **The amount is allocated for salaries and capital assets, and does not have any specific approach for educational needs of SCs/STs**

Special Programme for Development of Road Connectivity in Naxal-Affected Areas

Ministry: Road Transport and Highways

SCSP allocation: **Nil**

TSP allocation: **Rs 400.0 crore**

Profile: Provision for development of national highways, including projects relating to expressways, six-laning of crowded stretches of Golden Quadrilateral and two-laning of highway works under National Highways Development Project.

- **There is no specific provision for construction of rural roads/forest village roads. It is questionable how Adivasis, who mostly reside in remote villages, will benefit from highways directly.**

Examples of good schemes that benefit SCs directly

Rural Housing-Indira Awaas Yojana

Department: Rural Development

Allocation in 2015-16: **Rs 3,537.8 crore**

Profile: Provide assistance for construction of dwelling units and upgradation of existing unserviceable kutcha houses for SCs/STs, and non-SC/ST rural families living below the poverty line.

Post-Matric Scholarship Scheme

Ministry: Social Justice and Empowerment

Allocation in 2015-16: **Rs 1,599.0 crore**

Profile: Provide financial assistance to SC students to study at post-matriculation or post-secondary stage to enable them to complete their education.

Pre-Matric Scholarship for SCs

Ministry: Social Justice and Empowerment

Allocation in 2015-16: **Rs 842.6 crore**

Profile: Provide adequate financial support to SC students at pre-matric stage so that they can progress to the post-matric stage. It, therefore, introduced a new Centrally-sponsored scheme to give pre-matric scholarships to all SC children.

Self-Employment Scheme of Liberation and Rehabilitation for Scavengers

Ministry: Social Justice and Empowerment

Allocation in 2015-16: **Rs 470.2 crore**

Profile: Rehabilitate scavengers and their dependents in a time-bound manner. Loans, subsidies and training are provided to beneficiaries for gainful self/wage employment. The scheme has been revised w.e.f. November 2013.

Rajiv Gandhi National Fellowship for SCs

Ministry: Social Justice and Empowerment

Allocation in 2015-16: **Rs 209.6 crore**

Profile: Launched in 2005-06 for SC students to pursue higher studies, leading to M.Phil/Ph.D and equivalent research degree in universities, and research and scientific institutions.

The scheme is implemented through the University Grants Commission.

Implementation of the Protection of Civil Rights Act, 1955, and Scheduled Castes and Scheduled Tribes (Prevention of Atrocities Act, 1989)

Ministry: Social Justice and Empowerment

Allocation in 2015-16: **Rs 90.8 crore**

Profile: Assistance is mainly provided for functioning and strengthening of SCs and STs protection cell and special police stations, setting up and functioning of exclusive special courts, incentives for inter-caste marriage, relief and rehabilitation of atrocity victims and awareness generation.

Share Capital to State Scheduled Castes Development Corporations

Ministry: Social Justice and Empowerment

Allocation in 2015-16: **Rs 20.0 crore**

Examples of good schemes that benefit STs directly

Rural Housing-Indira Awaas Yojana

Department: Rural Development

Allocation in 2015-16: **Rs 2,477.2 crore**

Profile: Provides assistance for construction of dwelling units and upgradation of existing unserviceable kutcha houses for SCs/STs and non-SC/ST rural families living below the poverty line.

Umbrella Scheme for Education of ST Children

Ministry: Tribal Affairs

Allocation in 2015-16: **Rs 929.3 crore**

Van Bandhu Kalyan Yojana

Ministry: Tribal Affairs

Allocation in 2015-16: **200.0 crore**

Profile: Designed for development of forest villages.

Guidance for vocational training and introduction of new courses in existing CGCs in states covered so far

Ministry: Labour & Employment

Allocation in 2015-16: **Rs 3.7 crore**

Profile: To channelise the available educated SC/ST manpower into appropriate vocations; to increase their employability through coaching/training; and to provide them vocational guidance and career information at appropriate stages.

Rajiv Gandhi National Fellowship for ST Students

Ministry: Tribal Affairs

Allocation in 2015-16: **Rs 50.0 crore**

Profile: Launched in 2005-06 for SC students to pursue higher studies leading to M.Phil/Ph.D and equivalent research degree in universities, and research and scientific institutions. The scheme directly benefits ST students.

Strengthening of education among ST girls in low literacy districts

Ministry: Tribal Affairs

Allocation in 2015-16: **Rs 40.0 crore**

Market development of tribal products/produces

Ministry: Tribal Affairs

Allocation in 2015-16: **Rs 35.0 crore**

Development of particularly vulnerable tribal groups (PTG)

Ministry: Tribal Affairs

Allocation in 2015-16: **Rs 213.4 crore**

Mechanism for Marketing of Minor Forest Produce (MFP) through minimum support price (MSP) and development of value chain for MFP

Ministry: Tribal Affairs

Allocation in 2015-16: **Rs 307.0 crore**

Sources: Statement 21 and Statement 21A from the Expenditure Budget Volume I of Union budget 2015-16, Expenditure Budget Volume II, Annual Reports of Central Ministries and Departments, Outcome Budgets, Scheme PIPs



Andhra Pradesh

1.1: Demographic profile

	SC	ST
Population	8.44 million	2.63 million
Share in population	17.1%	5.53%
Child sex ratio	961	964
Percentage of rural population who are BPL	Not applicable	Not applicable
Literacy rate	64.5%	48.8%

Sex ratio is number of girls per 1,000 boys aged 0-6 years
 BPL: Below poverty line
 Literacy rate is among population aged 7 years and above
 Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Andhra Pradesh Budget

Andhra Pradesh was one of the first states in the post-Independence period to be formed linguistically, by merging Telugu-speaking regions with the existing Hyderabad state. In 2014, the Andhra Pradesh Reorganisation Act bifurcated the state into Andhra Pradesh and Telangana.

A year earlier, the then-unified state of Andhra Pradesh had passed the Andhra Pradesh Scheduled Castes Sub Plan and Scheduled Tribes Sub Plan (Planning, Allocation and Utilisation) Act 2013. It was one of the first states to introduce such a legislation.

The Act guides the allocation and utilisation of funds for the development of the SC/ST community and addressing their developmental needs. Its objectives are:

- To ensure accelerated development of SCs/STs, with a commitment towards ensuring equality.
- Focus on economic, educational and human development, ensuring dignity and social security, and promoting equity.
- Earmarking funds under SCSP and TSP in proportion to the SC and ST population, respectively.
- Ensuring effective institutional mechanisms for the implementation of Sub-Plans.

At a glance, an analysis of allocations made under SCSP/TSP reveal the following:

- SCSP/TSP allocations in 2016-17 were surplus to

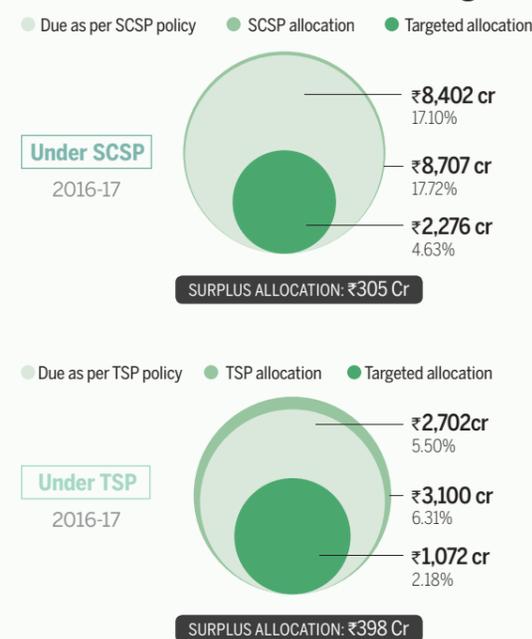
population proportion: 17.7% under SCSP (against a population share of 17.1%) and 6.3% under TSP (against a population share of 5.5%). But a deeper analysis of these allocations throws up a different picture.

- Of the 44 departments in Andhra Pradesh, 35 were allocating funds under SCSP and 25 under TSP. A majority of allocations made under SCSP and TSP were for schemes above 100 crore.
- Under SCSP, the Rural Development Secretariat allocated the highest amount under schemes introduced by it (Rs 2,606 crore). The lowest were allocations under schemes introduced by Administration of Justice Department (Rs 0.50 crore). Under TSP, the Rural Development Secretariat allocated the highest (Rs 1,022 crore) under schemes introduced by it and the Department of Co-operation the lowest (Rs 0.55 crore).
- According to Census 2011, Andhra Pradesh has a balanced sex ratio: about 50% of the state's population are females. A similar balance is seen among SCs and STs also: 1,007 women for every 1,000 men in the case of SCs and 1,009 for STs. In the age bracket of 0-6 years, boys outnumber girls: the child sex ratio is 961 for SCs and 964 for STs.

In spite of females forming half the adult population and a substantial proportion in the 0-6 age bracket, there were only 6 Dalit women-oriented schemes (with an allocation of Rs 598.7 crore) under SCSP and 7 tribal women-specific schemes (allocation of Rs 288.8 crore) under TSP. Most schemes directed towards women under SCSP and TSP are of the nature of 'survival', and allocations are notional or non-direct in nature.

Overall allocation

1.2: Share of allocation in state budget



According to the AP SCSP & TSP Act, the state needs to allocate funds under SCSP/TSP in proportion to the SC/ST population share in the state. Our first-level analysis shows that Rs 8,402 crore was the due amount under SCSP and Rs 2,702 crore under TSP.

Allocations made by Andhra Pradesh under SCSP/TSP exceed the SC/ST population share: 0.62 percentage points under SCSP and 0.81 percentage points under TSP. Unfortunately, this positive trend in allocation did not translate into development initiatives for the community as most allocations were notional and non-direct in nature.

Targeted versus notional/non-direct allocation

Only Rs 2,276 crore has been allocated for the direct benefit of Dalits and Rs 1,072 crore for STs. Such direct allocations form only 26.1% of SCSP allocations and 34.6% of TSP allocations.

The AP SCSP & TSP Act mandates a basket of innovative and area-oriented schemes for the direct benefit of beneficiaries from SC/ST communities. A closer analysis shows that under SCSP, major allocations were being made through the Department of Rural Development and Social

Welfare. Major allocations under TSP were being made through rural development and housing schemes, with no direct implications and benefits for the community.

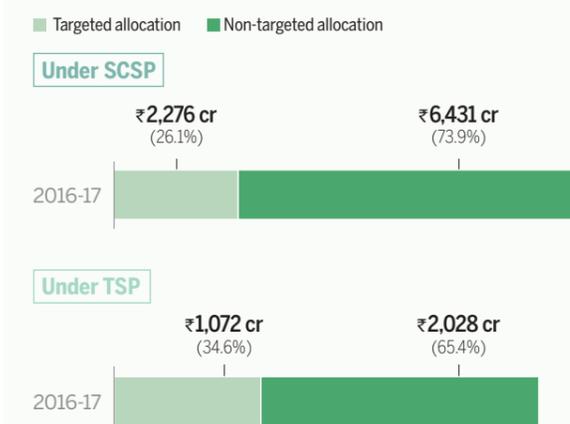
The allocation to departments under SCSP/TSP suggests an inclination to ensuring development of SC/ST communities and individuals. However, a closer analysis reveals that much of the allocation under these departments is non-direct in nature.

For example, Post-Matric Scholarship is one of the schemes receiving a high allocation under SCSP in the Social Welfare Department. This scheme targets the development and empowerment of the SC/ST community. It is also aligned to the basic premise and mandate of the Act: access to education, ensuring dignity, providing social security and promoting equity. Yet, this direct benefit scheme receives an allocation of only Rs 390.4 crore.

By comparison, a number of schemes under those very departments are not only non-direct in nature; they also receive higher allocations under SCSP. These include NTR Pensions to Old Age Persons & Widows under Department of Rural Development (Rs 826 crore), MGNREGA (Rs 882 crore), Capital Infusion to DWCRA Women Groups (Rs 438 crore) and Economic Support Schemes (Rs 460 crore).

The same also holds true for TSP. Under TSP, most direct allocations are made under the Tribal Welfare Department and Housing. In line with the Act, emphasis is on access to education. A scheme relating to educational institutions received the highest direct allocation (Rs 159 crore). However, Post-Matric Scholarship was allocated only Rs 55 crore, affecting access to higher education for ST students, who

1.3: Nature of allocation



account for 20.5% (63,983) of the student population.

This is significantly less than the allocation under TSP to a number of schemes that are non-direct in nature. These include NTR Pensions to Old Age Persons & Widows (Rs 305 crore), MGNREGA (Rs 283 crore), Capital Infusion to DWCRA Women Groups (Rs 163 crore) and Assistance to Andhra Pradesh Mahila Sadhikara Samstha, or APMSS (Rs 100 crore).

In both SCSP and TSP, the pattern of high allocations to schemes that are non-direct and general in nature underscores the massive gap in the existing law. The AP SCSP & TSP Act also includes general schemes. Such a provision legalises diversion.

Category-wise allocation

Under both SCSP and TSP, Andhra Pradesh has allocated mostly for survival needs, as opposed to developmental needs of the SC/ST community. Under SCSP, 63.9% of allocations are for survival needs and only 26.1% for the development of the SC community. The allocation under participation and protection categories is negligible: 7.5% and 2.5%, respectively.

Similarly, under TSP, 58.7% of allocations are for survival needs and only 33.1% for the development of the ST community. The allocation under participation and protection categories is negligible: 6.2% and 2.0%, respectively. These break-ups show the low priority given by the government to the economic growth of SCs/STs.

New scheme versus direct benefit

Under SCSP, 65 new schemes were introduced, with a combined allocation of Rs 1,513 crore. Of this, only Rs 462 crore was direct allocation, or 30.5% of the total amount allocated under new schemes. Similarly, under TSP, 49 new schemes were introduced, with a combined allocation of Rs 501 crore. Of this, only Rs 150 crore was direct allocation, constituting 30% of the total allocated amount.

New schemes benefitting the community were under-allocated, while a higher percentage of allocations were directed towards schemes of general nature.

Among new schemes under SCSP, Providing Infrastructure Facilities in SC Localities of ULBs received the highest allocation (Rs 260 crore). This is a direct benefit scheme. The second highest allocation was to Housing for All-Sardar Patel Urban Housing Scheme (Rs 228 crore). This is a non-direct allocation. This scheme has received the highest

1.4: New scheme versus direct benefit



allocation among new schemes under TSP (Rs 50 crore). By comparison, the Rs 30 crore allocated under TSP to Integrated Residential Schools is a direct allocation.

Chapter 3 of the Act identifies four categories under which schemes are organised and consequently funds are allocated. These are:

- Schemes exclusively benefitting SC/ST individuals or households: 100% of the scheme cost shall be allocated and accounted for under SCSP/TSP.
- Schemes benefitting SC/ST habitation: 100% of the scheme cost shall be allocated and accounted for under SCSP/TSP. In case of other habitations, budgetary allocation shall be allocated and accounted for under SCSP/TSP in proportion to the SC/ST population.
- General schemes that benefit SC/ST individuals and households, along with others. The scheme cost will be accounted for in proportion to SC/ST beneficiaries.
- With respect to non-divisible infrastructure works, a portion of the scheme determined by the Governor shall be deemed to have been attributed under SCSP/TSP.

The following section lists schemes as per the above classification.

Examples of non-direct schemes under SCSP

Special Development Fund for Welfare and Development Activities

Allocation in 2015-16: **Rs 85 crore**

Allocation in 2016-17: **Rs 176 crore**

Profile: A general scheme included under SCSP, without any physical or financial outlays for the SC/ST community.

Nutritious Meals Programme (MMD-Cooking Cost)

Allocation in 2015-16: **Rs 60 crore**

Allocation in 2016-17: **Rs 133 crore**

Profile: Covers cooking cost of the food. A general scheme included under SCSP, without any physical or financial outlays for the SC/ST community.

Housing for All-Sardar Patel Urban Housing Scheme

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 228 crore**

Profile: A private-public partnership, the scheme aims to build 30 million houses by 2022 with a commitment to social inclusion and making a slum-free India. However, it fails to ensure physical outlays for the SC/ST communities.

Mahatma Gandhi National Rural Employment Guarantee Act

Allocation in 2015-16: **Rs 460 crore**

Allocation in 2016-17: **Rs 882 crore**

Profile: It guarantees 100 days of wage employment in a year to rural households. A general scheme included under SCSP, without any physical or financial outlays for the SC community.

NTR Pensions to Old Age Persons & Widows

Allocation in 2015-16: **Rs 603 crore**

Allocation in 2016-17: **Rs 826 crore**

Profile: Aims to secure a dignified life for the poor and the vulnerable, particularly the old, and support their minimum needs. A general scheme included under SCSP, without any physical or financial outlays for the SC/ST community.

Examples of non-direct schemes under TSP

Assistance to Andhra Pradesh Mahila Sadhikara Samstha (APMSS)

Allocation in 2015-16: **Rs 15.05 crore**

Allocation in 2016-17: **Rs 100 crore**

Profile: Aims to eliminate poverty and improve the state's human development index. APMSS will work towards social mobilisation of community institutions for development, capacity enhancement, access to and management of credit, skill, knowledge and technology transfer, value-addition and linkage with markets, access to improved health, nutrition and education services, and related empowerment activities. It is a

general scheme that has been included under TSP without any physical or financial outlays for the ST community.

Capital Infusion to DWCRA Women Groups

Allocation in 2015-16: **Rs 55 crore**

Allocation in 2016-17: **Rs 163 crore**

Profile: The scheme is directed at improving the living conditions of women and, thereby, of children through the provision of opportunities for self-employment and access to basic social services. It is a general scheme that has been included under TSP without any physical or financial outlays for the ST community.

Mahatma Gandhi National Rural Employment Guarantee Act

Allocation in 2015-16: **Rs 149 crore**

Allocation in 2016-17: **Rs 282 crore**

Profile: It guarantees 100 days of wage employment in a year to rural households. A general scheme included under TSP, without any physical or financial outlays for the ST community.

NTR Pensions to Disabled Persons

Allocation in 2015-16: **Rs 40 crore**

Allocation in 2016-17: **Rs 136 crore**

Profile: Aims to secure a dignified life for the poor and the vulnerable, particularly the old, and support their minimum needs. A general scheme included under TSP, without any physical or financial outlays for the ST community.

NTR Pensions to Old Age Persons & Widows

Allocation in 2015-16: **Rs 78 crore**

Allocation in 2016-17: **Rs 305 crore**

Profile: Aims to secure a dignified life for the poor and the vulnerable, particularly the old, and support their minimum needs. A general scheme included under TSP, without any physical or financial outlays for the ST community.

Examples of good direct schemes that benefit SCs

Providing infrastructure facilities in SC localities of ULBs

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 259 crore**

Profile: The scheme is designed specifically for the purpose and benefit of SCs.

Indira Awaas Yojana

Allocation in 2015-16: **Rs 83 crore**

Allocation in 2016-17: **Rs 228 crore**

Profile: A social welfare flagship programme that provides

housing for the rural poor. Both physical and financial outlays are set aside for the SC/ST community.

Post-Matric Scholarship

Allocation in 2015-16: **Rs 62 crore**

Allocation in 2016-17: **Rs 275 crore**

Profile: Provide financial assistance to minorities to ensure access to spaces of higher education. Both physical and financial outlays are set aside for the SC/ST community.

Tuition Fee

Allocation in 2015-16: **Rs 200 crore**

Allocation in 2016-17: **Rs 289 crore**

Profile: Supplementary assistance provided to students from marginalised backgrounds. Both physical and financial outlays are set aside for the SC/ST community.

Incentives to SC Entrepreneurs for Industrial Promotion

Allocation in 2015-16: **Rs 1.87 crore**

Allocation in 2016-17: **Rs 165 crore**

Profile: The scheme is designed specifically for the purpose and benefit of SC entrepreneurs.

Examples of good direct schemes that benefit STs

Educational Infrastructure

Allocation in 2015-16: **Rs 80 crore**

Allocation in 2016-17: **Rs 86 crore**

Profile: The scheme is designed specifically for the purpose of improving educational infrastructure, with a focus on the needs of marginalised areas and communities.

Educational

Allocation in 2015-16: **Rs 131 crore**

Allocation in 2016-17: **Rs 159 crore**

Profile: The scheme is designed specifically for the purpose of addressing educational needs, with a focus on the needs of marginalised areas and communities.

Grants under Provision Act

Allocation in 2015-16: **Rs 45 crore**

Allocation in 2016-17: **Rs 81 crore**

Profile: Funds are released to the state government against specific projects for the welfare of STs and the strengthening of administration of tribal areas.

Pre-Matric Scholarships

Allocation in 2015-16: **Rs 8 crore**

Allocation in 2016-17: **Rs 116 crore**

Profile: Provide financial assistance to minorities to ensure access to spaces of higher education. Both physical and financial outlays are set aside for the ST community.

Tuition Fee

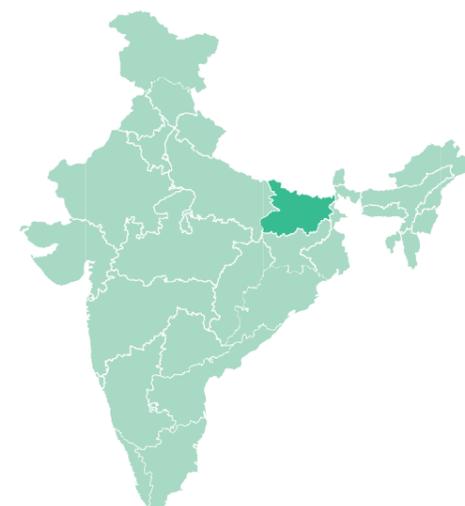
Allocation in 2015-16: **Rs 21 crore**

Allocation in 2016-17: **Rs 65 crore**

Profile: Provide supplementary assistance to students from marginalised backgrounds. Both physical and financial outlays are set aside for the ST community.

List of references

1. AP Governmental Portal



Bihar

1.1: Demographic profile

	SC	ST
Population	16.56 million	1.33 million
Share in population	15.9%	1.3%
Child sex ratio	925	958
Percentage of rural population who are BPL	64.0%	53.3%
Literacy rate	45.0%	49.4%

Sex ratio is number of girls per 1,000 boys aged 0-6 years

BPL: Below poverty line

Literacy rate is among population aged 7 years and above

Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Bihar Budget

Bihar has the third-highest scheduled caste (SC) population among states in India. About 8.2% of India's SC population resides in Bihar. SCs make up 15.9% of Bihar's population and STs 1.3%. Keeping in mind the SC/ST share in the state population and their socio-economic needs, it is critical the state budget allocate funds to create assets for them instead of just survival-oriented schemes or distribution of freebies. SCSP/TSP guidelines allow state governments to earmark a portion of the total allocation for SCs/STs. But the SCSP/TSP allocation in Bihar over the past few years shows many instances of funds being diverted, robbing SCs/STs of their due.

In the 2016-17 budget, the first presented by the Grand Alliance government during its term, there were no noteworthy announcements for the economic development of Dalits and Adivasis, barring a few non-direct schemes. The allocation under SCSP is Rs 12,226 crore, or 15.9% of the total outlay. But in terms of the actual expenditure (AE) for 2014-15, the SCSP allocation amounts to 11.56%. Thus, as per 2014-15 AE, a sum of Rs 1,905 crore has been denied to Dalits in Bihar.

Similar high variance between BE, RE and AE is seen almost every financial year in Bihar. This hampers the development of SCs and STs in Bihar. In 2016-17, of the 62 departments, 26 made allocations under SCSP and 19 under TSP. Total expenditure for 2016-17 is estimated at Rs 1,44,696 crore, an 8.9% increase over the RE for 2015-16. In 2015-16, there was an increase of 10% in the RE over BE. On the one hand, the Departments of Energy, Home and Panchayati Raj received higher allocations in 2016-17. On the other, allocation to the Department of Education declined 11%.

There are 166 schemes and programmes under SCSP and 97 schemes under TSP. Schemes with large allocations include the Mukhya Mantri Gram Sampark Yojana (Rs 1,310 crore), Sarva Shiksha Abhiyan (Rs 822 crore) and Indira Awaas Yojana (Rs 656 crore). These are all Centrally-sponsored schemes. Further, Rs 430 crore has been allocated to scholarships, Rs 250 crore to Mahadalit Vikas Yojana and Rs 88 crore to Bihar Kaushal Vikas Yojana. These are positive developments in this year's budget.

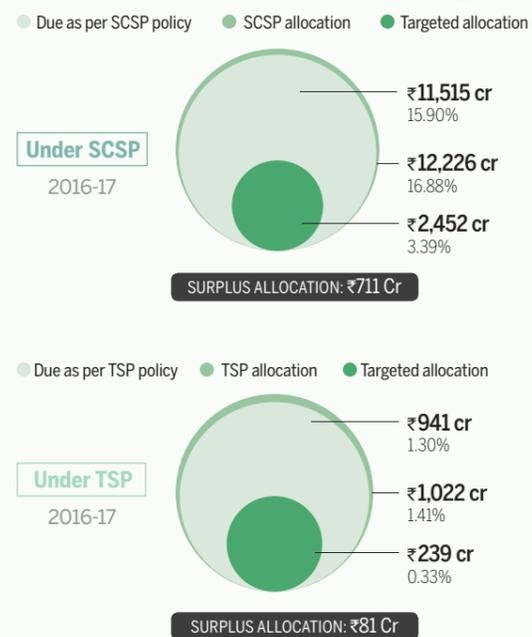
There are also inclusions in the SCSP that are largely notional allocations: for instance, large amounts have been allocated to the Kosi Rehabilitation Programme, North Bihar Flood Control Projects and Big Roads. Similarly, allocation for hospitals and medical colleges. However, schemes of importance for poor Dalits like water supply, land for BPL families, and employment-generation schemes like poultry, goat rearing, animal husbandry and horticulture have been neglected.

Overall allocation

As mentioned above, allocation under SCSP and TSP has increased significantly over the years and, on paper, it is proportionate to the share of SCs and STs in the state population. However, a deeper analysis shows the nature of expenses is still not as per guidelines. This is the commonly played trick by states: increase the notional or non-targeted allocations to major infrastructure and power schemes without any substantial increase in the targeted schemes directly benefiting SCs/STs.

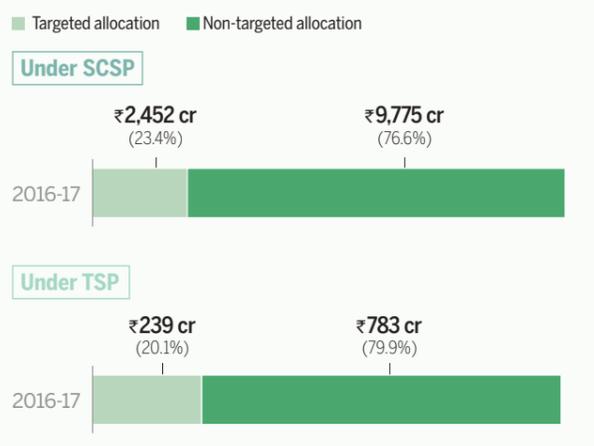
About 79% of the total SCSP expenditure will be grant-in-aid (non-salary), grant-in-aid (salary), grant-in-aid (capital),

1.2: Share of allocation in state budget



Department of Roads & Bridges has allocated Rs 565 crore under the Big Roads Scheme for construction work, and the Flood Control Department has allocated Rs 60 crore for North Bihar Flood Control Projects and Rs 10 crore to repair embankments—again, construction work.

1.3: Nature of allocation



Similarly, the Department of Medical and Public Health has allocated Rs 400 crore to medical colleges and hospitals to buy equipment and for main construction work. Under NRHM, Rs 670 crore goes towards salary, non-salary component, grant-in-aid, etc. Do only Dalits visit hospitals? In another example, loans amounting to Rs 260 crore have been given to the Bihar State Electricity Board. This shows that overall allocation has nothing to do with real development of Dalits and Adivasis, only a realistic allocation is a must.

Category-wise allocation

Based on their usability to SC/ST communities, we have classified SCSP/TSP schemes into four categories: survival-oriented, developmental, protection and participation. The nature of expenditure is an issue here also. In 2016-17 (BE), the major allocation under SCSP, of Rs 6,740 crore, was to survival-oriented schemes. Of this, only Rs 1,703 crore may directly benefit Dalits. Allocation to participatory schemes is just Rs 7.2 crore, the lowest among the four categories.

The same is the case with TSP. An amount of Rs 666 crore has been allocated under the survival category. Allocation to participatory schemes is just Rs 0.62 crore. This means that SCSP/TSP allocations have been done only in social sectors, and not in sectors related to economic growth, infrastructure, employment and other economic development services.

big construction work, subsidiary grants and administration. Budget papers don't give details of expenditure in the nature of grant-in-aid and subsidiary grants. Further, there are several expenses where it is unclear under which head they will be utilised, and are placed under the 'miscellaneous' category.

It is clear that the practice of Bihar making allocations to SCSP/TSP in proportion to the share of SCs/STs in the state population is an eyewash. Only 20-21% of the total SCSP expenditure will be spent on programmes. Even under TSP, more than 80% of the total funds have been allocated under grant-in-aid (non-salary), grant-in-aid (salary) and big construction works.

Targeted versus notional/non-direct allocation

Quality of allocation in Bihar remains a big concern. According to our analysis, in 2016-17, 80% of SCSP allocation and 77% of TSP allocation was non-targeted. In other words, it is notional, and won't benefit Dalits and Adivasis directly. Only 20% of SCSP and 23% of TSP allocation may reach them directly. This runs contrary to what the SCSP/TSP mandates: allocations should be of a direct nature only.

Some departments have made SCSP/TSP allocations just to tick a box. Most of their schemes are doubtful and won't benefit SCs/STs directly. For example, under SCSP, the

Schemes and programmes for SCs and STs

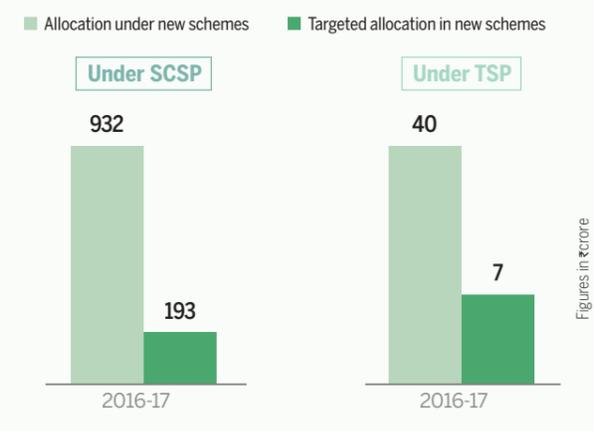
In the case of Bihar, budget data for 2014-15 (BE) is unavailable. Therefore, instead of the graphic on 'budget versus actual expenditure', we have added this section: schemes and programmes for SCs/STs.

Most schemes are unclear and lack details. Allocations for 2016-17 (BE) show that out of 166 schemes under SCSP, 113 have token allocations—below Rs 20 crore. Only 22 schemes have allocations between Rs 20 crore and Rs 50 crore, and allocations for 39 schemes exceed Rs 50 crore.

It is difficult to say how departments can plan for any development in schemes whose allocation is below Rs 5 crore. Notable examples in Bihar being Regional Publicity Scheme (Rs 1.94 crore), Command and Administration (Rs 0.90 crore), Family Oriented Production (Rs 0.50 crore), Bonded Labour Welfare Programme (Rs 0.55 crore), Village Training Camp (Rs 0.31 crore) and SABLA (Rs 0.51 crore). Per capita expenditure on Dalits in some of these schemes is as low as 38 paise. Given the small budgets of these schemes, and the absence of details on them, it is unclear how these small amounts have helped those eligible.

New scheme versus targeted benefit

1.4: New scheme versus direct benefit



In 2016-17, 24 new schemes have been launched under SCSP and 14 under TSP. In the new SCSP set, only 4 directly benefit SCs, while the remaining 20 are notional in nature. In the TSP set, only 4 schemes, with a combined allocation of Rs 6.71 crore, have direct benefits for STs.

Examples of non-direct schemes under SCSP

Construction of Highways (main construction work)

Allocation for 2015-16: **Rs 242.8 crore**
 Allocation for 2016-17: **Rs 565.1 crore**
 Profile: Highways cater to all people, irrespective of caste. So, this scheme clearly violates SCSP/TSP guidelines.

Construction of Medical College (main construction work and purchase of equipment)

Allocation for 2015-16: **Rs 200.0 crore**
 Allocation for 2016-17: **Rs 400.0 crore**
 Profile: The scheme's objective is to construct a medical college and purchase equipment. It is difficult to assess how SCs have benefited. No scheme details are available.

Salary/Incentives for Elected Members of Panchayati Raj Institutions (PRIs)

Allocation for 2015-16: **Rs 35.2 crore**
 Allocation for 2016-17: **Rs 57.2 crore**
 Profile: This scheme provides facilities to only PRI members. It is difficult to ascertain how it will contribute to the overall development of Dalits.

Construction of Building for Agriculture Department (object head: main construction work)

Allocation for 2015-16: **Nil**
 Allocation for 2016-17: **Rs 22.5 crore**
 Profile: The scheme has no direct relation to development of SCs in Bihar.

Examples of non-direct schemes under TSP

Ajeevika Mission/NRLM

Allocation for 2015-16: **Rs 115.1 crore**
 Allocation for 2016-17: **Rs 29.9 crore**
 Profile: This scheme addresses livelihood opportunities in rural areas. However, it doesn't benefit SCs alone, and it is difficult to assess how many SC families have benefitted.

MGNREGA

Allocation for 2015-16: **Rs 16.1 crore**
 Allocation for 2016-17: **Rs 86.8 crore**
 Profile: As per policy guidelines, MGNREGA should not be

included under SCSP or TSP as it is wage-based programme, or food-for-work programme.

Examples of good schemes that benefit SCs directly

Mahadalit Vikas Yojana

Allocation for 2015-16: **Rs 220.0 crore**

Allocation for 2016-17: **Rs 250.3 crore**

Profile: Its objective is the economic empowerment of Mahadalit Communities in Bihar. An umbrella scheme, it directly benefits Dalit communities.

Scholarship for SC students

Allocation for 2015-16: **Rs 502.6 crore**

Allocation for 2016-17: **Rs 430.0 crore**

Profile: Directly benefits SC students by providing financial assistance to them for education at various levels.

Indira Awaas Yojana

Allocation for 2015-16: **Rs 1,098.1 crore**

Allocation for 2016-17: **Rs 655.8 crore**

Profile: It primarily provides assistance to SC/ST and non-SC/ST households living below the poverty line to construct houses and upgrade existing unserviceable kutcha houses.

Examples of good schemes that benefit STs directly

Bihar Kaushal Vikas Yojana

Allocation for 2015-16: **Nil**

Allocation for 2016-17: **Rs 4.1 crore**

Profile: Provide skill development training to youth from ST communities.

Assistance to Fishermen (Training and Subsidy)

Allocation for 2015-16: **Rs 4.9 crore**

Allocation for 2016-17: **Rs 4.4 crore**

Profile: This is a scheme with direct benefits to STs.

Umbrella Scheme for Education of ST students

Allocation for 2015-16: **Rs 17.1 crore**

Allocation for 2016-17: **Rs 10.1 crore**

Profile: Provides scholarships to ST students for education at various levels.

List of references

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2. Planning and Development Department, Bihar
3. Bihar Plan Expenditure, 2016-17
4. DDGs 2016-17, Government of Bihar
5. Explanatory Memorandum and Annual Financial Statement, 2016-17



Delhi

1.1: Demographic profile

	SC
Population	2.81 million
Share in population	16.8%
Child sex ratio	891
Percentage of rural population who are BPL	Not applicable
Literacy rate	74.0%

Sex ratio is number of girls per 1,000 boys aged 0-6 years

BPL: Below poverty line

Literacy rate is among population aged 7 years and above

Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Delhi Budget

The Delhi government introduced SCSP in 2006-07. But it has been continuously dogged by issues. The malaise of SCSP fund diversion towards the general sector continues even with the present government. The biggest such diversion was Rs 744 crore from SCSP between 2006-07 and 2010-11 being used for infrastructure development for the 2010 Commonwealth Games.

In the history of SCSP allocation in Delhi, not once has it been proportionate to population. As per Census 2011, 16.8% of Delhi's population are SCs. Hence, under SCSP, 16.8% of the total Plan budget needs to be allocated towards their development. But, in the last six years, from 2011-12 to 2016-17, SCs in Delhi have been denied Rs 13,523 crore.

In 2015-16 and 2016-17, only six of the 27 departments/sub-departments were allocating funds under SCSP. Barring the Department of Health and Family Welfare, other departments don't give a detailed breakup of allocation across salary, grants-in-aid, infrastructure development and direct benefitting schemes, making it difficult to track the purpose for which money is used and increasing the possibility of fund diversion for other purposes.

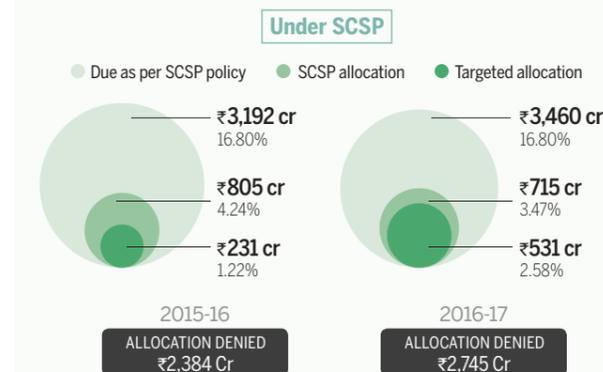
Even the last two two landmark budgets don't have a place for development of Dalits:

- In 2015-16, of the state plan size of Rs 19,000 crore, the SCSP allocation was a mere Rs 805 crore (4.24%). According to population proportion, it should have been Rs 3,192 crore. This means Rs 2,385 crore has been denied

by the government.

- Although the 2016-17 plan outlay of Rs 20,600 crore was higher than the 2015-16 figure, the SCSP allocation fell to Rs 715 crore (3.47%). According to population proportion, it should have been Rs 3,461 crore. In other words, the denial rate was seen to be around 80%.

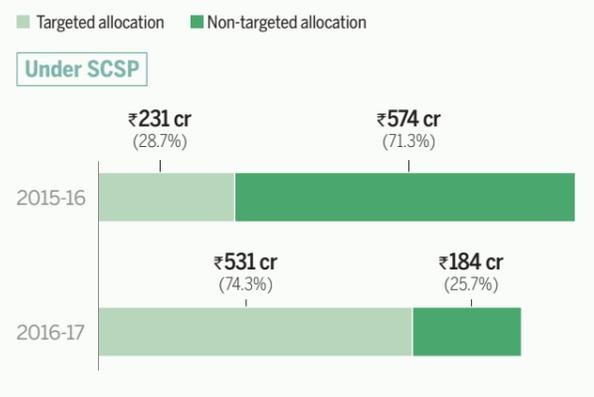
1.2: Share of allocation in state budget



Targeted versus notional/non-direct allocation

As mentioned above, 'general' and 'notional' allocations account for a majority of SCSP allocations in both years in Delhi. Policy guidelines specify that "SCSP and TSP funds should be non-divertible and non-lapsable". But our analysis shows that many schemes under SCSP are non-targeted in

1.3: Nature of allocation



of outcomes, these sectors can be classified under 'social services' and 'economic services'.

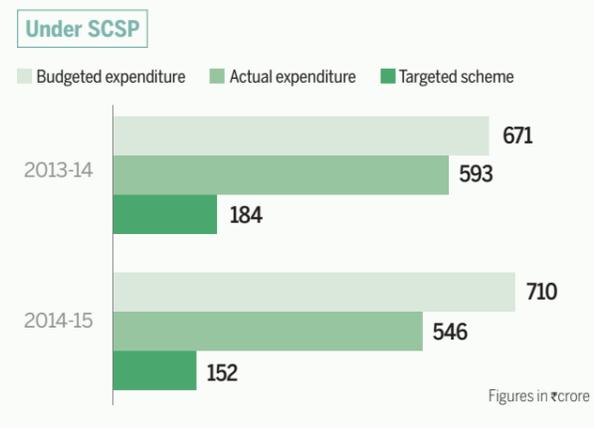
Social services promote social development, and include departments like education, arts and culture, medical and public health, women and child development, and water supply and sanitation. For SCs, most schemes under this head are of the nature of survival. Economic services include departments like rural development, agriculture and allied services, industry and minerals, science and technology, environment and transport. These are developmental in nature. Few sectors have the component of social protection and provide a scope for participation.

For 2016-17, the government of Delhi has allocated mostly for survival needs, instead of developmental needs of SCs. The maximum allocation is for survival (71%), followed by development (18%), and there is a negligible amount set aside for participation (10%) and protection (1%). This shows the low priority accorded by the government towards the economic growth of SCs.

Budget versus actual expenditure

In 2013-14, the total budgetary allocation (budget estimate or BE) was Rs 671 crore, while actual expenditure (AE) was Rs 593 crore. Of the total BE, Rs 184 crore was for targeted schemes. Similarly, for 2014-15, the total BE was Rs 710 crore. But the AE was Rs 546 crore, while Rs 152 crore was allocated for targeted schemes. Such multi-stage denial of allocation—from share to due allocation to targeted allocation—create a large negative impact on the overall development of SCs. These are regressive budgetary practices.

1.4: Budgeted versus actual expenditure



nature, increasing the possibility of diversion of SCSP funds.

In 2015-16, only Rs 231 crore (29%) was allocated for the direct benefit of Dalits. The Department for the Welfare of SC/ST/OBC/Minorities made the maximum direct allocation, of Rs 171 crore.

By comparison, the non-direct allocation was Rs 574 crore, or 71% of total SCSP allocation. Just 10 of the 75 schemes received almost 80% of this. The maximum allocation was to construct buildings for schools (Rs 180 crore). This was followed by Rs 60 crore under the Senior Citizen Pension Scheme (Expansion of Old Age Assistance) and Rs 55 crore to improve infrastructure (roads, localities, streetlights, etc. in each assembly constituency). In all these three schemes, there was no mechanism to track the social background of beneficiaries.

In 2016-17, of the total SCSP allocation of Rs 715 crore, the targeted allocation is Rs 531 crore (74%) and non-direct allocation is Rs 184 crore (26%).

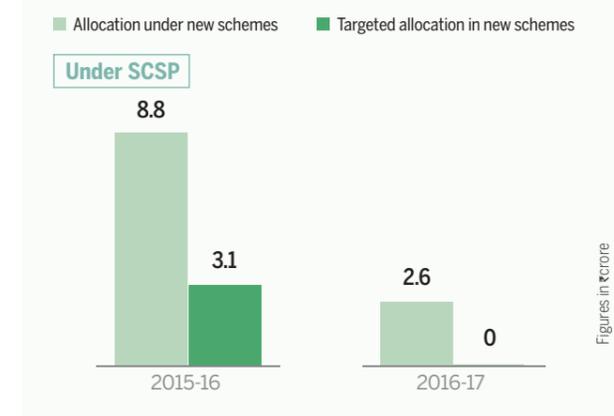
The Government of Delhi is wilfully ignoring the SCSP/TSP policy, which specifies a basket of innovative and area-oriented schemes to directly benefit SC beneficiaries. Worse, the situation is not improving—the same irrelevant schemes are being repeated year after year.

Category-wise allocation (survival, development, participation and protection)

In Detailed Demand for Grants (DDG), the plan allocation/outlays are segregated by sector. Seen through the prism

New scheme versus targeted with direct benefit

1.5: New scheme versus direct benefit



In 2015-16, the total amount for new schemes was Rs 8.78 crore, of which, Rs 3.07 crore was direct allocation. In 2016-17, the total allocated amount for newly-launched schemes is Rs 2.62 crore, and all of it is non-direct.

Six new schemes were introduced in 2015-16, but only two in 2016-17. In 2015-16, the schemes were launched under three departments: Social Welfare, Urban Development and Public Works, and Development. Of this, two were direct benefitting schemes for SCs: a residential school for weaker sections of SC/OBC/minorities/orphans at village Ishapur, in collaboration with KISS society; and Implementation of Prohibition of Employment as Manual Scavenger and their Rehabilitation. In 2016-17, the two departments that launched new schemes were Department of Development (IDRV Works, including water bodies through DRDB, including 5% outlay for repair of IDRV Works and Urban Development Public Works) and Urban Development Public Works (loans to North Delhi Municipal Corporation for development of regularised unauthorised colonies).

In 2015-16, the total amount for new schemes was Rs 8.78 crore, of which, Rs 3.07 crore was direct allocation. In 2016-17, the total allocated amount for newly launched schemes is Rs 2.62 crore, and all of it is non-direct.

Examples of notional/general schemes under SCSP

Senior Citizen Pension Scheme (Expansion of Old Age Assistance)

Allocation for 2015-16: **Rs 60 crore**

Allocation for 2016-17: **Rs 60 crore**

Profile: Provide social security by way of financial assistance (Rs 1,000 per month) to destitute, old and disabled persons above 60 years of age without any means of subsistence. Besides SCs, the SCSP amount is being used for others also. This is a violation of policy guidelines.

Grants-in-aid to DUSIB for construction of pay and use Jan Suvidha Complexes

Allocation for 2015-16: **Rs 15 crore**

Allocation for 2016-17: **Rs 30 crore**

Profile: The scheme aims to address environmental problems arising from slum dwellers defecating in the open. As per a survey done by the Food & Civil Supplies Department, as on January 31, 1990, there were 9.5 lakh dwellers in notified slums and 13 lakh dwellers then staying on encroached public land, and the scheme was to cover them.

SCSP guidelines don't allow the usage of SCSP funds in a way that benefits all.

Construction of building for dispensary/health centre

Allocation for 2015-16: **Rs 6.5 crore**

Allocation for 2016-17: **Rs 9.2 crore**

Profile: The Directorate of Health Services is responsible for planning and building dispensaries and hospitals in Delhi. These services will be available for all and not just for SCs, which violates policy guidelines.

Construction of school buildings

Allocation for 2015-16: **Rs 180 crore**

Allocation for 2016-17: **Rs 84 crore**

Profile: The Department of Education, through the Finance (Budget) Infrastructure Desk, has the mandate to construct school buildings.

The scheme is good, but it targets everyone and not just SCs, which violates policy guidelines.

Grants to DUSIB for construction of houses for weaker section (JNNURM)

Allocation for 2015-16: **Rs 20 crore**

Allocation for 2016-17: **Rs 20 crore**

Profile: The Delhi Urban Shelter Improvement Board is the nodal agency for relocation/rehabilitation of slum dwellers. Since the scheme does not conform to policy guidelines to provide benefits to SCs only, it is notional in nature.

Grants to DUSIB for environmental improvement in urban slums

Allocation for 2015-16: **Rs 12.5 crore**

Allocation for 2016-17: **Rs 14 crore**

Profile: Provide basic amenities in slum clusters, including internal lanes/drains, community toilets and Shishu Vatika for children.

The scheme is being implemented by the government in a way that doesn't ensure direct benefits to the target group.

Improving infrastructure (roads, localities, street lights, etc) in each assembly constituency

Allocation for 2015-16: **Rs 55 crore**

Allocation for 2016-17: **Rs 55 crore**

Profile: Launched as the MLALAD scheme in 1994-95, it gives Rs 4 crore to every MPA every year.

Funds can't be used from SCSP for general purposes.

Examples of good schemes benefiting SCs directly

Grants-in-aid to DUSIB for financial assistance to SC slum dwellers under Rajiv Ratan Awaas Yojana

Allocation for 2015-16: **Rs 0.01 crore**

Allocation for 2016-17: **Rs 0.01 crore**

Profile: Provides subsidy/reimbursement to SC slum dwellers chosen for relocation under a DUSIB scheme. The assistance is equivalent to the beneficiary contribution required under the relocation scheme.

Allocation to such a good scheme that provides direct benefit is very low. It should be increased to enable a slum-free city.

Scholarship/merit scholarship to SC/ST/OBC/minority students

Allocation for 2015-16: **Rs 44 crore**

Allocation for 2016-17: **Rs 47 crore**

Profile: A student can avail the scholarship either under the State Plan Scheme or Centrally Sponsored Scholarship Scheme, whichever is beneficial to him/her. They need to inform the awarding authority through the head of the institution by mode of a declaration.

Allocation to such a direct benefitting scheme should be increased.

Loan to DSFDC for Delhi Swarozgar Yojana for SC/ST/OBC/minorities

Allocation for 2015-16: **Rs 3 crore**

Allocation for 2016-17: **Nil**

Profile: This corporation aims to bring all-round economic development and upliftment of SCs in the NCT of Delhi.

It's a good scheme with direct benefit. However, unfortunately, the implementing agency has a poor image and is now defunct. It should be made fully functional, with adequate funding.

Free supply of textbooks

Allocation for 2015-16: **Rs 22 crore**

Allocation for 2016-17: **Rs 25 crore**

Profile: Provide free supply of textbooks to students from nursery to Class XII.

Improvement of SC bastis

Allocation for 2015-16: **Rs 45 crore**

Allocation for 2016-17: **Rs 45 crore**

Profile: Aims to improve living conditions in bastis habituated mostly by SCs by carrying out civil works such as repair of chaupals, construction of common bathrooms and community latrines, repair/relaying of drains and pavements, construction of bituminous roads or CC flooring approach roads or kharanjas as per requirement, repair of SC dharamshalas, etc.

One of the popular schemes under this sector, it has improved living conditions in SC clusters, both authorised and unauthorised. It should be scaled up to cover bastis that come under the 11 reserved districts of Delhi.

Hostel for Scheduled Caste Girls

Allocation for 2015-16: **Rs 0.46 crore (RE)**

Allocation for 2016-17: **Rs 0.34 crore**

Profile: Provide hostel facilities to SC girls for a congenial study environment.

Training SC labourers through short-term courses for self-employment

Allocation for 2015-16: **Rs 0.06 crore**

Allocation for 2016-17: **Rs 0.1 crore**

Profile: Provides special training/coaching to SCs to prepare them for jobs in the private sector or to turn entrepreneurs. There is a proposal to include various categories of skill development programmes.

It's a good initiative, but the allocation is token and needs to be increased.

List of references

1. Guideline for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006)
2. Report of Jadhav Task Force to Review Guidelines on Scheduled Castes Sub-Plan (SCSP) and Tribal Sub-Plan (TSP), June, 2010, Planning Commission
3. NCT of Delhi Detailed Demand for Grants, (DDG) 2011-12 to 2016-17
4. Website of National Informatics Centre, Government of NCT of Delhi & Census India 2011, Office of the Registrar General-India
5. Economic Survey, Delhi-2007-08
6. Delhi Statistical Data, 2015



Gujarat

1.1: Demographic profile

	SC	ST
Population	4.07 million	8.91 million
Share in population	6.7%	14.8%
Child sex ratio	931	953
Percentage of rural population who are BPL	16.00%	21.40%
Literacy rate	79.2%	62.5%

Sex ratio is number of girls per 1,000 boys aged 0-6 years

BPL: Below poverty line

Literacy rate is among population aged 7 years and above

Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Gujarat Budget

In the last few years, Gujarat has gained attention due to several socio, economic and political factors. One of the most developed states of India, it has seen severe atrocities against Dalits and Adivasis. On a daily basis, there is news of targeting of Dalits and Adivasi communities with discrimination, denial of basic amenities, atrocities and human rights violations, and rapes. The government has not taken any significant measures to protect marginalised communities.

Economic empowerment of SCs/STs through targeted budgetary allocation under SCSP and TSP could be an important tool to end atrocities against them. But our analysis of SCSP/TSP allocations by Gujarat show the state government's apathy.

For the last 36 years, from 1979-80 to 2016-17, the state government has continuously violated the Planning Commission Guidelines for SCSP. It has not allocated funds to SCSP from the state Plan outlay that is proportionate to the share of SCs in the state's population (6.7%). It has also not opened Minor Head Code 789 for SCSP—the budgetary code that differentiates the Dalit Budget from other sector budget. Without this, there is a greater chance of fund diversion for purposes that are not intended in the Budget estimates (BE).

In 2016-17, Gujarat has a total budget size of Rs 1,51,851 crore. The Plan size is Rs 85,557 crore, an increase of 7.3% over last year. However, there is a negligible increase in SCSP

allocation, the amount denied to SCs is increasing by the year and a big chunk of what is allocated is being routed through non-direct avenues.

- In 2016-17, 21 of 24 departments made allocations under SCSP.
- On the one hand, SCSP allocation has declined in key departments that aid in economic development of SCs/STs: education, agriculture and cooperation, health and family welfare, social justice and empowerment, information and broadcasting, sports, youth services and cultural activity.
- On the other hand, there is higher allocation to Department of Road and Building, and Department of Urban Development and Urban Housing. This indicates more non-direct allocations—and fewer benefits for the Dalit and Adivasi community.
- In 2016-17, 347 schemes and programmes are making allocations under SCSP. Most schemes with substantial allocations are either notional or general in nature, with very little relevance for marginalised communities.

Overall allocation

In 2016-17, allocation under SCSP is Rs 3,997 crore, or 4.7% of the total plan outlay. According to SCSP guidelines-population proportion allocation, the SCSP allocation should have been

1.2: Share of allocation in state budget

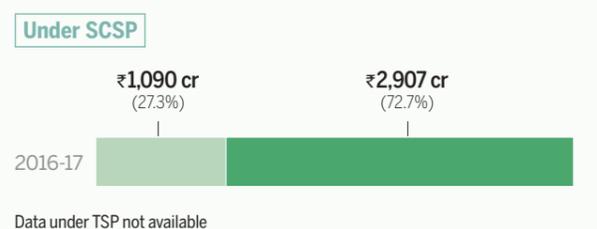
● Due as per SCSP policy ● SCSP allocation ● Targeted allocation



analysis, 73% of the SCSP allocation in 2016-17 is non-direct allocation—it is notional and doesn't benefit Dalits directly. The Planning Commission guidelines mandate all allocations to be direct.

1.3: Nature of allocation

■ Targeted allocation ■ Non-targeted allocation



Several departments have done allocations under SCSP simply to tick a box and most of their schemes don't definitely benefit Dalits directly. To mention a few, the Urban Development Department has allocated Rs 239 crore under the Swarnim Jayanti Mukhya Mantri Shaheri Vikas Yojana; the Roads and Bridges Department allocated Rs 150 crore to improve rural roads in various talukas (Including in the Mukhya Mantri Gram Sadak Yojana); Rs 132 crore has been allocated for the Sarva Shiksha Abhiyan; the discretionary outlay for Balanced Development of Districts has allocated Rs 109 crore for contributions to Panchayats; grants-in-aid general to others.

Category-wise allocation

We have classified SCSP schemes into four categories, based on their usability to the SC community: survival-oriented schemes, developmental, protection and participation. In 2016-17 (BE), under SCSP, the major allocation was to survival-oriented schemes (Rs 1,840 crore), followed by developmental (Rs 1,241 crore), protection (Rs 390 crore) and participation (Rs 25 crore).

Just survival-oriented schemes will not make any difference to Dalit lives. For holistic development, they need all categories of schemes, with a balanced allocation. The above categorisation has been done with overall SCSP allocation, not with targeted allocation. The categorisation of targeted allocation may present a different picture.

6.7%, or Rs 5,766 crore. Thus, Rs 1,769 crore is denied for Dalit development in this year's budget alone. Over the last five budgets, the cumulative denied amount exceeds Rs 5,000 crore.

According to 2014-15 AE, the SCSP allocation is 6%, which is a higher allocation than 2014-15 BE. But, as mentioned above, in the absence of Minor Head Code 789 in the budget classification in Gujarat, it is difficult to find out the real flow of SCSP funds to the Dalit community. After an in-depth analysis of each scheme, it clearly appears as 'paper allocation' or 'retro-accounting'.

The 'object head description', which states the exact nature of expenditure, also shows another side of government apathy towards Dalits in Gujarat. Of the total expenditure under SCSP, 43% (Rs 1,595 crore) is given as grants-in-aid. Further, Rs 186 crore is given for construction (buildings, roads, renovations) and Rs 114 crore for salary and other administrative expenses (LTC, festive advances, office expenses, house rent, etc).

The budget book does not give further details on expenditure of grants-in aid and subsidy grants. Further, for many expenses, it is unclear in which head they will be utilised, and are put in the other expenditure category. Such suspicious heads of expenditure, which wipe out almost 50% of the total SCSP budget allocation, are another form of denial allocation to Dalit budget.

Targeted versus notional/non-direct allocation

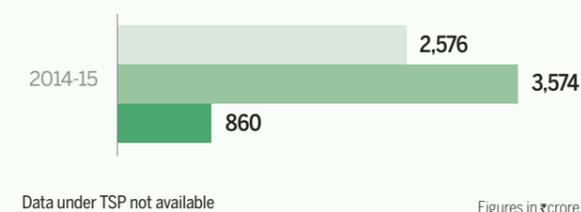
Although the SCSP budget allocation is increasing, the quality of allocation remains a big concern. According to our

Budgeted versus actual expenditure

1.4: Budgeted versus actual expenditure

Under SCSP

■ Budgeted expenditure ■ Actual expenditure ■ Targeted scheme



Budget estimates for SCSP stood at Rs 2,576 crore. By comparison, the amount due to Dalit communities was Rs 3,701 crore. For the same year, the actual expenditure amounted to Rs 3,573 crore. This huge variation between BE and AE points towards a fundamental problem of lack of planning, purpose and clarity in allocating and implementing the Dalit budget in the state due to the Gujarat government lacking political will.

New scheme versus targeted with direct benefit

1.5: New scheme versus direct benefit

■ Allocation under new schemes ■ Targeted allocation in new schemes



Under SCSP, 23 new schemes have been launched in 2016-17. Only 2 of these schemes directly benefit SCs.

Examples of notional/non-direct schemes under SCSP

Swarnim Jayanti Mukhya Mantri Shaheri Vikas Yojana (SJMMSVY)

Allocation in 2016-17: **Rs 239.79 crore**

Object head description: Grants-in-aid general to local bodies. Profile: To provide infrastructure facilities like internal roads, streetlights and water pipelines in private societies on a participatory basis. For urban mobility (city bus service, traffic management, flyover bridge, railway over-bridge and under-bridge, ring roads and radial roads).

The scheme is designed for the general urban population, with no direct link to SC development. Physical data of SC beneficiaries for this scheme is unavailable.

Share capital contribution to Sardar Sarovar Narmada Nigam Limited

Allocation in 2016-17: **Rs 200 crore**

Object head description: Capital outlay on major irrigation for the Narmada Project Group-IV.

Profile: Notional allocation. How this will benefit SCs and where?

Roads and bridges

Allocation in 2016-17: **Rs 150 crore**

Object head description: Improvement of rural roads in various talukas (including Mukhya Mantri Gram Sadak Yojana).

Profile: Purely an infrastructure development programme, which is against SCSP guidelines. Details such as how many SC hamlets will be connected are not available.

Repair and new construction in Government Training Centre

Allocation in 2016-17: **Rs 109.32 crore**

Object head description: Grants-in-aid General to others.

Profile: A construction and repair-related allocation for government establishments, which does not contribute to the overall development of the Dalit community in Gujarat.

Mahatma Gandhi National Rural Employment Guarantee Act (MGNREGA)

Allocation in 2016-17: **Rs 96 crore**

Object head description: Grants-in-aid general to others.

Profile: To increase livelihood security in rural areas by providing at least 100 days of guaranteed wage employment in a financial year to every household.

As per SCSP policy guidelines, MGNREGA should not be included under SCSP/TSP as it is wage-based programme or food-for-work programme. So, it clearly violates SCSP/TSP guidelines.

Community Health Centre Finance Commission-NABH

Allocation in 2016-17: **Rs 71.17 crore**

Object head description: New construction of 15 sub-centres main building with compound wall.

Profile: This is a notional scheme.

Medical College, Patan

Allocation in 2016-17: **Rs 59.81 crore**

Object head description: Grants-in-Aid general to others.

Profile: Contribution towards construction of a medical college, purchase of equipment, salary, office expenses, etc. It is difficult to assess how much SCs have benefited from this scheme. No specific details of the scheme are available anywhere.

Infrastructure development

Allocation in 2016-17: **Rs 87 crore**

Object head description: Grants to Panchayats for creation of capital assets.

Profile: Doesn't benefit SCs alone and it is difficult to assess how many SC families have benefitted from it.

Examples of good schemes that benefit SCs directly

Shri Jugat Ram Dave Ashram Schools

Allocation in 2016-17: **Rs 23.93 crore**

Profile: This scheme provides assistance to voluntary organisations that run the Ashram School, with the objective of increasing participation by the SC/ST community. The scheme directly benefits Dalit communities.

Government of India scholarship for (post SSC) students

Allocation in 2016-17: **Rs 250 crore**

Profile: Directly benefits SC students by providing financial assistance for education at post-SSC levels.

Muni Metraj State scholarship for pre SSC children whose parents are engaged in unclean occupations

Allocation in 2016-17: **Rs 31.59 crore**

Profile: One-time financial assistance to SC students admitted

from Class VII to Class XI in any school. It includes admission fee, tuition fee, hostel fee, food bill, books, uniform and other ancillary expenses. Students who got admission in Class VI and Class XI in Sainik School, Balachadi, are being extended this benefit. This is a direct benefitting scheme for SCs.

Assistance for construction of houses in house sites allotted for poverty alleviation programmes (Sardar Patel Awaas Yojana)

Allocation in 2016-17: **Rs 30 crore**

Profile: Under implementation since 1972, the scheme provides free housing plots for landless agricultural labourers and village artisans living below poverty line in rural areas of Gujarat. A scheme to give assistance for construction of houses on such allotted plots came into force in 1976. Most beneficiaries are landless SC families.

Loans for higher studies in foreign countries

Allocation in 2016-17: **Rs 21.75 crore**

Profile: To be granted to SC students, regardless of income, pursuing higher studies in foreign countries. The scheme directly benefits SC students.

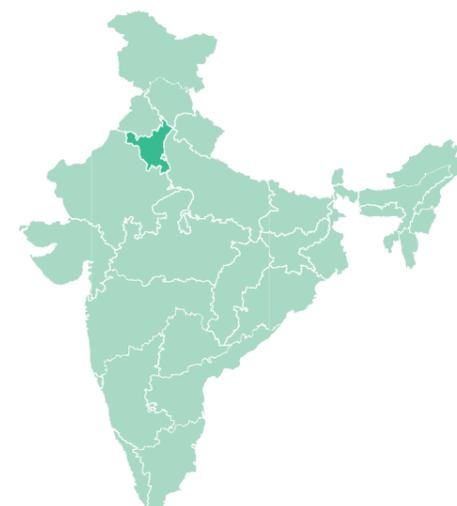
Special Nutrition Programme

Allocation in 2016-17: **Rs 39.01 crore**

Profile: Cost of ration charges (diet charges). The benefit of the scheme is going directly to SC students covered under MDM programme.

List of references

- Budget Publication No. 24-II Social Justice & Empowerment Department Gujarat 2016-17 under Demand No. 95
- DDGs 2016-17, Government of Gujarat
- Publication No. 35 Development of Program
- Guideline for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006)
- Annual Financial Statement 2016-17
- Demographic data Census 2011
- Source of Scheme details: <https://sje.gujarat.gov.in/dscw/showpage.aspx>



Haryana

1.1: Demographic profile

	SC	ST
Population	5.11 million	Not applicable
Share in population	20.2%	Not applicable
Child sex ratio	876	Not applicable
Percentage of rural population who are BPL	26.8%	Not applicable
Literacy rate	65.6%	Not applicable

Sex ratio is number of girls per 1,000 boys aged 0-6 years
 BPL: Below poverty line
 Literacy rate is among population aged 7 years and above
 Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Haryana Budget

The Haryana government adopted SCSP in 2009-10. However, since the very beginning, allocations have never been in proportion to the state's SC population. In Haryana, there is no official ST population.

According to Census 2011, SCs form 20.2% of the total population. Hence, SCSP allocations, as per SCP guidelines 2006, need to be 20.2% of the total budgetary plan allocations. In 2014-15 and 2015-16, Rs 4,047 crore (18%) and Rs 4,585 crore (17.8%) was allocated under SCSP. The total SCSP allocation for 2016-17 is Rs 5,040 crore (15.9%). According to SCP guidelines 2006, allocation in proportion to the population is Rs 6,384 crore. Hence, Rs 1,344 crore was denied under SCSP in 2016-17.

In 2015-16 and 2016-17, only 24 of the 53 departments have allocated funds under SCSP. The highest allocation is by the Department of Social Security and Welfare (Rs 892 crore

in 2015-16 and Rs 1,049 crore in 2016-17). Other departments allocating high amounts under SCSP are education (Rs 746 crore and Rs 796 crore), rural and community development (Rs 741 crore and Rs 604 crore), local government (Rs 605 crore and Rs 654 crore), buildings and roads (Rs 299 crore and Rs 496 crore), and welfare of SCs & BCs (Rs 199 crore and Rs 463 crore).

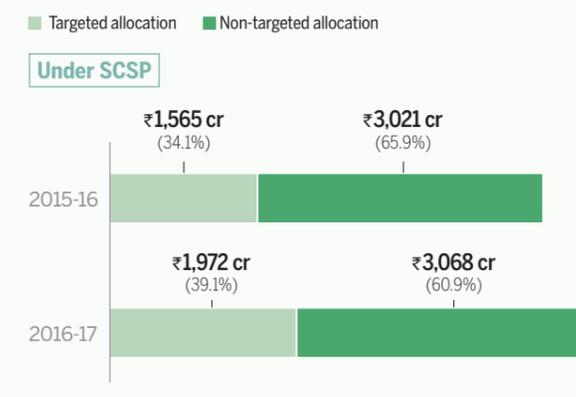
However several other departments crucial for the overall economic and human resource development of the community don't receive adequate allocations. These are health, agriculture, animal husbandry, industrial training, technical education, and sports and youth welfare.

Targeted versus notional/non-direct allocation

1.2: Share of allocation in state budget



1.3: Nature of allocation



In 2015-16, only Rs 1,556 crore (34% of SCSP) was allocated for the direct benefit of Dalits, while Rs 3,021 crore (66%) was the non-direct allocation. For 2016-17, non-direct allocation is

Rs 3,068 crore (61%) and direct is Rs 1,972 crore (39%).

Non-direct allocations service a state's overall population, not just SCs. The high share of non-direct allocations shows the government is ignoring the SCSP/TSP policy guideline that mandates allocations to be made towards a basket of innovative and area-oriented schemes for the direct benefit of SC beneficiaries.

Categories-wise allocation (survival, development, participation and protection)

The government of Haryana has allocated mostly for survival needs, rather than for developmental needs of SCs: 56% in 2015-16 and in 2016-17 was allocated for survival schemes. Only 33% and 34% in the respective years was earmarked for developmental schemes. The allocation amount is negligible under participation (9% in both years) and protection categories (2% and 1%, respectively). This shows economic growth of the community is a low-priority area for the government.

Budget versus actual expenditure

1.4: Budgeted versus actual expenditure

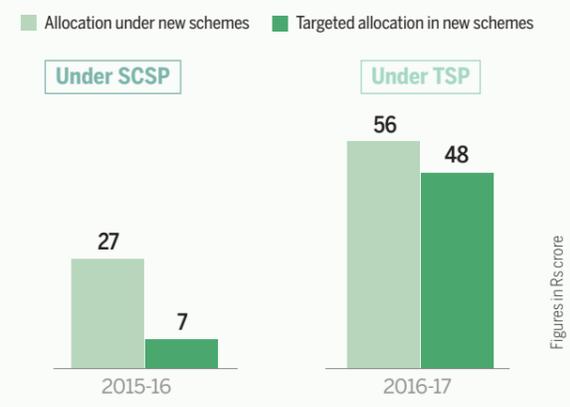


For 2013-14, the total actual expenditure was Rs 1,906 crore, against the Budget Estimate of Rs 3,206 crore. Of the total actual expenditure, Rs 1,090 crore was spent on targeted schemes for SCs. For 2014-15, the total actual expenditure was Rs 2,966 crore, against the BE of Rs 4,048 crore and Rs 1,464 crore spending on targeted schemes.

New scheme versus targeted with direct benefit

For 2015-16 and 2016-17, our analysis of new schemes shows

1.5: New scheme versus targeted benefit



that under SCSP, four new schemes under four departments were introduced: local government, public health and water supply, health and welfare of SC/ST/BCs. The amounts allocated were Rs 27 crore and Rs 55.8 crore, respectively. Of this, only Rs 7.2 crore and Rs 48.2 crore were direct allocations, amounting to 26% and 86% of the total allocated amount under new schemes.

Of the four new schemes, three that benefit SCs directly are operation and maintenance of installations under NRDWP, Arogya Kosh for SC patients, and financial assistance for training to SC candidates in the unorganised sector through private institutions.

Examples of notional and general schemes under SCSP

Scheme for upgradation of chaupals/community centres in municipalities

Allocation in 2015-16: **Rs 20 crore**

Allocation in 2016-17: **Rs 20 crore**

Profile: Under the infrastructure development scheme, the government has allocated funds to construct and upgrade chaupals and community centres in municipalities. This is a violation of the SCSP mandate, which prescribes direct benefit to SC individuals and bastis only, rather than a general utilisation of funds.

Share of surcharge for SC component on VAT for urban local bodies

Allocation in 2015-16: **Rs 421.5 crore**

Allocation in 2016-17: **Rs 472.1 crore**

Profile: Allocating funds to such bodies in the name of surcharge share is a violation of the SCSP mandate. Such huge financial support from targeted plan to an authority won't serve the community.

Scheme for assistance to Haryana Rural Development Authority

Allocation in 2015-16: **Rs 190 crore**

Allocation in 2016-17: **Rs 80 crore**

Profile: Aims to provide financial support to the state's rural development authority. However, it does not ensure any direct benefit to the targeted community, but is for other general purposes. Providing financial assistance to an authority is not part of the SCSP mandate, as it's not a scheme and one can't measure direct benefit to the community.

Sarva Shiksha Abhiyan (SSA)

Allocation in 2015-16: **Rs 124 crore**

Allocation in 2016-17: **Rs 97.2 crore**

Profile: SSA was conceived as a Centrally-sponsored scheme to improve educational status through interventions designed to improve accessibility, reduce gender and social gaps, and enhance learning. It laid down a framework to achieve goals of universal enrolment through time-bound targets and was conceived in a mission mode. This is not a targeted scheme, but is meant for all. The guidelines clearly state that such a general scheme should not be a part of the Sub Plan.

Scheme for National Rural Employment Guarantee for SCs

Allocation in 2015-16: **Rs 53.6 crore**

Allocation in 2016-17: **Rs 66 crore**

Profile: SCSP/TSP guidelines clearly state that "wage component, especially under rural employment schemes, should not be included under SCSP/TSP". No department can allocate funds for any wage component like NREGA, but the Haryana government has done so, on the pretext of employment guarantee to SCs.

Rashtriya Madhyamik Shiksha Abhiyan

Allocation in 2015-16: **Rs 60 crore**

Allocation in 2016-17: **Rs 156 crore**

Profile: Launched in 2009, the scheme aims to increase access to secondary education and improve its quality. Its implementation in Haryana started in 2009-10. It also aims to ensure a secondary school (up to class X) within a radius of 5 km of every neighborhood. Although funds are allocated from SCSP, the scheme is for all and not just the SC community.

Examples of good schemes that benefit SCs directly

Monthly stipends to all Class I to 12 SC Students

Allocation in 2015-16: **Rs 210 crore**

Allocation in 2016-17: **Rs 210 crore**

Profile: The state government started this monthly scholarship

scheme in 2008-09 with the aim of checking the dropout rate among students belonging to weaker sections. In order to encourage SC children studying in government schools, the state's education department has decided to raise their stipend from Class I to XII.

Post-matric scholarships to SCs

Allocation in 2015-16: **Rs 278.5 crore**

Allocation in 2016-17: **Rs 200 crore**

Profile: Aims to provide financial assistance to SC students studying at post-matriculation or post-secondary stage to enable them to complete their education. These scholarships are available for studies in India only and are awarded by the state/union territory government to which the applicant belongs (permanently settled). During 2015-16, the RE was more than the current year's BE, which needs to be increased to encourage and induct more students.

Mahatma Gandhi Gramin Basti Yojana

Allocation in 2015-16: **Rs 55 crore**

Allocation in 2016-17: **Rs 75 crore**

Profile: From time to time, the Planning Commission has been stressing on the need to frame special schemes for the upliftment of SCs in a focused manner. Special schemes were required to be framed for villages with significant SC population. Keeping in view the Planning Commission guidelines, the Mahatma Gandhi Gramin Basti Yojna was launched in Haryana in 2008-09. Under this scheme, the state government allots free residential plots to eligible SC families, backward class (Category A) families and BPL families in villages. In the first phase, plots are being provided from shamilat lands, wherever suitable land is available with Panchayats. In villages with no suitable Panchayat land, it will be made available either by way of exchange with private land owners or by acquisition. Basic infrastructural facilities such as streets, drinking water, drainage and power supply are proposed to be provided, along with these residential plots, in a phased manner.

Mukhya Mantri Anusuchit Jati Nirmal Basti Yojana

Allocation in 2015-16: **Rs 54 crore**

Allocation in 2016-17: **Nil**

Profile: The scheme was launched in 2008-09 to improve the overall quality of life in rural areas by providing basic infrastructure and upgradation of infrastructure in villages having significant SC population. This is in consonance with guidelines issued by the Department of Welfare of Scheduled Castes and Backward Classes, Haryana, and of the Planning Commission, Government of India, regarding formation of schemes for the upliftment of SCs in a focused manner.

Providing free bicycle to SC boy students in Class V

Allocation in 2015-16: **Rs 2 crore**

Allocation in 2016-17: **Rs 6 crore**

Profile: It will benefit only those SC students who don't have a high school or a senior secondary school in their village, and thus commute outside their village for higher education. Students should be a domicile of Haryana and should belong to a caste classified as SC in Haryana. Further, DDOs cannot draw funds above the amount allotted.

Cash award for SC students

Allocation in 2015-16: **Rs 37 crore**

Allocation in 2016-17: **Rs 40 crore**

Profile: Haryana was providing incentives/scholarships to SC students through various schemes. All these schemes were being implemented by the Education Department, though some were budgeted under the Department of Social Welfare or Department of SC/BC. During a review of these schemes, it was felt that students would benefit if all these schemes were consolidated, and the amount disbursed to students as a one-time cash award.

Swaran Jayanti Shahri Rozgar Yojana (SJSRY) for welfare of scheduled castes

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Nil**

Profile: The revised SJSRY aims to provide gainful

employment to the urban unemployed or underemployed poor, or encourages them to set up self-employment ventures (individual or group). This could be way of supporting skill development and training programmes, or through self-managed community structures like neighbourhood groups (NHGs), neighbourhood committees (NHC), community development society (CDS), etc. It's a good scheme for targeted development, but no allocation has been made to it in the last two years, defeating its purpose.

List of references

1. Guideline for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006)
2. Report of Jadhav Task Force to Review Guidelines on Scheduled Castes Sub-Plan (SCSP) and Tribal Sub-Plan (TSP), June, 2010, Planning Commission
3. Haryana Budget at Glance & Plan Budget, 2015-16 and 2016-17
4. Census India 2011, Office of the Registrar General-India



Jharkhand

1.1: Demographic profile

	SC	ST
Population	2.81 million	8.63 million
Share in population	13.0%	26.0%
Child sex ratio	891	943
Percentage of rural population who are BPL	57.9%	54.2%
Literacy rate	74.0%	75.4%

Sex ratio is number of girls per 1,000 boys aged 0-6 years

BPL: Below poverty line

Literacy rate is among population aged 7 years and above

Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Jharkhand Budget

According to Census 2011, SCs comprise 13.0% of the population of Jharkhand and STs 26.0%. The state, which came into existence in 2001, trails the national average in most socio-economic and development indicators; the SC/ST population in the state is even more marginalised.

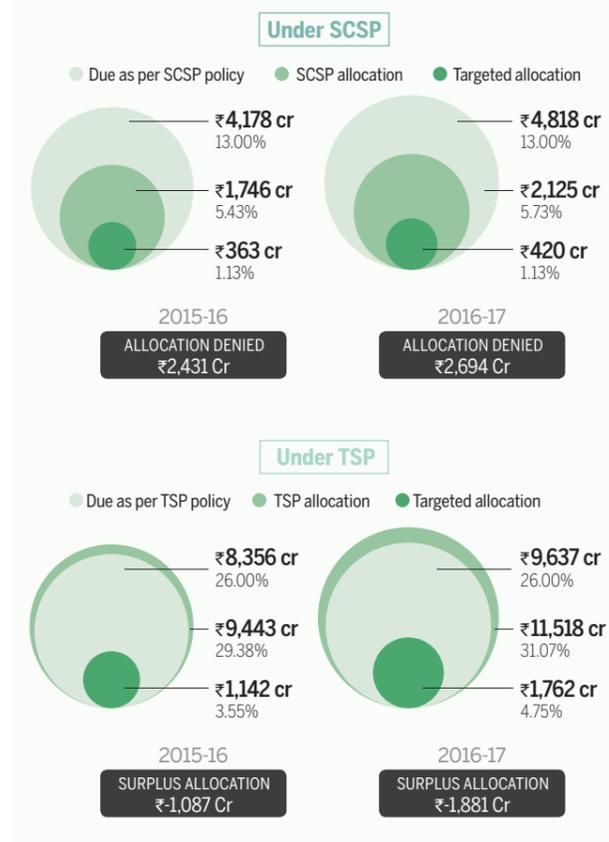
The 2016-17 Jharkhand budget follows the allocation trend of previous years: greater-than-prescribed allocation under TSP and under-allocation in SCSP. The small allocations to targeted schemes means extensive diversion of TSP/SCSP funds continues. Even the greater-than-prescribed allocation under TSP is a mere accounting exercise, intended only to show population-proportion allocation in Jharkhand.

Overall allocations

In 2016-17, allocation under TSP is 31.1% of the state plan outlay, which is greater than the population proportion of 26.2%. However, most allocations are in general schemes, with no direct implication on the overall socio-economic conditions of STs in the state.

In 2015-16, the total state budget amounted to Rs 55,492 crore, of which, plan expenditure was Rs 32,136 crore. As per the TSP policy, 8,355 crore should have been allocated. But actual allotment was Rs 9,443 crore, or a surplus of Rs 1,087 crore. Similarly, in 2016-17, the due allocation was Rs 9,637 crore, but actual allocation is Rs 11,517 crore, or a surplus of Rs 1,880 crore.

1.2: Share of allocation in state budget



Analysis of allocations from previous years shows a big scale-down in the 2015-16 RE, to 24.5%. Yet, the trend of over-allocation in TSP allocation (BE) continues. It would have been

positive had political intentions matched budget statistics, and public resources were actually directed to development priorities such as education, health, livelihoods and food security of the tribal community. Instead, allocations are going to build major roads, major irrigation projects and urban development.

For example, one of the largest allocations of TSP fund is Rs 1,900 crore for the Road Construction Department to build major roads. This is a clear diversion of Adivasi development fund for general use and goes against the guidelines issued by the Planning Commission. Another major diversion of TSP funds in 2016-17 has been the 'Annuity Payment of BOT Project'. The Jharkhand government has diverted Rs 358 crore of TSP funds for a project that is of a general nature and does not comply with TSP directives. In another example, the Energy Department has allocated Rs 173 crore from the TSP fund to provide "loans to Jharkhand Urja Sancharan Nigam Ltd. for transmission". Providing a loan to a company from the TSP fund is against the principles laid by the Planning Commission for implementation of TSP.

It is ironical that development funds of tribals are being used to deny them development rights. In further examples of allocations from the TSP fund that are of a diversionary nature:

- Loan of Rs 148 crore to Jharkhand Bijli Vitran Nigam Ltd for 'Annual Development Programme'.
- Allocations of Rs 76 crore by the Transport Department to 'Assistance Grant to Railway for Various Railway Project in Jharkhand State'.
- Rs 70 crore for grants-in-aid for urban land management and acquisition under the urban development department.
- Allocation of Rs 60 crore by the Home Department for 'modernisation of police'.
- Allocation of Rs 3.5 crore for extension and strengthening of jail building, and Rs 50 lakh each for construction of boundary wall for jail premises and acquisition of land for jail.
- Rs 25 crore allocation as grant-in-aid by the Industries Department for land acquisition and development of acquired land.
- Rs 25 crore allocation by the Tourism, Art Culture and Youth Affairs Department for land acquisition.

- Rs 11 crore allocation by the Urban Development Department for 'Development of Acquired Land and Construction of HIG/MIG/LIG/EWS flats'.
- Rs 8 crore allocation by the civil aviation division for construction and expansion of runway for different district headquarters.

This is a fundamental problem faced by planners, who don't understand the development needs of tribal communities in the state. For example, it is unfortunate the Jharkhand government has stopped allocations to the Indira Gandhi National Old Age Pension Scheme, National Family Benefit Scheme, Indira Gandhi Widow Pension Scheme, Indira Gandhi National Handicapped Pension, Pension Scheme for Primitive Tribal Group, Awareness and Rehabilitation of Child labourers and Rehabilitation Centres for rescued girl and women through anti-trafficking measures.

Coming to SCSP, over the years, allocations to SCSP have increased marginally, but always remained far below the SC population proportion. Allocation under SCSP in 2016-17 is 5.7%, which is not even half the 12.1% population proportion of SCs in the state. The deficit is worse at the RE level. In 2015-16, the BE of 5.43% became an RE of 3.48%.

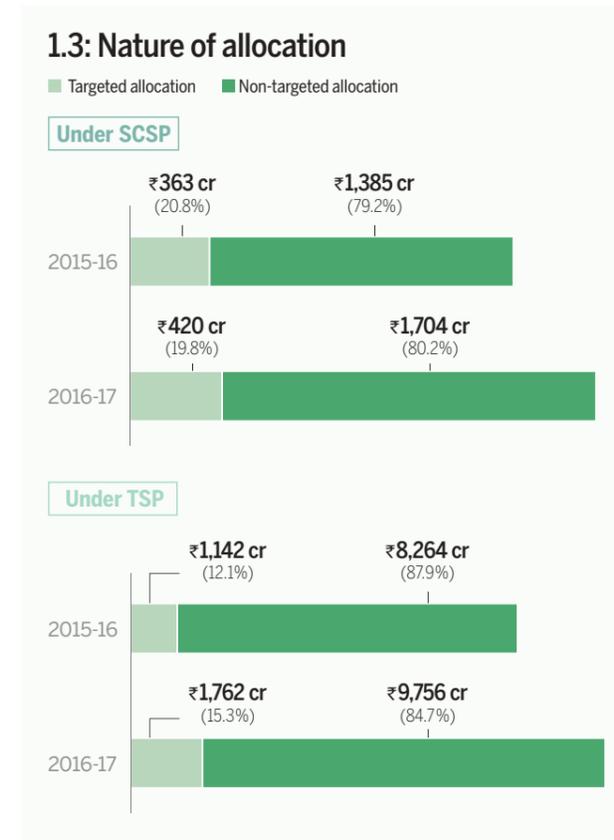
In 2016-17, the BE is 5.7%, or an allocation of Rs 2,125 crore, against the mandated Rs 4,818 crore. Or, an allocation denied of Rs 2,693 crore. Allocation to targeted schemes is Rs 420 crore, which is only marginally better than 2015-16 allocation of Rs 362 crore.

Several major highlights of SCSP allocation in the 2016-17 budget run clearly against the SCSP policy. Instead of providing direct benefits to the state's SC population, they divert money. For example:

- Rs 200 crore allocated to the Swarnrekha Project (State plan), a major hydroelectric project that not only doesn't directly benefit SC communities but also displaces them from their livelihood resources.
- Rs 68 crore loan to Jharkhand Bijli Vitran Nigam Ltd. for 'Annual Development Programme'.
- Rs 80 crore loan to Jharkhand Urja Sancharan Nigam Ltd. for transmission.
- Rs 35 crore for major urban transportation projects, solid waste management, sewerage and drainage, and civic infrastructure

- Grant-in-aid for urban transport system (Rs 12 crore) and for urban land management and acquisition (Rs 10 crore)

Targeted versus notional/non-direct allocations



The critical issue of SCSP/TSP implementation in Jharkhand is, though the quantum of funds have increased over the years, they have, to a great extent, lost focus in terms of clarity of objectives and specificity in implementation. The experience of budget implementation at national and state levels shows that when schemes are designed to be general in nature, they hardly reach beneficiaries and lose the purpose for which they were formulated.

TSP and SCSP allocations in Jharkhand illustrate these characteristics. There is a huge disparity between direct and non-direct allocations: in 2015-16, under TSP, 88% were non-direct allocations and a mere 12% were direct allocations. Thus, a majority of TSP funds lacked clarity of purpose and hence failed in achieving their objective of tribal development. Similarly, in 2016-17, the breakup is 85% in non-direct

allocation and 15% in direct allocation. This has been a major drawback in the allocation of sub plans: they are totally off-mark when it comes to designing schemes to be specific and beneficiary-oriented.

Although the breakup of SCSP allocations is marginally better than TSP, it is plagued by the same inability to target. In 2015-16, non-direct allocation was 79% and direct allocation 21%, mainly because the Department of Social Justice implemented some beneficiary-oriented schemes. In 2016-17, the break up is 80% for non-direct schemes and 20% for direct schemes. This shows that till the purpose and objective of schemes are not spelt out specifically and clearly, funds will only be utilised for general purposes, with no real impact on SC communities.

If we consider the marginal socio-economic status of SC/ST communities in Jharkhand, it is a serious concern that the instructions laid down in the guidelines issued by the Planning Commission for formulation of TSP and SCSP are not being followed. The present sub-plan exercise is merely a listing of schemes, with no objective assessment of previous efforts, and routine clerical statements of financial provisions that are devoid of any pertinent narrations relevant to socio-economic development.

There is neither a conscious effort to delineate factors responsible for the prevalence of acute poverty among SC/ST communities nor any innovative intervention to tackle chronic poverty in a meaningful manner. The problems with effective planning and implementation can be explained under five broad categories: notional and general allocations, inadequate fund allocation, under-utilisation, diversion and administrative issues.

Category-wise allocation (survival, development, participation and protection)

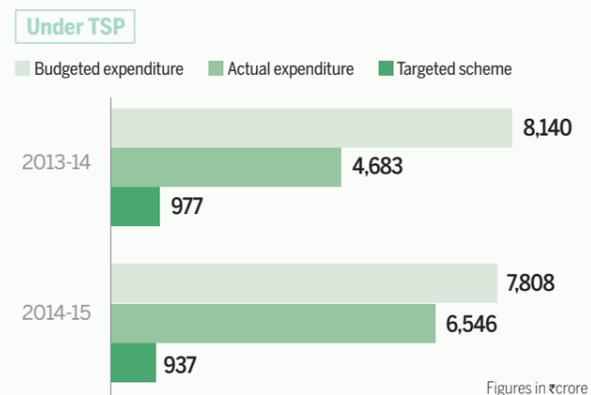
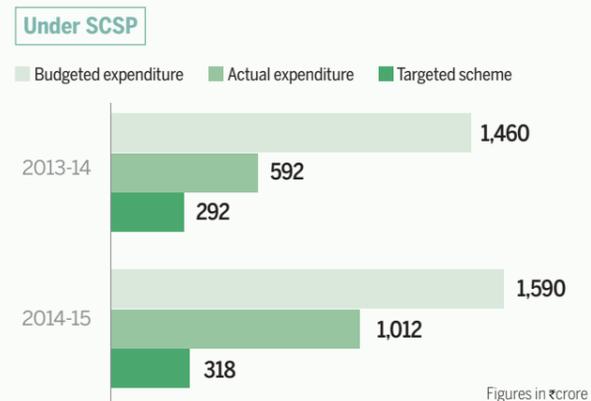
Based on their orientation, nature and objectives, schemes under SCSP and TSP were divided into four categories: survival-oriented, developmental, protection and participation. Under TSP, most schemes fall within the ambit of survival category (allocation of Rs 5,214 crore), followed by development (Rs 2,830 crore). The rest is for participation-related schemes and there is no allocation under schemes related to protection. A similar pattern is seen under SCSP, with schemes related to survival receiving the lion's share, of Rs 858 crore.

Budget versus actual expenditure

Although budget documents show separate allocations, most allocations are notional in nature, with no direct implications on the development of SCs and STs of the state. Higher allocations to TSP made by the Jharkhand government without a proper implementing mechanism only increases the vagueness of the actual expenditure of TSP funds. It is, in fact, itself a source of fund diversion.

There is huge gap between the actual expenditure (AE) and budget estimates (BE) for 2013-14 and 2014-15 (See accompanying graphic) for both TSP and SCSP. Under TSP, while the AE has improved from Rs 4,683 crore in 2013-14 to Rs 6,546 crore in 2014-15, the major concern is that the amount under targeted schemes was only Rs 977 crore in 2014-15, which is simply inadequate. Similarly, under SCSP, the AE has improved from Rs 592 crore in 2013-14 to Rs 1,012 crore in 2014-15, but only Rs 318 crore to targeted schemes. This needs serious policy-level change and reorientation of schemes at the planning and allocation levels.

1.4: Budgeted versus actual expenditure



New schemes versus direct benefit

In 2016-17, there are 146 new schemes under TSP and 81 under SCSP—the single largest expansion of budgetary allocations since the state was formed in 2001. But the nature of allocations make it evident that most new schemes are notional in nature and don't match the rhetorical commitment outlined by the new government in its budget speech.

1.5: New scheme versus direct benefit



Some new schemes introduced under SCSP/TSP allocations are:

- Loans to Jharkhand Urja Sancharan Nigam Ltd. for transmission of power
- Loans to Jharkhand Bijli Vitran Nigam Ltd. for 'Annual Development Programme'
- Building (including machine equipment) M.G.M. Medical College Hospital, Jamshedpur
- Major urban transport projects and civic infrastructure

- Block building Major Work
- Outsourcing of medical officers, staff, cleaning services, security and diagnostic centres for hospitals at all levels and health centres under the Jharkhand government
- Additional state assistance for MDM grant to MDM authority
- Construction and expansion of runway for different district headquarters
- Construction of state excise building
- Concrete boundary for graveyard

None of these schemes are directly beneficial to the Adivasi and Dalit population of the state, and thus amount to a clear diversion of their development funds. As per the guidelines of Planning Commission, such diversions must be stopped immediately and directly beneficial schemes must be devised, introduced and implemented.

Under TSP, allocations to schemes in 2015-16 amounted to Rs 1,336 crore, of which Rs 243 was for schemes directly beneficial to STs. A positive development that year was the initiation of a 'yोजना बनाओ अभियान' (village-level planning campaign), which resulted in a few schemes in demand being included in the budget. However, this has been reversed in 2016-17: against the allocation of Rs 2,237 crore to new schemes, only Rs 75 crore of allocations are to schemes that are directly beneficial for tribal communities.

Similarly, under SCSP, in 2015-16, allocations to new schemes was Rs 379 crore, with Rs 137 crore to schemes which were directly beneficial to SCs. In 2016-17, new schemes have been allocated Rs 978 crore, with Rs 117 crore to directly beneficial schemes.

Some major new schemes introduced this year are the Sawarnrekha project (Rs 200 crore), priority household scheme for food distribution (Rs 78 crore), universal health coverage scheme (Rs 70 crore), distribution of sugar to AAY/PHH family (Rs 40 crore) and legislature scheme (Rs 39 crore).

Examples of non-direct schemes under TSP

Major roads

Allocation in 2015-16: **Rs 1,523 crore**
Allocation in 2016-17: **Rs 1,900 crore**

Profile: Receives highest allocation from TSP funds. Completely general in nature, as the construction of major roads is for the entire population. The scheme has no direct focus on the development of STs in the state.

Minimum needs programme construction of rural roads

Allocation in 2015-16: **Rs 597 crore**
Allocation in 2016-17: **Rs 432 crore**

Profile: Construction of rural roads is not linked to direct benefits of ST population. Therefore, it is general in nature.

Annuity Payment of BOT Project

Allocation in 2015-16: **Rs 285 crore**
Allocation in 2016-17: **Rs 358 crore**

Profile: This allocation is very general in nature and doesn't directly relate to the development needs of the tribal community.

Examples of non-direct schemes under SCSP

Loan to Jharkhand Bijli Vitaran Nigam Ltd. for 'Annual Development Programme'

Allocation in 2015-16: **Rs 19.2 crore**
Allocation in 2016-17: **Rs 68.4 crore**

Profile: SCSP funds are supposed to be allocated and spent on development requirements of the SC community of the state. A loan from the SCSP fund to a state-owned corporation is against the guidelines of the Sub-Plan policy.

Loan to Jharkhand Urja Sancharan Nigam Ltd. for Transmission

Allocation in 2015-16: **Rs 71.4 crore**
Allocation in 2016-17: **Rs 80.2 crore**

Profile: There is no direct relationship between a loan given to a state-owned entity dealing with electricity distribution and the development priorities of SC communities in Jharkhand.

Examples of good schemes that benefit STs directly

Mukhya Mantri Laxmi Yojana

Allocation in 2015-16: **Rs 50 crore**
Allocation in 2016-17: **Rs 70 crore**

Profile: Provides assistance to BPL families on birth of a girl child. This is a direct benefit.

Pump sets for small and marginal farmers and SHGs/farmers club

Allocation in 2015-16: **Nil**
Allocation in 2016-17: **Rs 36 crore**

Profile: Promotes agriculture-based livelihoods for small and marginal farmers by providing support for small-scale irrigation.

Rainwater harvesting structure-dobha

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 120 crore**

Profile: Provides individual benefits by creating sustainable assets and promoting livelihoods.

Priority household scheme

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 231 crore**

Profile: Focus on providing food security for the most marginalised and poor sections among the tribal community.

Examples of good schemes that benefit SCs directly

Cycle scheme for boy/girl students

Allocation in 2015-16: **Rs 13.28 crore**

Allocation in 2016-17: **Rs 21 crore**

Profile: Provides individual incentives for students from SC community.

Post-entrance scholarships

Allocation in 2015-16: **Rs 28 crore**

Allocation in 2016-17: **Rs 40 crore**

Profile: Provides scholarships to prepare for various competitive exams at the higher education level.

Free distribution of dress, text book and copy to girls students

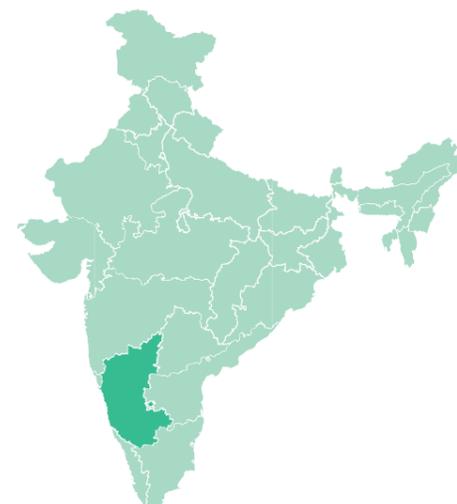
Allocation in 2015-16: **Rs 10.2 crore**

Allocation in 2016-17: **Rs 7.65 crore**

Profile: Provides assistance for SC students from economically weaker sections.

List of references

1. Guideline for Implementation "Scheduled Caste Sub Plan and Tribal Sub Plan", Planning Commission (2006)
2. Department of Finance, Jharkhand
3. Jharkhand Plan Expenditure, 2016-17
4. DDGs 2016-17, Government of Jharkhand
5. Statistical profile of Scheduled tribes in India, Ministry of Tribal Affairs, Government of India



Karnataka

1.1: Demographic profile

	SC	ST
Population	10.47 million	4.24 million
Share in population	17.1%	7.0%
Child sex ratio	Not available	943
Percentage of rural population who are BPL	31.8%	23.5%
Literacy rate	Not available	62.1%

Sex ratio is number of girls per 1,000 boys aged 0-6 years
 BPL: Below poverty line
 Literacy rate is among population aged 7 years and above
 Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of the Karnataka Budget

Karnataka is one of the select states with several programmes for the upliftment of SCs and STs, who form a sizeable part of the state's population: 17.1% and 7%, respectively. The share of SCs in the state has varied over the years: from 13.2% in 1961, it declined to 13.1% in 1971, then increased to 15.1% in 1981 and 16.4% in 1991, then fell again to 16.2% in 2001, and then rose to 17.1% in 2011¹.

Karnataka is one of the few states to pass SCSP/TSP legislation aimed at preventing diversion of funds and ensuring that allotted funds are spent on schemes that directly benefit SCs/STs. Unfortunately, the SCSP/TSP budget doesn't reflect that.

The Act, which is a unique model to ensure socio-economic justice, envisions allocations of state plan outlay in proportion to population of SCs and STs. The legislation also made a provision for a state council, headed by the chief minister, for development of SCs and STs. It also demands the setting up of a nodal agency to evaluate and appraise sub-plans, prepare sub-plans, review execution of schemes, identify impediments, coordinate with other departments; directions of the agency will be binding on departments². Having the Act has enabled the existence of a number of innovative schemes directly benefitting the SC/ST community. However, a lot needs to be done.

Consider these galling facts about the 2016-17 SCSP/TSP budget:

- SCSP allocation is 12.4%, against the policy guideline of 17.1%.
- TSP allocation is 5.3%, against the policy guideline of 7%.
- Under SCSP allocation, Rs 1,037 crore is unspent from the previous financial year.
- Under TSP allocation, Rs 415 crore is unspent from the previous financial year.
- Under TSP, Rs 108 crore is allocated towards unknown schemes that may or may not benefit the Adivasi community directly.

Overall allocation

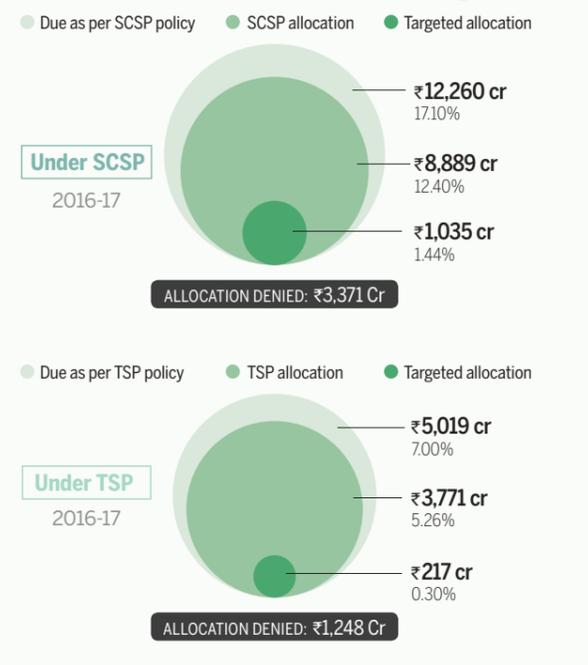
In 2016-17, the total plan budget is Rs 71,694 crore. Of this, the allocation under SCSP is Rs 8,889 crore. The due allocation under SCSP is Rs 12,259 crore, which means the government has denied an amount of Rs 3,370 crore to SCs.

Similarly, under TSP, the allocation for 2016-17 is Rs 3,771 crore. However, the due allocation under TSP is Rs 5,018 crore,

¹ Status of Scheduled Castes in Karnataka <http://www.im4change.org.previewdns.com/docs/4179-chapter.pdf>

² The Karnataka Scheduled Castes Sub-Plan And Tribal Sub-Plan (Planning, Allocation And Utilization Of Financial Resources) Act, 2013

1.2: Share of allocation in state budget



An assessment of SCSP and TSP for the past few decades shows a shortfall in allocation, given the state's SC and ST population, and inadequate implementation even though Karnataka has got SCSP/TSP legislation with clear directives.

Targeted versus notional/non-direct allocation

In Karnataka, allocation has been both direct and non-direct. As per the Karnataka Scheduled Castes Sub-Plan and Tribal Sub-Plan (Planning, Allocation and Utilization of Financial Resources) Act, 2013, only those schemes securing direct and quantifiable benefits to SCs and STs should be included under SCSP and TSP. Yet, a majority of the allocation is of non-direct nature.

In 2016-17, under SCSP, the direct allocation is Rs 1,035 crore (11% of SCSP) and non-direct allocation is Rs 7,853 crore (89% of SCSP). Some major allocations under SCSP are towards Prime Minister Grameen Sadak Yojana (Rs 371 crore) and Rural Water Supply Scheme (Rs 302 crore). However, these schemes don't benefit Dalits directly, and benefits cannot be tracked to SC/ST individuals or households.

Similarly, under TSP, the direct allocation is Rs 217 crore (6% of TSP) and the non-direct allocation is Rs 3,553 crore (94% of TSP). The schemes with major allocations are Krishna Bhagya Jala Nigam Limited (Rs 707 crore) and Prime Minister Grameen Sadak Yojana (Rs 168 crore). Both allocations are

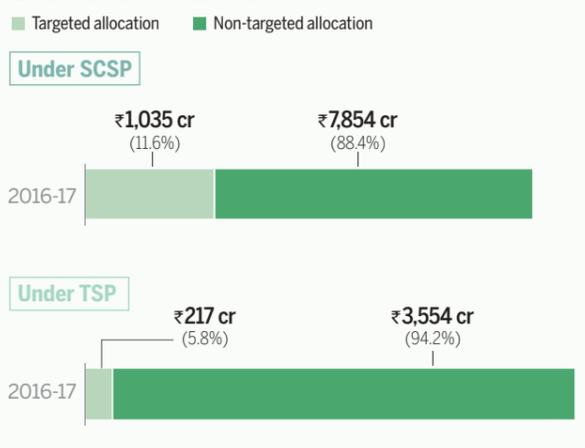
which means Rs 1,247 crore has been denied to Adivasis.

In each of the last three years, the percentage of allocation under SCSP has been significantly below the SC population share in the state of 17.1%.

In 2014-15, of the total plan expenditure of Rs 53,740 crore, only 10.2% was disbursed for programmes under SCSP. As per guidelines of the Planning Commission, there has to be proportionate allocation under SCSP. This means Rs 9,190 crore was to have been allocated for SCs. Thus, Rs 3,690 crore was denied under SCSP in 2014-15. Similarly, in 2015-16, only 11.6% of the plan expenditure was disbursed for programmes under SCSP, and the denied amount was Rs 3,326 crore.

As per the Act, 7% of the total planned budget of Karnataka has to be earmarked for the welfare of STs. The allocation in 2016-17 has increased over 2014-15 and 2015-16. In 2015-16, when the allocation under TSP was Rs 2,894 crore, only 4.75% was allocated for STs and the denied amount was Rs 1,369 crore. Similarly, in 2013-14, when the TSP allocation was Rs 2,074 crore, it amounted to only 3.9% and the denied amount was Rs 1,688 crore.

1.3: Nature of allocation



non-direct in nature, which doesn't directly benefit STs.

Category-wise allocation (survival, development, participation and protection)

In 2016-17, under SCSP, the major allocation is under development schemes (Rs 5,938 crore) and survival schemes (Rs 2,757 crore). The lowest allocation is for participatory schemes (Rs 84 crore). A similar hierarchy is seen in TSP: development schemes (Rs 2,639 crore), followed by survival schemes (Rs 943 crore) and participatory schemes (Rs 108 crore).

A few sectors have a component of social protection and provide scope for participation, but the allocation under this category is very low. Given the objectives of making growth and development more inclusive, there is a need to increase allocation to schemes that are more participatory in nature.

New scheme versus targeted with direct benefit

1.4: New scheme versus targeted benefit



- In 2016-17, 11 new schemes have been launched under SCSP and 10 under TSP.
- Among new schemes under SCSP, allocation to targeted schemes with direct benefits is Rs 708 crore (70%) and to non-direct schemes is Rs 309 crore (30%).
- Under TSP, allocation to targeted schemes with direct

benefits is Rs 114 crore (51%) and to non-direct schemes is Rs 108 crore (49%).

Non-utilisation of allocated funds

A large amount of allocation under SCSP/TSP remains unutilised, which results in these funds not reaching SCs/STs for their development. In 2016-17, under SCSP, Rs 1,037 crore remains unutilised. The Department of Rural Development and Panchayati Raj leads in unutilised amount (Rs 233 crore), followed by the Department of Education (Rs 188 crore).

Similarly, under TSP, the total unutilised amount is Rs 415 crore. The same two departments are the leading culprits: Department of Rural Development and Panchayati Raj (Rs 87 crore) and the Department of Education (Rs 72 crore). Unspent amounts in major departments like education, rural development and panchayati raj, water resources, health and family welfare is problematic as it directly affects the socio-economic development of SCs and STs.

Karnataka reports the unspent balances in each department. This is a good exercise as it puts pressure on the department concerned, as well as functionaries, to be innovative in designing schemes that can be properly utilised for SC/ST communities.

Examples of non-direct schemes under SCSP

Prime Minister Grameen Sadak Yojana

Sector: Rural Development and Panchayati Raj
Allocation in 2016-17: **Rs 370.9 crore**
Profile: A centrally sponsored scheme launched in 2000, it focuses on road connectivity to unconnected villages. **This is a general scheme meant for overall development. It is difficult to assess how many SC households have benefited from it.**

District & Other Roads

Sector: Public Works
Allocation in 2016-17: **Rs 621.9 crore**
Profile: Its objective is the construction and maintenance of roads. **The scheme does not directly benefit the SC population and it is difficult to assess how many Dalit households are benefitting from it.**

Examples of non-direct schemes under TSP

Namma Grama Namma Raste Scheme (NGNRY)

Sector: Rural Development and Panchayati Raj
 Allocation in 2016-17: **Rs 122.4 crore**
 Profile: Its focus is construction of roads in rural areas with the aim of bringing economic progress there.
The allocation to the scheme is of a general nature and does not directly benefit ST population. So, it is difficult to assess how many Adivasi households are benefitting from it.

Rural Water Supply Scheme

Sector: Rural Development and Panchayati Raj
 Allocation in 2016-17: **Rs 173.5 crore**
 Profile: The scheme aims to provide regular, safe and adequate water for drinking and other household purposes in rural areas.
The scheme doesn't directly benefit the ST population. So, it is difficult to assess how many Adivasi households are benefitting from it.

Examples of some good schemes that benefit SCs directly

Dr. B.R. Ambedkar Nivas Scheme

Department: Housing
 Allocation in 2016-17: **Rs 708.3 crore**
 Profile: Gives financial assistance to SC and ST households to build houses: **Rs 1.5 lakh** in rural areas, **Rs. 1.8 lakh** in urban areas.

Udyogini Women Development Corporation

Department: Women and Child Development
 Allocation in 2016-17: **Rs 2.6 crore**
 Profile: Provides loans through banks and financial institutions, and a subsidy from the corporation, for business activities and to set up micro enterprises. The maximum loan amount is Rs 1 lakh, and SC/ST women receive a subsidy of 30%.

Examples of some good schemes that benefit STs directly

Financial Assistance to SC/ST, BCM and Minorities Cooperative Societies

Department: Cooperation
 Allocation in 2016-17: **Rs 0.02 crore**

Profile: It aims to involve members of cooperative communities to participate in economic activities.

Matsya Ashraya

Department: Animal Husbandry and Environment
 Allocation in 2016-17: **Rs 3.07 crore**
 Profile: Provide a house, costing **Rs 40,000**, to fishermen who are houseless.

Conclusion

Being a state with the Scheduled Castes Sub-Plan and Tribal Sub-Plan (Planning, Allocation and Utilization of Financial Resources) Act, Karnataka has several schemes benefitting SCs and STs. It's the only state that has a provision for penal action, of six months imprisonment, in case of negligence of duty.
 Despite this Act, many incongruities exist in implementation of SCSP and TSP. There are many general schemes under SCSP/TSP that are for the overall development of the state's population, and not specifically SCs and STs. Such schemes need to be reviewed and reworked. Additionally, there is a need to ensure proper utilisation of funds under SCSP/TSP for the socio-economic development of the community.

List of references

- Guidelines for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006)
- Data Highlights: Scheduled Castes, Karnataka, Census of India 2011
- Detailed Demand for Grants, (DDG) 2016-17



Kerala

1.1: Demographic profile

	SC	ST
Population	3.03 million	0.48 million
Share in population	9.1%	1.5%
Child sex ratio	959	949
Percentage of rural population who are BPL	21.6%	44.3%
Literacy rate	87.6%	87.0%

Sex ratio is number of girls per 1,000 boys aged 0-6 years
 BPL: Below poverty line
 Literacy rate is among population aged 7 years and above
 Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Kerala Budget

Kerala is one of the states where the share of SCs in the total population has declined between 2001 and 2011—from 9.8% to 9.1%. In the same period, the share of STs in Kerala has increased from 1.1% to 1.5%.

Kerala is among the few states to create separate budget heads/sub-heads for Special Component Plan, so as to guarantee adequate outlays under all general sector schemes and to prevent diversion of Special Component Plan funds. Compared to other states, Kerala has allocated fairly to SCSP and TSP, especially the latter.

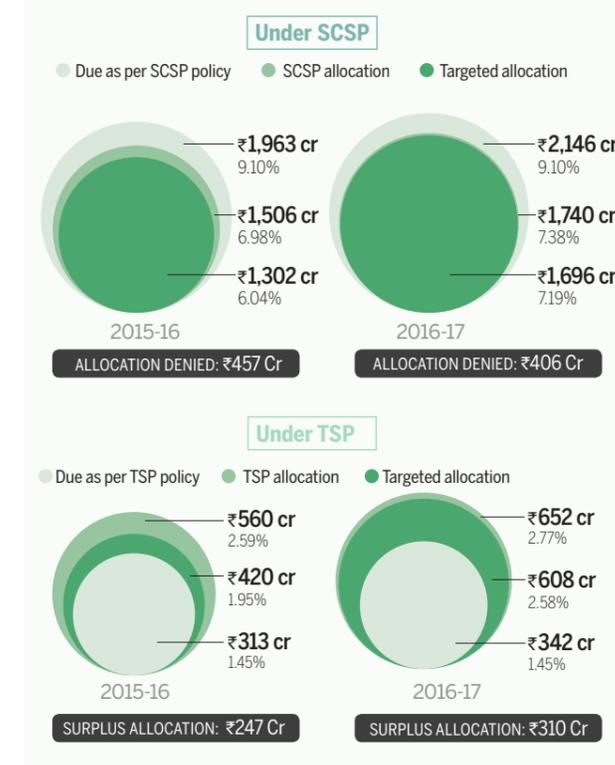
The system of sectoral allocation in Kerala is slightly different than other states. All allocations under SCSP and TSP are pooled into the SC/ST welfare department. Although SCSP and TSP data in budget books shows minimum notional allocation, compared to other states, a deeper analysis throws up several grey areas in allocation. Over the years, underutilisation and misappropriation under SCSP and TSP in Kerala has been a serious issue.

Under the SC/ST Welfare Department, the major allocation in all years has been to the head 'unknown expenditure'. In 2015-16, this head was allocated Rs 1,099 crore under SCSP and Rs 487 crore under TSP. In 2016-17, it was Rs 1,092 crore under SCSP and Rs 569 crore under TSP. This allocation does not necessarily contribute to poverty alleviation, creation of productive assets or anything else that improves the lives of SCs and STs.

Overall allocation

A Congress government for almost 5 years did not result in much improvement in the condition of SCs in Kerala. In 2015-

1.2: Share of allocation in Union budget



16, the total plan budget was Rs 21,570 crore. Of this, the allocation under SCSP was Rs 1,505 crore. The due allocation under SCSP was Rs 1,963 crore, which means the government denied Rs 458 crore to SCs. In percentage terms, the allocation was 7% against the mandated 9.1%. Similarly, in 2016-17, 7.4% is allocated under the SCSP and the amount denied is Rs 405 crore.

By comparison, Kerala has been making a surplus allocation under TSP. In 2015-16, the total allocation under TSP was Rs 559 crore, against the due allocation of Rs 312 crore. Or, a surplus of Rs 247 crore (a positive difference of 2.59 percentage points). In 2016-17, the surplus is Rs 310 crore (a positive difference of 2.77 percentage points).

A review of SCSP for the past few decades shows a deficit in allocation and poor implementation. TSP has consistently seen a surplus allocation, but in terms of implementation, the community has not benefited much.

Targeted versus notional/non-direct allocation

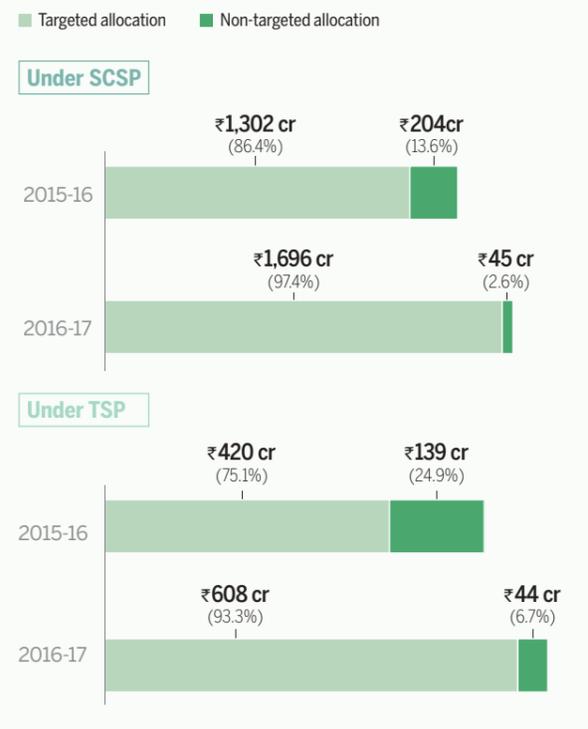
In Kerala, allocation has been both direct and indirect. Although there are many schemes with direct allocation under the department of SC/ST welfare, the Planning Commission mandates that allocation here should have been only direct, with no indirect allocation.

In 2015-16, under SCSP, direct allocation was Rs 1,301 crore (86%) and indirect allocation Rs 204 crore. In 2016-17, the corresponding figures are Rs 1,695 crore (97%) and Rs 45 crore. In 2015-16, the highest allocation was towards Post-Matriculation Studies (about Rs 250 crore). This financial year, it is Rs 260 crore, and this is a direct allocation towards SC students. Another major allocation has been towards a housing scheme for the homeless: Rs 180 crore in 2015-16, increasing to Rs 265 crore in 2016-17.

Among non-direct schemes, in 2015-16, a big one was the Construction of Medical College-Palakkad (Rs 150 crore). In 2016-17, Kerala allotted Rs 15 crore to a scheme on 'works and buildings'. This allocation towards non-direct schemes is a major concern since this amount may or may not benefit SCs.

Under TSP, in 2015-16, the direct allocation was Rs 420 crore (75%) and non-direct allocation was Rs 139 crore. In 2016-17, the corresponding figures are Rs 608 crore (93%) and Rs 43 crore.

1.3: Nature of allocation



A major non-direct allocation in 2015-16 was Rs 85 crore to the 'ATSP Fund/Special Package-HUDCO Assistance'. In 2016-17, the major allocation has been towards the 'Food support programme' (Rs 25 crore). These allocations are non-direct, which may or may not benefit STs.

Category-wise allocation

Under SCSP, the largest allocation has been to survival schemes: Rs 1,013 crore in 2015-16 and Rs 1,361 crore in 2016-17. The lowest allocation has been to participatory schemes: a paltry Rs 1 crore in 2015-16 and nothing this financial year.

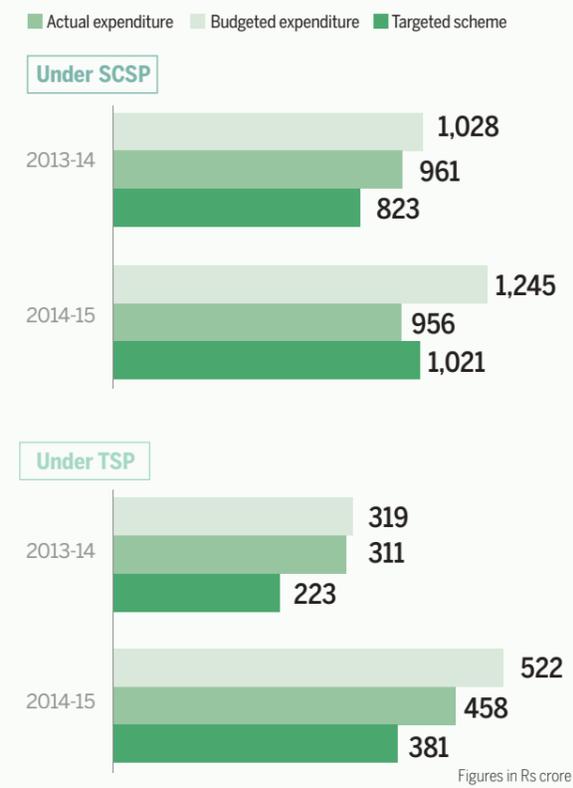
Similarly, under TSP, most schemes are of the nature of survival: allocations of Rs 245 crore in 2015-16 and Rs 361 crore in 2016-17. Here too, allocation to participatory schemes is very low: Rs 37 crore in 2015-16 and Rs 3.7 crore in 2016-17.

There are a few schemes that offer both social protection and scope for participation, but they have to endure very low allocations for SCs and STs. This must change for inclusive growth and development.

Budget versus actual expenditure

In 2013-14, under SCSP, the budget estimate was Rs 1,028 crore, and the actual expenditure was Rs 960 crore. However, Rs 822 crore was what was allocated directly towards SCs. A similar trend was seen in 2014-15.

1.4: Budgeted versus actual expenditure



Under TSP, in 2013-14 the budget estimate was Rs 319 crore and the actual expenditure Rs 311 crore. However, only Rs 223 crore was directly allocated towards STs. A similar breakup was seen in 2014-15.

New scheme versus direct benefit

In 2015-16, 7 new schemes have been launched under SCSP and 9 under TSP. By comparison, in 2016-17, only one new scheme has been launched under SCSP and five under TSP. Most new schemes under TSP are notional in nature; schemes directly benefiting STs received an allocation of just Rs 30 crore in 2015-16.

1.5: New scheme versus targeted benefit



Figures in Rs crore

Example of non-direct schemes under SCSP

Construction of Medical College-Palakkad

Sector: Health

Allocation in 2015-16: **Rs 150.0 crore**

Allocation in 2016-17: **Nil**

Profile: As the name suggests, the scheme contributes towards the construction of the medical college. **It is difficult to assess how much SCs have benefited from this scheme.**

Modernisation and E-Governance Initiative in Development Department

Sector: Welfare

Allocation in 2015-16: **Rs 7.0 crore**

Allocation in 2016-17: **Rs 8.0 crore**

Profile: This scheme is meant for modernisation, maintenance and procurement of equipment for the Directorate and offices in the Development Department. **The scheme doesn't directly benefit SC population. So, it is difficult to assess how many**

Dalit households are benefitting from it.

Works and Buildings

Sector: Public Works

Allocation in 2015-16: **Rs 15.0 crore**

Allocation in 2016-17: **Rs 15.0 crore**

Profile: This scheme basically deals with the construction of buildings, and other civil and electrical works. It is difficult to assess how much SCs have benefited from it.

Example of non-direct scheme under TSP

Ajeevika Skills Programme/NRLM-Central Share

Sector: Rural

Allocation in 2015-16: **Rs 4.2 crore**

Allocation in 2016-17: **Rs 6.4 crore**

Profile: This scheme deals with development of livelihood opportunities in rural areas. It doesn't benefit STs alone and it is difficult to assess how many ST families have benefited from it.

Examples of good schemes that benefit SCs directly

Post Matriculation Studies

Allocation in 2015-16: **Rs 250.0 crore**

Allocation in 2016-17: **Rs 260.0 crore**

Department: Education

Profile: The scheme provides financial assistance to SC students at the post-matriculation or post-secondary stage to help them complete their education.

Assistance for Education of SC Students

Department: Education

Allocation in 2015-16: **Rs 150.0 crore**

Allocation in 2016-17: **Rs 380.0 crore**

Profile: This scheme directly benefits SC students by providing assistance for education.

Assistance for Training and Employment

Department: Labour employment

Allocation in 2015-16: **Rs 40.0 crore**

Allocation in 2016-17: **Rs 40.0 crore**

Profile: This scheme provides financial assistance to SC youth for self-employment and entrepreneurship.

Examples of good schemes that benefit STs directly

House to Houseless

Department: Housing

Allocation in 2015-16: **Rs 47.8 crore**

Allocation in 2016-17: **Rs 50.0 crore**

Profile: This scheme provides financial assistance to ST households for construction of new houses.

Resettlement of Landless Tribals

Department: Housing

Allocation in 2015-16: **Rs 20.0 crore**

Allocation in 2016-17: **Rs 42.0 crore**

Profile: This scheme aims to provide land to landless ST households.

Post-Matric Scholarships (Centrally-Sponsored Scheme 100% Central Assistance)

Department: Education

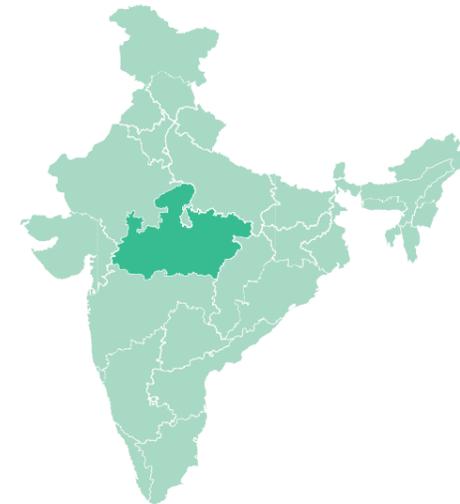
Allocation in 2015-16: **Rs 25.0 crore**

Allocation in 2016-17: **Rs 25.0 crore**

Profile: The scheme provides financial assistance to ST students at the post-matriculation or post-secondary stage to help them complete their education.

List of references

1. Guideline for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006)
2. Data Highlights: Scheduled Castes, Kerala, Census of India 2011
3. Kerala Detailed Demand for Grants, (DDG) 2015-16



Madhya Pradesh

1.1: Demographic profile

	SC	ST
Population	1,13,42,320	1,53,16,784
Share in population	15.2%	20.3%
Child sex ratio	912	952
Percentage of rural population who are BPL	42.8%	58.6%
Literacy rate	67.3%	56.9%

Sex ratio is number of girls per 1,000 boys aged 0-6 years

BPL: Below poverty line

Literacy rate is among population aged 7 years and above

Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of MP Budget

Madhya Pradesh has the eighth-largest SC population among all states in India, as well as a large tribal population. It is also among the few states that release separate budget books for SCSP/TSP as part of the state budget. In terms of population proportion allocation under SCSP/TSP, the state has performed fairly in comparison to other studied states. But it is an illusion. In reality, there is extensive diversion of SCSP/TSP funds, amounting to thousands of crores.

Overall allocation

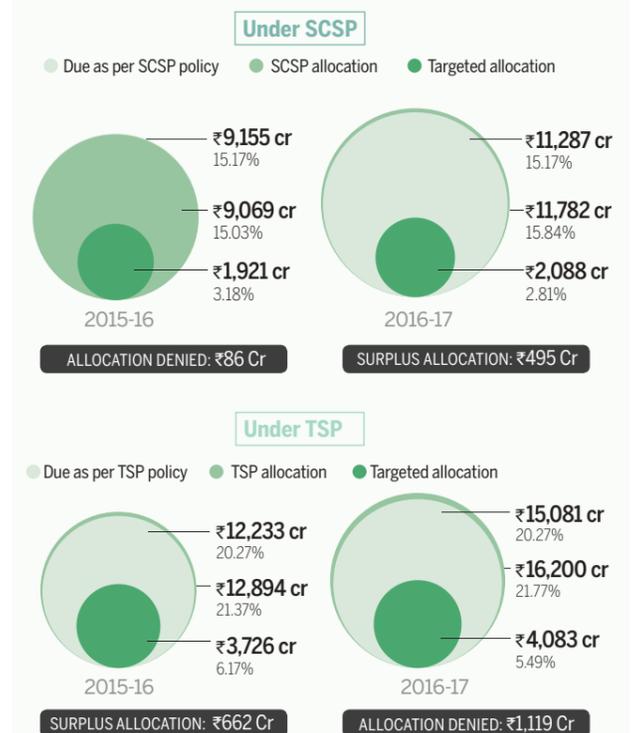
In both 2015-16 and 2016-17, allocations under SCSP/TSP were proportionate to the SC/ST population of the state: only a small amount was denied under SCSP and there is a surplus under TSP. But a deeper analysis shows a different picture.

- Of the 55 departments, only 42 allocated funds under SCSP/TSP. Major departments like transport, new and renewable energy, and aviation made no allocations.
- In 2015-16, total Plan budget of Madhya Pradesh was Rs 60,349 crore. Of this, Rs 9,069 crore was allocated under SCSP, or Rs 86 crore less than the due amount as per the SC population proportion (15.17%). In 2016-17, the state's total Plan budget increased, and Rs 11,287 crore was the due allocation under SCSP. Against this, the state allocated Rs 11,782 crore, or a surplus of Rs 495 crore.
- Under TSP, the due allocation in 2015-16 was Rs 12,233 crore (20.27%). The state allocated Rs 12,894 crore (21.37%), or a surplus allocation of Rs 662 crore. In 2016-17, against the due allocation of Rs 15,081 crore, the allocation

is Rs 16,200 crore, a surplus allocation of Rs 1,119 crore. However, these allocations did not translate into tangible developmental results for the community.

Out of the total budget estimate, our first-level analysis shows a diversion of Rs 2,115 crore from SCSP and Rs 2,950 crore from TSP in 2015-16. Diversions to non-related sectors and

1.2: Share of allocation in Union budget



expense heads—like construction, salaries, office expenses and domestic travel, among others—have been a practice for the last few years. Over the years, the amount being diverted has been increasing. Here are some examples of scheme-wise diversions:

- Rs 25 crore for Sinhashta Mela, and Rs 2 crore for beautification of lakes and ponds.
- Rs 75 crore for construction of large bridges and Rs 96 crore for state highways.
- Rs 174 crore for Halon Project, Sardar Sarovar Project, Baggi Canal, Onkarswar Project and Indira Sagar CAD Plan.
- Rs 1.5 crore for hockey synthetic turf.
- For salaries, Rs 190 crore from SCSP and Rs 464 crore from TSP in 2015-16 (BE).
- For creation of capital assets and big construction work, Rs 1,877 crore from SCSP and Rs 2,426 crore from TSP.
- For office expenses, Rs 41 crore under SCSP and Rs 57 crore under TSP.
- For travel expenses, Rs 6.27 crore under SCSP and Rs 2.62 crore under TSP.

In 2016-17, under SCSP, the top five departmental allocations were by the Department of Rural Development (Rs 1,925 crore), Energy (Rs 1,563 crore), Welfare of Scheduled Castes (Rs 1,475 crore), Civil Administration and Development (Rs 1,130 crore), and School Education (Rs 1,081 crore).

Under TSP, the top five departmental allocations were made by the Department of Welfare of Scheduled Tribes (Rs 3,291 crore), Rural Development (Rs 2,984 crore), Energy (Rs 1,926 crore), School Education (Rs 1,538 crore) and Public Works (Rs 1,120 crore).

There are some departments that are equally important for the development of STs. But allocations under these departments is not encouraging, although total plan allocation has increased significantly. The change in allocation for them under TSP in 2015-16 and 2016-17 is as follows: Higher Education (Rs 21.7 crore and Rs 78.9 crore), Animal Husbandry (Rs 66.3 crore and Rs 61.5 crore), Rural Industry (Rs 48.6 crore and Rs 53.6 crore), Food and Civil Supply (Rs 40.2 crore and Rs 53.2 crore), Sports and Youth Welfare (Rs 43.3 crore and Rs 46.9 crore), Health and Education (Rs 7.9 crore and Rs 25.2 crore), Fisheries (Rs 6.0 crore and Rs 6.8 crore).

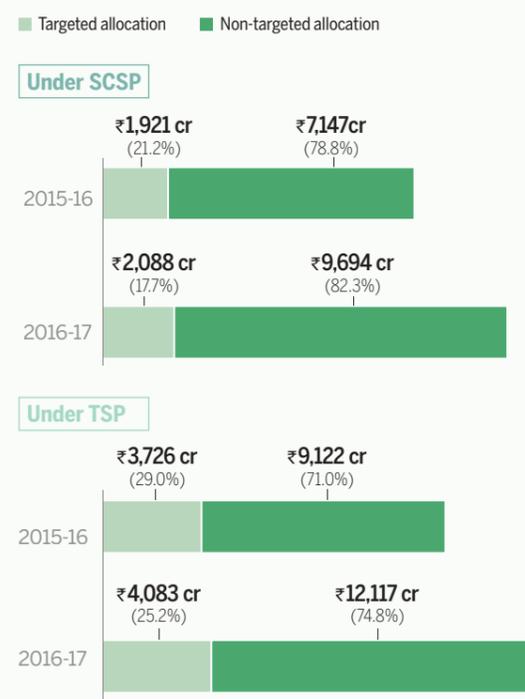
Some departments have shown an increase in allocations, but it is insufficient to bridge palpable developmental gaps. These departments, and the amount allocated by them in 2015-16 and 2016-17 include Welfare of Nomadic Tribes (Rs 19.6 crore and Rs 26.2 crore), Technical Education and Skill Development (Rs 66.2 crore and Rs 78.3 crore), Rural Industry (Rs 37.1 crore and Rs 24.6 crore), Food and Civil Supply (Rs 26.7 crore and Rs 30.7 crore), Sports and Youth Welfare (Rs 44.2 crore and Rs 54.0 crore), Medical Education (Rs 32.7 crore and Rs 52.8 crore), Fisheries (Rs 1.9 crore and Rs 2.6 crore), Cooperative (Rs 28.8 crore and Rs 16.7 crore), Commerce, Industry and Employment (Rs 2 crore and Rs 1 crore).

There's a higher allocation in 2016-17 under both SCSP and TSP, but there is a continuing absence of specific measures by departments concerned to utilise the allocated amount to ensure quantifiable direct benefits to the target groups.

Targeted versus notional/non-direct allocation

Planning Commission guidelines on SCSP/TSP clearly state that only those schemes should be included in the sub-plans that ensure direct benefits to SC/ST individuals or families.

1.3: Nature of allocation



But our analysis shows the Madhya Pradesh government is not following these guidelines.

A majority of SCSP/TSP allocations were towards the development of all, as opposed to specific development of SC/ST individuals, community or locality; the benefits could not be traced back to SC/ST individuals or families. In 2015-16, the non-direct allocation was Rs 7,147 crore under SCSP (79% of total state SCSP allocation) and Rs 9,121 crore under TSP (71% of the total TSP allocation). In 2016-17, non-direct allocation has increased substantially: Rs 9,694 crore under SCSP (82% of the total SCSP allocation) and Rs 12,117 crore under TSP (75% of the total TSP allocation). These non-direct allocations were made by the Department of Rural Development, Women and Child Development, and Departments of School Education and Literacy, Health and Family Welfare, and Higher Education across SCSP/TSP.

According to our scheme analysis, the targeted/direct allocation was only 21% under SCSP (Rs 1,921 crore) and 29% under TSP (Rs 3,726 crore) in 2015-16. Similarly, in 2016-17, direct allocations declined to 18% (Rs 2,087 crore) under SCSP and 25% under TSP (Rs 4,083 crore). These allocations covered schemes for pre- and post-matric scholarships, construction of girls and boys hostels, basti development projects, and tuition fee of SC/ST students studying in private colleges and institutions. All these schemes directly benefit SC/ST individuals and families. Among ministries and departments, the Department of Social Justice made the highest proportion of real allocation.

Category-wise allocation (survival, development, participation and protection)

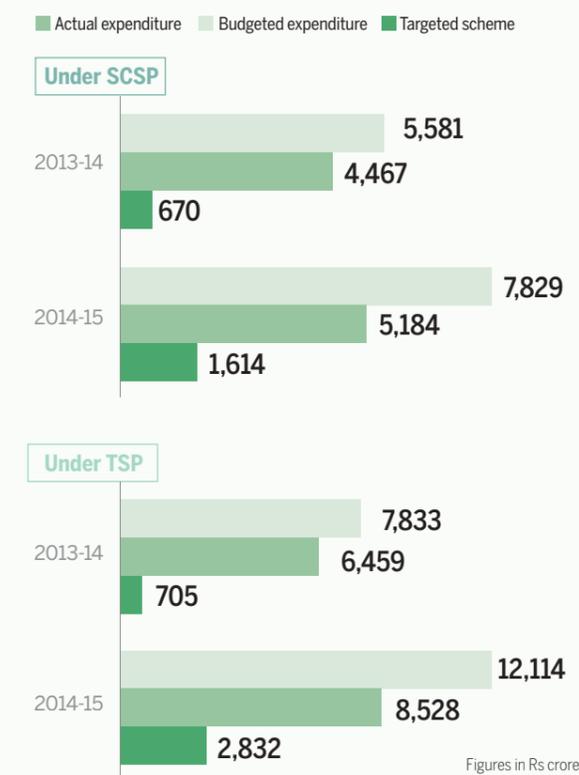
Madhya Pradesh has also failed to provide access to Dalits and Adivasis in high-growth, or modern, sectors. Of the SCSP allocation, 67% went towards fulfilling survival needs (basic needs like nutrition, shelter and healthcare) of SCs in 2015-16 and 49% in 2016-17. Only 31% of SCSP allocations in 2015-16 and 47% in 2016-17 were under development services, which would enable members of these sections to play a more proactive role in society, express their opinions freely, for instance, or be entrepreneurs and thought leaders.

Under TSP, allocations for survival needs amounted to 60% in 2015-16 and 66% in 2016-17. By comparison, 36% of TSP expenditure in 2015-16 and 30% in 2016-17 was for development. Negligible or no allocation for is provided under participation (0.7% in 2015-16 and 1% in 2016-17) and protection (1.2% in 2015-16 and 3% in 2016-17) categories.

Budgeted versus actual expenditure

For 2013-14, the total actual expenditure under TSP was Rs 6,489 crore, against the budget estimate of Rs 7,833 crore. This meant Rs 1,344 crore remained unutilised. Out of the total actual expenditure, only Rs 705 crore was spent on targeted schemes.

1.4: Budgeted versus actual expenditure



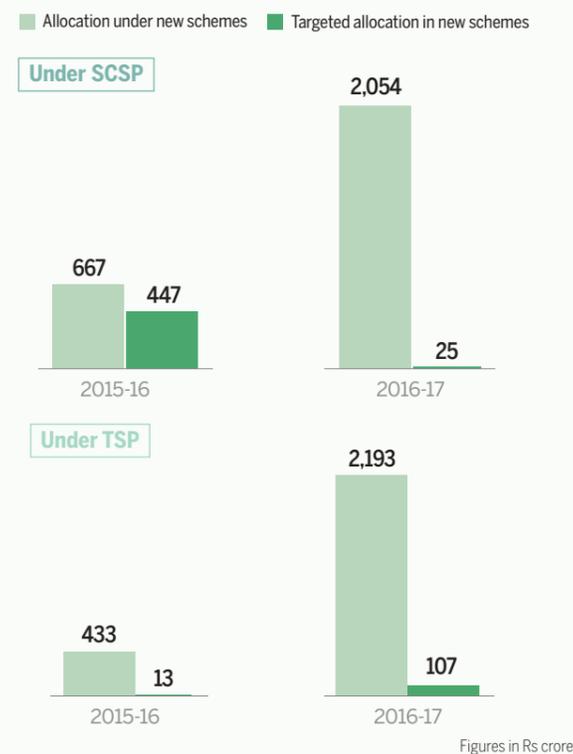
A similar trend can be identified under SCSP: Rs 4,467 crore was spent, against the total budget estimate of Rs 5,581 crore, resulting in Rs 1,114 crore remaining unutilised. Further, only Rs 670 crore of the total expenditure was spent on targeted schemes. Similar patterns of under-spending and sub-optimal targeting were seen in 2014-15.

For 2014-15, the total actual expenditure under TSP was Rs 8,528 crore, against the budget estimate of Rs 12,114 crore, resulting in Rs 3,586 crore remaining unutilised. Out of the total actual expenditure, only Rs 2,832 crore was spent on targeted schemes. Similarly, under SCSP, Rs 5,184 crore was spent, against the total budget estimate of Rs 7,829 crore, resulting in Rs 2,645 crore remaining unutilised. Further, only Rs 1,614 crore was spent on targeted schemes.

New scheme versus targeted scheme with direct benefit

In 2015-16, 47 new schemes were launched under SCSP and 39 under TSP. In 2016-17, the count was 67 and 53, respectively.

1.5: New scheme versus targeted benefit



In 2015-16, the total allocation to new schemes under SCSP was Rs 667 crore, of which, Rs 447 crore was towards direct benefitting schemes. Under TSP, Rs 433 crore was allocated to new schemes, but only Rs 13 crore was for direct benefitting schemes.

In 2016-17, the total allocation to new schemes under SCSP was Rs 2,054 crore, of which, only Rs 25 crore was for direct benefitting schemes. Under TSP, Rs 2,193 crore was allocated to new schemes, but only Rs 107 crore was for direct benefitting schemes.

Example of notional SCSP schemes

Infrastructure development in Jails

Allocation in 2015-16: **Rs 1.29 crore**

Allocation in 2016-17: **Rs 0.42 crore**

Profile: The scheme objective is to purchase vehicles, walkie-talkies, CCTV, computer, water cooler, pressure cooker, metal detector, etc. This goes against the objective and guidelines of utilisation of financial resources under sub-plans.

Metro Rail

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 100 crore**

Profile: A mass rapid transit system (metro rail) is not a targeted scheme, but is meant for all, violating the guidelines.

Construction of stadiums and sports complexes

Allocation in 2015-16: **Rs 8 crore**

Allocation in 2016-17: **Rs 8.75 crore**

Profile: Its aims to develop physical endurance of young people and channel their minds into nation building. But rather than being for any particular community, such construction is for the overall population, and utilisation of funds for such purposes is a clear violation of sub-plan guidelines.

Swachh Bharat Abhiyan

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 200 crore**

Profile: Aims to provide by October 2, 2019, sanitation facilities to every family, including toilets, solid and liquid waste disposal systems, village cleanliness, and safe and adequate drinking water. It is funded from multiple sources, which probably indicated that sub-plan funds will be used for general schemes, instead of targeted schemes.

Sarva Shiksha Abhiyan (SSA)

Allocation in 2015-16: **Rs 941 crore**

Allocation in 2016-17: **Rs 1,071 crore**

Profile: SSA was conceived as a Centrally-sponsored scheme to improve educational status through interventions designed to improve accessibility, reduce gender and social gaps, and better the quality of learning. It laid down a framework to achieve goals of universal enrolment through time-bound targets and was conceived in mission mode. This is not a targeted scheme, but is meant for all. The guidelines clearly state that such a general scheme should not be a part of the sub-plan.

Financial aid to power distribution companies

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 1,500 crore**

Profile: Provide financial assistance to power distribution companies to increase capacity, usability, availability and durability under the Innovation and Modernisation Plan. Such kind of fund utilisation from the sub-plan not only defeats its purpose but also hampers development of the community.

Madhya Pradesh Road Development Programme

Allocation in 2015-16: **Rs 126 crore**

Allocation in 2016-17: **Rs 93 crore**

Profile: Build all-weather roads and provide road facilities to all major destinations in the state. Infrastructure development is necessary for overall development of the state, but fund utilisation cannot be accounted under sub-plan funds as the scheme is general in nature.

Examples of good schemes that benefit SCs directly

Post-matric scholarship (university and undergraduate level)

Allocation in 2015-16: **Rs 335 crore**

Allocation in 2016-17: **Rs 300 crore**

Profile: Award scholarships to meritorious students from economically weaker sections of the Dalit community so as to provide them with better opportunities for higher education, increase their rate of attainment in higher education and enhance their employability.

Residential grants to SC/ST students

Allocation in 2015-16: **Rs 20 crore**

Allocation in 2016-17: **Rs 35 crore**

Profile: This scheme is especially meant for students who are unable to secure admission in hostels due to lack of seats.

Mukhyamantri Swarojgar Yojana

Allocation in 2015-16: **Rs 5.63 crore**

Allocation in 2016-17: **Rs 6.06 crore**

Profile: Announced in 2013-14, this scheme targets youth whose family's annual income, including their own, is below Rs 2 lakh. Under the scheme, Rs 5 lakh will be provided to individual, half of it in the nature of a grant. Its objective is to promote entrepreneurship among youths from the SC/ST community. The need is to increase this allocation to include more unemployed youths from the community.

Anusuchit Jati Chhatravas

Allocation in 2015-16: **Rs 127 crore**

Allocation in 2016-17: **Rs 130 crore**

Profile: Its main objective is to provide residential facilities to SC/ST students, both pre- and post-matric, to pursue higher education. There is no income limit for pre-matric students.

Post-Matric Scholarship

Allocation in 2015-16: **Rs 200 crore**

Allocation in 2016-17: **Rs 245 crore**

Profile: Provides financial assistance to SC students studying at post-matriculation or post-secondary stage to enable them to complete their education. Such direct benefit schemes are very helpful to students.

Provide facilities to SC/ST students to pursue higher education in Delhi

Allocation in 2015-16: **Rs 0.01 crore**

Allocation in 2016-17: **Rs 0.01 crore**

Profile: It aims to provide accommodation and other facilities, via reimbursement of electricity and water expenses and scholarships, to ST students from Madhya Pradesh studying in higher educational institutions in New Delhi.

Van Bandhu Kalyan Yojana

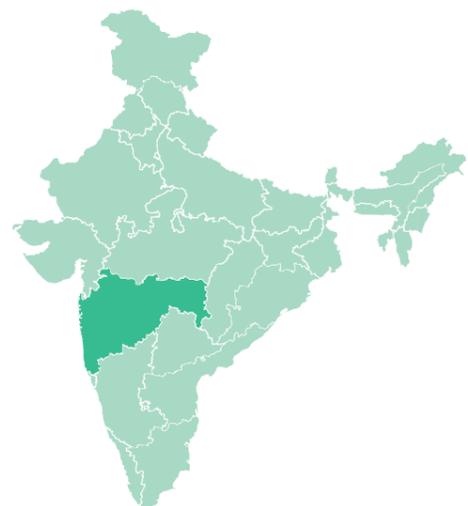
Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 30 crore**

Profile: Aims to bring tribal population of the country at par with other social groups, and include them in overall progress of the nation. It seeks to erect sound institutional mechanisms, which will help Central and state schemes reach the target population through convergence of resources. Although this mega scheme targets 21% of the state's population, only Rs 30 crore has been allocated to it, underscoring the tokenistic nature of allocation.

List of references

1. Madhya Pradesh Demand for Grants, Book no.49 & 50, 2015-16 and 2016-17
2. <http://india.gov.in/madhya-pradesh-state-budget-2015-16> and 2016-17
3. Guideline for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006)



Maharashtra

1.1: Demographic profile

	SC	ST
Population	13.27 million	10.51 million
Share in population	11.8%	9.4%
Child sex ratio	926	Not available
Percentage of rural population who are BPL	44.8%	56.6%
Literacy rate	79.7%	65.7%

Sex ratio is number of girls per 1,000 boys aged 0-6 years.
 BPL: Below poverty line, Literacy rate is among population aged 7 years and above
 Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Maharashtra Budget

As per Census 2011, Scheduled Castes make up 11.8% of Maharashtra's population. Between 2001 and 2011, the SC population in the state has increased 34.3% and the ST population 22.5%. It is because 6.2% of converted Buddhists were included in the SC list in Census 2011. Therefore, the share of SCs, including Neo-Buddhists¹, in the population of Maharashtra is now 18%, but the state's budget documents still consider the non-adjusted SC population only as 10.2%. Hence, there's a denial of almost 7% of SCSP due share, year after year, without rectifying the policy to the actual population of SCs.

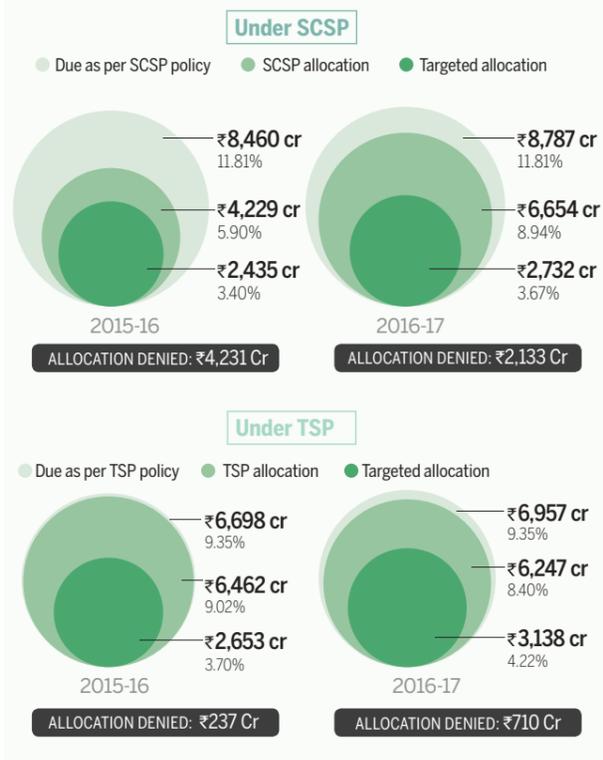
Although Scheduled Caste Sub Plan (SCSP) and Tribal Sub Plan (TSP) have been operational for years, their allocation and implementation have been very disappointing in the last 15 years. The average expenditure for development of SCs does not exceed 1.5% of the total budget.

In 2015-16, Maharashtra had a total plan budget of Rs 71,637 crore. Of this, allocation under SCSP was Rs 4,229 crore, or 5.9%. According to the guideline it should be 11.8%, or Rs 8,460 crore, which means the government denied Rs 4,231 crore to SCs. The TSP allocation looks better, with 9.02% being allocated, against the guideline of 9.35%.

Similar patterns are also seen in 2016-17, when Maharashtra's total plan budget is Rs 74,402 crore. Of this, allocation under SCSP is Rs 6,653 crore (8.94%). At 11.8%, the allocation due was Rs 8,786 crore, translating into an allocation denied of Rs 2,133 crore. Like 2015-16, allocation under TSP looks better: 8.4% allocated, against the guideline of 9.35%.

A review of SCSP for the past few decades shows

1.2: Share of allocation in Union budget



insufficient allocation and inadequate implementation. And though, allocation under TSP is more in proportion to the state's ST population, the community has not benefited much.

Targeted versus notional/non-direct allocation

Planning Commission guidelines on SCSP/TSP clearly state

that only those schemes should be included that ensure direct benefits to SC/ST individuals or families. In 2015-16, however, under SCSP, direct allocation was Rs 2,435 crore (58%) and non-direct allocation Rs 1,793 crore (42%). Similarly, under TSP, direct allocation was Rs 2,653 crore and non-direct allocation Rs 3,808 crore.

In 2016-17, direct allocation under SCSP is Rs 2,732 crore (41%) and non-direct allocation is Rs 3,921 crore (59%). Under TSP, direct allocation is Rs 3,138 crore and non-direct allocation is Rs 3,108 crore.

1.3: Nature of allocation



Direct allocations are mostly made in two departments: social justice and special assistance, and tribal development. Elsewhere, non-direct allocations have been made in several departments, including public health; public works; industries, energy and labour; agriculture; animal husbandry, dairy development and fisheries; and water supply and sanitation.

Category-wise allocation

Under the present government, the allocation for Dalits and Adivasis has not particularly looked into their economic growth. In 2015-16, under SCSP, the largest allocation was for survival schemes (Rs 2,647 crore). The lowest allocation was for participatory schemes (Rs 13 crore). Similarly, under TSP, many schemes are of the nature of survival (Rs 2,451 crore). Allocation in participatory schemes is very low: Rs 70 crore.

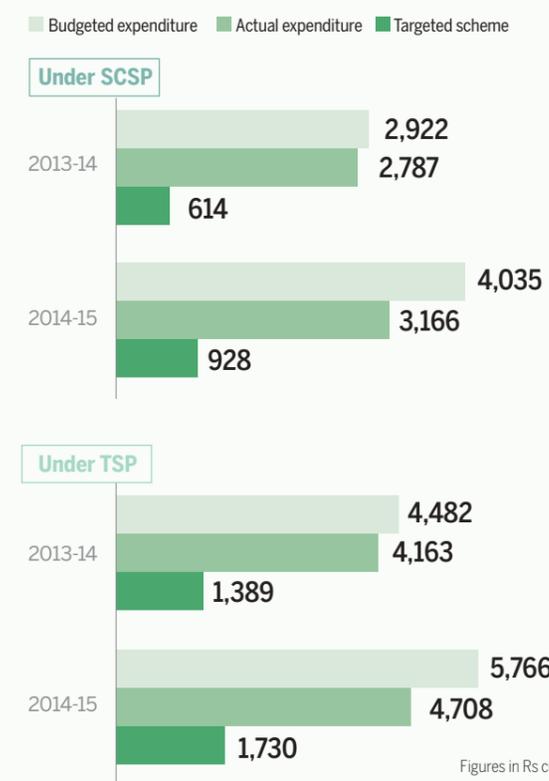
In 2016-17, under SCSP, allocation has been mostly towards development schemes (Rs 3,162 crore), while allocation under participation schemes a mere 13.6 crore. Under TSP, allocation has been mainly towards survival (Rs 2,764 crore) and development schemes (Rs 3,333 crore). There is negligible or no allocation for SCs and STs under participation and protection categories, which promote inclusive growth and development.

Budget versus actual expenditure

In 2013-14, under SCSP, the budget estimate was Rs 2,922 crore, while the actual expenditure was Rs 2,786 crore. However, from this, only Rs 613 crore has been directly allocated towards SCs. Similarly, in 2014-15, the budget estimate was Rs 4,034 crore, while the actual expenditure was Rs 3,166 crore. Here, the targeted allocation towards SCs was just Rs 928 crore.

Similarly, under TSP, the budget estimate in 2013-14 was Rs 4,481 crore, while the actual expenditure was Rs 4,163 crore. Here, only Rs 1,389 was directly allocated towards the benefit of STs. Similarly, in 2014-15, the budget estimate was Rs 5,766 crore, while the actual expenditure was Rs 4,707 crore. Here, the targeted allocation towards STs was just Rs 1,729 crore.

1.4: Budgeted versus actual expenditure



Figures in Rs crore

¹ Dalits who converted to Buddhism as part of Ambedkar's religious conversion movement are known as Neo-Buddhists

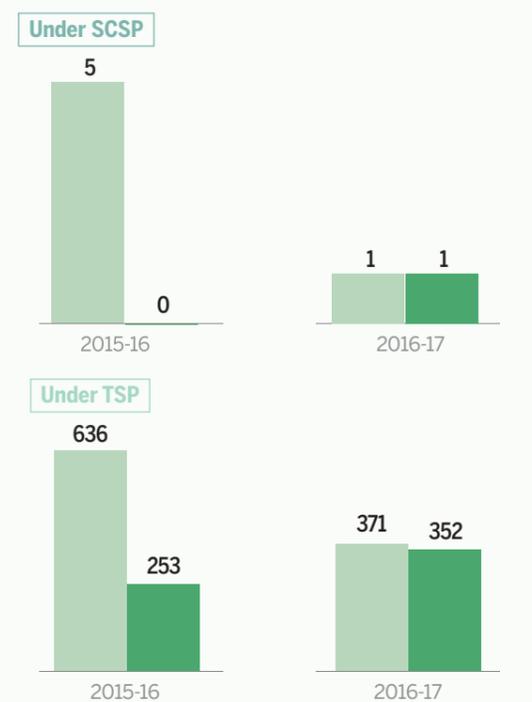
New scheme versus direct benefit

In 2015-16, 1 new scheme was launched under SCSP and 40 new schemes under TSP. The corresponding numbers in 2016-17 is 3 and 14, respectively. In terms of directly benefitting Dalits, the number under SCSP was zero in 2015-16 and two in 2016-17 (but with very small amounts).

Under TSP, in 2015-16, most new schemes are notional in nature. Allocation to schemes with direct benefits stood at Rs 252 crore. Elsewhere, for example, Rs 116 crore was allocated in 2015-16 for the scheme of government hostels for boys and girls, but it did not have a targeted allocation for STs. The same shortcoming is seen with the Rs 190 crore allocated to the scheme of building district and other roads.

1.5: New scheme versus targeted benefit

Allocation under new schemes Targeted allocation in new schemes



In 2016-17, under new schemes, the allocation for direct schemes is Rs 352 crore and for non-direct ones Rs 18 crore.

Examples of notional schemes under SCSP

Measures to Control Parasitic Infestation Occurring in Sheep, Goats and Poultry Birds Owned by Scheduled Castes Beneficiaries by Supplying Material Mixtures and Deworming

Department: Agriculture, Animal Husbandry, Dairy

Development and Fisheries

Allocation in 2015-16: **Rs 3 crore**

Allocation in 2016-17: **Rs 2.72 crore**

Profile: Aims to diagnose and control various infectious and parasitic diseases among poultry animals.

It is difficult to assess how much SCs have benefited from this scheme.

Supply of Cross-Breed Milch Cows and Supply of Feed to Milch Animals

Department: Agriculture, Animal Husbandry, Dairy Development and Fisheries

Allocation in 2015-16: **Rs 21.92 crore**

Allocation in 2016-17: **Rs 21.59 crore**

Profile: Aims to distribute Milch cows each year to needy families in rural areas.

It is difficult to assess how much SCs have benefited from this scheme.

Loans for Rural Industries Project Programme in District Industries Centre

Department: Industries, Energy and Labour Department

Allocation in 2015-16: **Rs 0.89 crore**

Allocation in 2016-17: **Rs 0.75 crore**

Profile: The scheme provides financial assistance for the promotion of small industries in rural areas.

The scheme doesn't directly benefit SCs. So, it is difficult to assess how many Dalit households are benefitting from it.

Land Development through Soil Conservation Measures

Department: Rural Development and Water Conservation Department

Allocation in 2015-16: **Rs 59.24 crore**

Allocation in 2016-17: **Rs 60.68 crore**

Profile: Its objective is to conserve the natural resource that is soil to provide sustainable livelihoods.

Examples of notional schemes under TSP

Development of Gymnasium

Department: Sports and Youth Welfare

Allocation in 2015-16: **Rs 10.1 crore**

Allocation in 2016-17: **Rs 11.93 crore**

Profile: Provides subsidy to registered gymnasiums and krida mandal to buy latest equipment mats for wrestling, judo, karate, etc.

There is no clarification how the scheme will benefit STs.

Development of Playground and Stadium at Taluka Places

Department: Sports and Youth Welfare Department

Allocation in 2015-16: **Rs 7.13 crore**

Allocation in 2016-17: **Rs 9.24 crore**

Profile: This scheme mainly looks into development of playgrounds.

It is difficult to assess how much STs have benefitting from this scheme.

Piped Water Supply Scheme (Special Measure)

Department: Water Supply and Sanitation

Allocation in 2015-16: **Rs 47.36 crore**

Allocation in 2016-17: **Rs 45.21 crore**

Profile: This scheme looks into the availability of piped water in rural and urban areas.

There is no data on the number of Adivasi households to have benefitting from the scheme.

Examples of good schemes that benefit SCs directly

Post-Matric Scholarships

Department: Social Justice and Special Assistance

Allocation in 2015-16: **Rs 670 crore**

Allocation in 2016-17: **Rs 880 crore**

Profile: Provide financial assistance to SC students to study at the post-matriculation or post-secondary stage and complete their education.

Maintenance and opening of government hostels for SCs and STs Boys and Girls

Department: Social Justice and Special Assistance

Allocation in 2015-16: **Rs 224.91 crore**

Allocation in 2016-17: **Rs 257.91 crore**

Profile: Provide better educational opportunities to SC/ST boys and girls.

Indira Awaas Yojana

Department: Rural Development

Allocation in 2015-16: **Rs 56.94 crore**

Allocation in 2016-17: **Rs 73.28 crore**

Profile: A Centrally-sponsored scheme, it provides assistance to SC/ST and non-SC/ST rural households living below the poverty line to construct dwelling units and upgrade unserviceable kutcha houses.

Pre-Matric scholarship to children whose parents are engaged in unclean occupations

Department: Social Justice and Special Assistance

Allocation in 2015-16: **Rs 0.15 crore**

Allocation in 2016-17: **Rs 0.34 crore**

Profile: A centrally sponsored scheme, it gives scholarships from Class I to Class X to children whose parents are engaged

in unclean occupations like sweeping, scavenging, tanning and flaying.

Sant Rohidas Leather and Charmkar Development Corporation Limited Mumbai

Department: Social Justice and Special Assistance

Allocation in 2015-16: **Rs 21.45 crore**

Allocation in 2016-17: **Rs 20 crore**

Profile: Aims to uplift people from the charmkar community, educationally, economically and socially. Also includes production of various types of footwear and leather articles, and supply to government departments and sale in open market.

Examples of good schemes that benefit STs directly

Facilitate education of ST students in renowned English medium, residential schools

Department: Tribal Development

Allocation in 2015-16: **Rs 100 crore**

Allocation in 2016-17: **Rs 290 crore**

Pre-Secondary Golden Jubilee Tribal Scholarship Scheme

Department: Tribal Development

Allocation in 2015-16: **Rs 132.02 crore**

Allocation in 2016-17: **Rs 181.06 crore**

Profile: Directly benefits tribal students for pursuing higher education.

Shabari Tribal housing scheme

Department: Tribal Development

Allocation in 2015-16: **Rs 100 crore**

Allocation in 2016-17: **Rs 140 crore**

Profile: Addresses housing needs of the tribal community.

Skill Development Programme for Tribal Youth

Department: Tribal Development

Allocation in 2015-16: **Rs 35 crore**

Allocation in 2016-17: **Rs 30 crore**

Profile: Skill development of tribal youth to gain employment/self-employment opportunities.

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Odisha

1.1: Demographic profile

	SC	ST
Population	7.18 million	9.59 million
Share in population	17.13%	22.85%
Child sex ratio	933	957
Percentage of rural population who are BPL	47%	66%
Literacy rate	69%	52%

Sex ratio is number of girls per 1,000 boys aged 0-6 years

BPL: Below poverty line

Literacy rate is among population aged 7 years and above

Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Odisha budget

Odisha is considered to be India's poorest state. SC/ST communities comprise nearly 40% of the state's population. Although it is one of the few states to have made proportionate budget allocations under SCSP and TSP in the last few years, most of these funds are allocated for purposes that hardly reach the targeted communities, and are considered either notionally allocated or diverted.

In 2011, CAG had critiqued the Odisha Government for diverting Rs 11 crore from TSP to construct infrastructure like Rajmahal Flyover and renovation of Daya River in the capital Bhubaneswar. The Detailed Demand for Grants (DDGs) from 2011-12 to 2013-14 shows the Department of Home allocated Rs 157 crore from TSP and Rs 119 crore from SCSP to construct infrastructure like police welfare building, court, jail, fire service, building for central paramilitary force and purchase of security-related items. Similarly, in 2013-14, under Forest & Environment Department, Rs 106 crore from TSP and Rs 60 crore from SCSP were notionally allocated to the Similipal Biosphere, an elephant and tiger reserve, promoting eco-tourism and increasing green coverage in the state.

There are more such examples. In 2016-17 (BE), Rs 864 crore has been allocated notionally under TSP and Rs 407 crore under SCSP to the Water Resource Department (out of the total department fund allocation of Rs 1,533 crore and Rs 1,046 crore, respectively). Projects that have received large fund allocation notionally under TSP in 2016-17 (BE) under sub-major head include Subarnarekha Irrigation Project-Commercial (Rs 244 crore), Upper Indravati Irrigation Project-Commercial (Rs 159 crore), Lower Indra Irrigation Project-Commercial (Rs 155 crore) and many other macro irrigation projects.

Other than fund diversion, there are some important departments that allocate even less than 5%. For instance under TSP in 2015-16 (BE), some departments like Food Supplies and Consumer Welfare (1.35%), Industry (1.4%), Micro, Small and Medium Enterprises (1.7%), Tourism and Culture (0.15%) and Transport (3.02%) have allocated less than 5%. The same is the case under SCSP also.

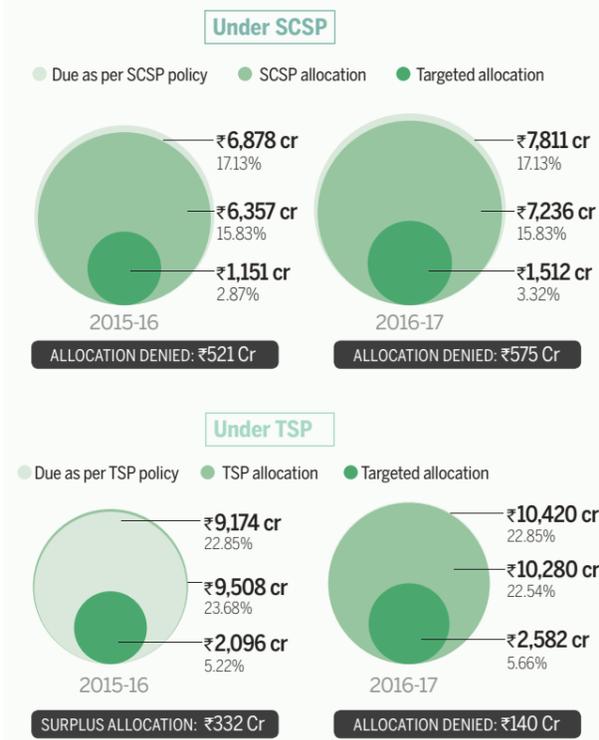
On the other hand, some non-relevant departments allocate more under SCSP than the due amount as per the population proportion formula: Water Resource Department (19.6%), Forest and Environment (20.6%) and Works (19.6%). The simple reason behind this over-allocation is that maximum funds under these departments are allocated for infrastructure development, elephant management project, Similipal Biosphere Reserve, Similipal Tiger Reserve, National Bamboo Mission, development of eco-tourism and increasing green cover in the state. Under TSP fund, Forest and Environment (26.6%) and Steels and Mines (35.72%) are two departments making an over-allocation.

There are also instances where sub-plan funds have been allocated towards indirect developmental purposes, which may or may not reach targeted beneficiaries. For instance in 2015-16 (BE), Rs 391 crore under TSP and Rs 392 crore under SCSP was allocated towards travel expenses, dearness allowances, salaries, electrical and water charges. Similarly, Rs 323 crore from TSP fund and Rs 272 crore from SCSP fund was allocated for infrastructure development. All these are expense heads that should be categorised under non-plan expenditure rather than plan expenditure.

Overall allocation

In 2015-16 (BE), Odisha had a total plan outlay of Rs 40,150

1.2: Share of allocation in Union budget



crore. Of this, Rs 6,356 crore (15.8%) was allocated under SCSP, against the due share of Rs 6,877 crore (17.1%). This resulted in under-allocation of Rs 521 crore. In 2016-17 (BE), the SCSP allocation is Rs 7,236.05 crore, against the due share of Rs 7,811 crore. In 2015-16, Under TSP, the allocation was Rs 9,507 crore, against the due share of Rs 9,174 crore, or an over-allocation of Rs 333 crore. In 2016-17, the TSP allocation is Rs 10,280 crore.

In 2016-17 too, the pattern of SCSP allocation is similar to previous years. Mega construction projects or general purpose schemes constitute a large part of the SCSP allocation. Under mega irrigation projects like Upper Indravati Irrigation Project, Rengali Irrigation Project-Commercial and others, the SCSP allocation exceeds Rs 10,000 crore, which is totally unacceptable as per SCSP and TSP guidelines.

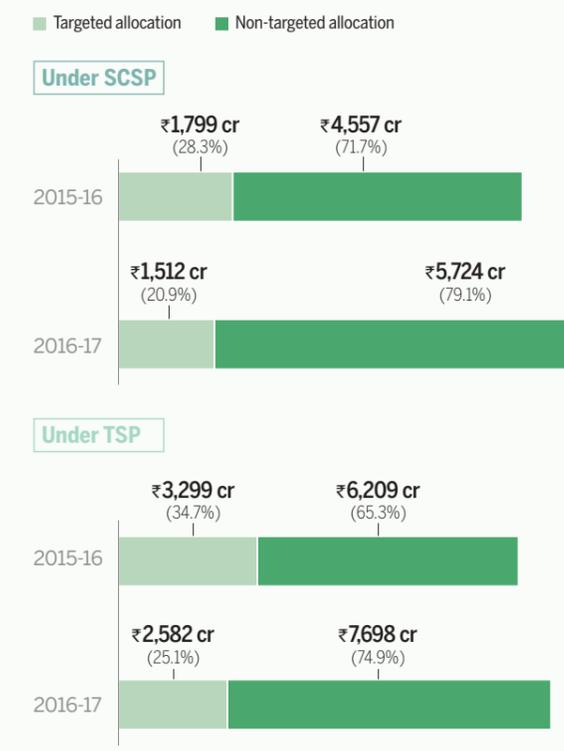
Targeted versus notional/non-direct allocation

In 2015-16 (BE), Rs 4,557 crore was allocated for indirect development-oriented schemes for SC communities and only Rs 1,799 crore for direct development-oriented schemes. A similar break up is seen in 2016-17: Rs 5,723 crore for indirect and Rs 1,512 crore as direct. Similarly, under TSP fund, Rs 2,582 crore was allocated for direct development in 2016-17, against

Rs 7,698 indirectly.

Direct development avenues for SCs include scholarship and stipend for SC students, Scheme for the Development of Scheduled Caste, Indira Awaas Yojana (IAY), implementation of income-generating scheme for SC, National Old Age Pension to Destitute. In case of STs, these include Ashram School Hostels, IAY, Madhu Babu Pension for Destitute, scholarship and stipend for ST students, umbrella schemes for ST students, and Biju Grama Jyoti.

1.3: Nature of allocation



Under indirect schemes, there are some that will hardly benefit targeted communities. These include the elephant management project, Satkosia Tiger Reserve, integrated development of wildlife habitats, development of ecotourism, construction of infrastructure, purchase of security-related items.

Category-wise allocation

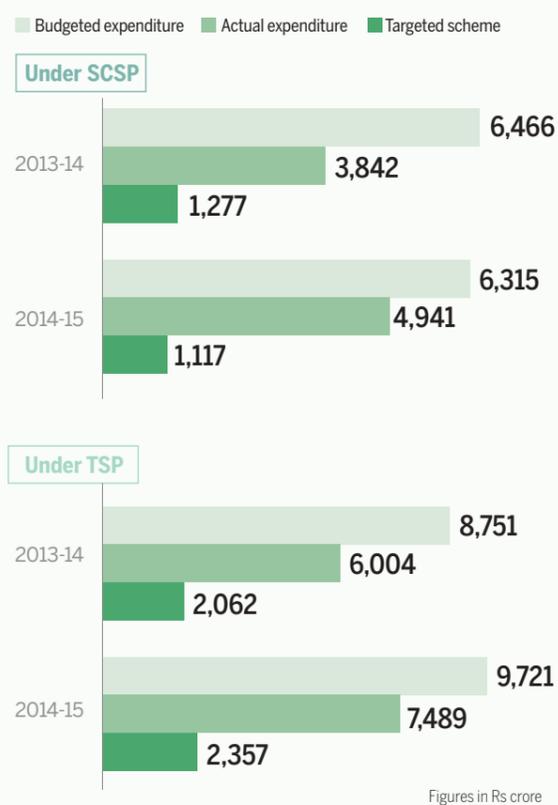
The pattern of fund allocation has failed to service the developmental needs of SC/ST communities in Odisha. In 2015-16 (BE), an allocation of 74% under SCSP and 78% under TSP went towards survival-oriented schemes (meeting basic needs like nutrition, healthcare and shelter).

In 2016-17 (BE), the figures are 70% under SCSP and

75% under TSP. Thus, only 30% is left for development-oriented schemes under SCSP and 25% under TSP. Under the participation and protection categories, only 9% of funds are allocated under SCSP and 3% under TSP.

Budgeted versus actual expenditure

1.4: Budgeted versus actual expenditure



In 2013-14, the allocation under SCSP was Rs 6,465 crore, of which Rs 3,841 crore was used for the development of SC communities. Under TSP, of the Rs 8,751 crore allocated, Rs 6,003 crore was used. In both cases, there is under-utilisation of funds: Rs 2,624 under SCSP (40.6%) and Rs 2,747 crore under TSP (31.4%). Further, our research shows that only Rs 1,276 crore was allocated for direct development under SCSP (19.8% of the allocated fund) and Rs 2,061 crore under TSP (23.6%).

New scheme versus direct benefit

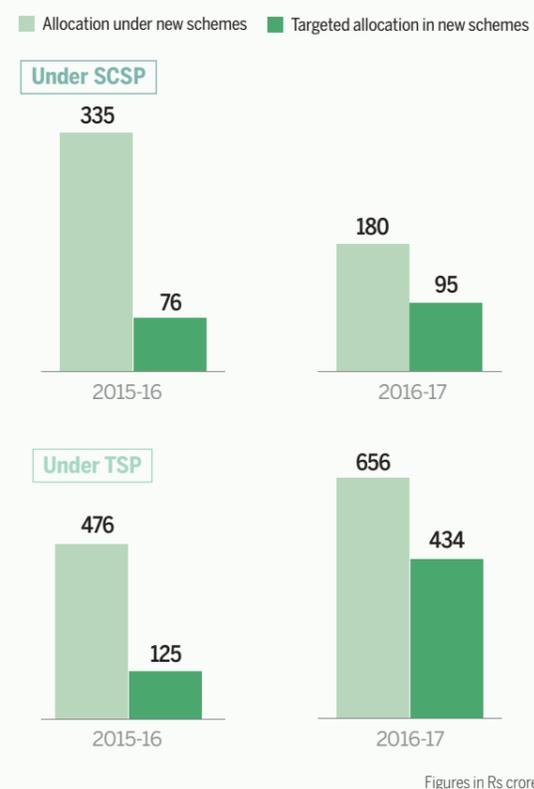
As the revised policy on SCSP & TSP 2014 says, the government could have focused more on "proactive planning" rather than "post-facto accounting". Although over the last two years, the government has introduced several new schemes, very few are direct development-oriented schemes.

During 2015-16 (BE), the total fund allocation under TSP for new schemes was Rs 476 crore, but only Rs 124 crore was for direct development. Under SCSP, the corresponding figures were Rs 334 crore and Rs 76 crore, respectively.

Under TSP, in 2016-17 (BE), the total allocation for new schemes is Rs 655 crore, of which only Rs 434 crore is for direct development-oriented schemes. Some of these schemes are Venture Capital for Agriculture Start-ups, Promotion of Integrated Farming in Tribal Areas, Pradhan Mantri Krishi Sinchai Yojana (PMKSY), White Revolution-Rashtriya Pashudhan Vikas Yojana, and Incentive for Marriage between PWDs and Normal Persons, and Personal Accident Insurance Scheme for poor families.

Under SCSP, in 2016-17 (BE), the total allocation under new schemes is Rs 180 crore, of which Rs 95 crore are direct development-oriented schemes. Examples of such schemes are Support to Venture Capital for Agriculture Start-ups, Pradhan Mantri Adarsh Gram Yojana (PMGY), Promotion of Integrated Farming in Tribal Areas, Pradhan Mantri Krishi Sinchai Yojana (PMKSY), White Revolution-Rashtriya Pasudhan Vikash Yojana.

1.5: New scheme versus targeted benefit



Example of notional schemes under TSP/SCSP

Purchase of security-related items

Department: Home

Fund allocation under TSP in 2016-17: **Rs 1.56 crore**

Fund allocation under SCSP in 2016-17: **Rs 0.50 crore**

Profile: Under the Scheme of Security Related Expenditure (SRE), the expenditure incurred by the state on anti-Naxalite operations in the approved districts of the state is being reimbursed by the Central government. It is difficult to understand how the purchase of security-related items is linked to the development of SCs/STs in Odisha.

Such allocations are a clear diversion of SCSP and TSP funds.

Construction of buildings for jails

Department: Home

Fund allocation under TSP in 2016-17: **Rs 20.5 crore**

Fund allocation under SCSP in 2016-17: **Rs 5.9 crore**

Profile: SCSP/TSP allocation for construction of buildings for jails have no link with the development of SCs/STs, and does not serve the purpose of "bridging the gap" between SC/ST and others.

Construction of buildings for courts

Department: Home

Fund allocation under TSP in 2016-17: **Rs 7.3 crore**

Fund allocation under SCSP in 2016-17: **Rs 6.8 crore**

Profile: Like construction of jail building, SCSP and TSP allocation for construction of buildings for courts don't follow the objectives of SCSP/TSP guidelines.

Construction of buildings for police welfare

Department: Home

Fund allocation under TSP in 2016-17: **Rs 8.8 crore**

Fund allocation under SCSP in 2016-17: **Rs 16.8 crore**

Profile: A sum of Rs 9.2 crore was provided under state plan 2008-09 under the Head of Development 'police welfare and building'. In the first supplementary statement of expenditure, Rs 11 crore was also provided. The major building works are: Police Commissionerate Building (Part); Reserve Office, DPO, Range Office, SS Battalion, and Outpost building; 'E' & 'F' Type quarters; Building for I.R. Battalions; Barracks; Other buildings like residence-cum-office of SDPO/CI, Residence of S.P., Sports Complex and Toilet Blocks etc.

This spend has not benefited SC/ST communities.

Construction of buildings for fire services

Department: Home

Fund allocation under TSP in 2016-17: **Rs 2.89 crore**

Fund allocation under SCSP in 2016-17: **Rs 3.53 crore**

Profile: The Orissa Fire Service is a public utility Service. It was operating 171 fire stations in Odisha, as on March 2009. In 2008-09, 15 fire station buildings and 14 staff quarters were constructed.

This spend has not benefited SC/ST communities.

National Scheme for Modernization of Police and Other Forces

Department: Home

Fund allocation under TSP in 2016-17: **Rs 26 crore**

Fund allocation under SCSP in 2016-17: **Rs 1.63 crore**

Management and Development of Elephant corridor

Department: Forest and environment

Fund allocation under TSP in 2016-17: **Rs 1.8 crore**

Fund allocation under SCSP in 2016-17: **Rs 1.5 crore**

Profile: To conserve and protect elephant populations and their habitats.

This spend has not benefited SC/ST communities.

Similipal Tiger Reserve (TSP)/Satakosia Tiger Reserve (SCSP)

Department: Forest and environment

Fund allocation under TSP in 2016-17: **Rs 7 crore**

Fund allocation under SCSP in 2016-17: **Rs 5 crore**

Profile: Project Tiger, a major wildlife-conservation initiative of the Central government, was launched in 1973 to save the Indian tiger from extinction. Similipal Tiger Reserve was one of the nine reserves chosen in the country to implement the project. Some of the field activities are enforcement of anti-poaching measures, Census and estimate of the numbers of carnivores and their prey animals, and habitat-improvement measures.

This spend has not benefited SC/ST communities.

Wildlife protection and conservation measures

Department: Forest and environment

Fund allocation under TSP in 2016-17: **Rs 3.5 crore**

Fund allocation under SCSP in 2016-17: **Rs 4.5 crore**

Examples of good schemes that benefit STs/SCs directly

Umbrellas schemes for education for ST students

Fund allocation under TSP in 2016-17: **Rs 288.7 crore**

Profile: These are direct benefiting schemes for ST students studying at various academic levels. Allocation to them should be increased as Odisha has a high ST population and literacy rate among Adivasi girls is quite low. Several new innovative

schemes should be included under the umbrella schemes.

Indira Awaas Yojana (IAY)

Fund allocation under TSP in 2016-17: Rs 389.75 crore

Fund allocation under SCSP in 2016-17: Rs 285.56 crore

Profile: Provide assistance for construction of dwelling units and upgradation of existing unserviceable kutch houses for SC/ST and non-SC/ST rural households living below the poverty line.

Mainly SC/ST households receive benefit of IAY.

Scheme for development of scheduled castes

Fund allocation under SCSP in 2016-17: Rs 205.96 crore

Profile: Mostly these schemes are implemented in SC hamlets or directly benefit SC communities.

Scholarship and stipend for ST and SC students

Fund allocation under TSP in 2016-17: Rs 0.4 crore

Fund allocation under SCSP in 2016-17: Rs 155 crore

Profile: Eligible SC and ST boys and girls, including Neo-Buddhist students, are paid monthly maintenance allowance ranging from Rs 230 to Rs 450 for day scholars, and Rs 1,200 for hostellers. Besides maintenance allowance, all fees compulsorily payable by students to the institutions are also covered.

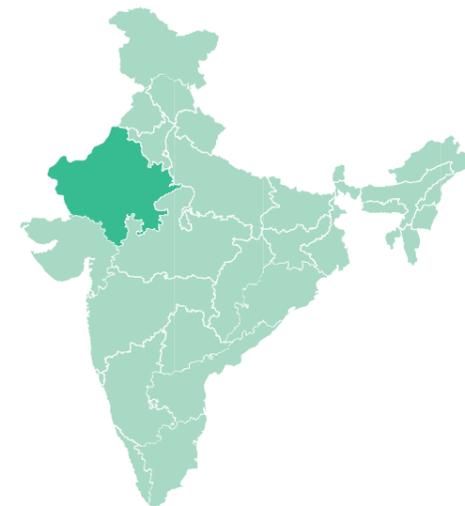
Scheme for development of scheduled castes

Fund allocation under SCSP in 2016-17: Rs 205.96 crore

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Overview

According to Census 2011, scheduled castes constitute 17.8% of the population of Rajasthan and scheduled tribes 13.5%. Discriminated due to the practice of untouchability, they have remained socially, educationally and economically alienated. They are denied access to land, forced to work in degrading conditions, routinely abused by dominant caste groups, and not allowed to participate in the decision-making process of traditional village panchayats but forced to obey their decisions.

The Central and state government have introduced a number of welfare schemes that are aimed at helping SCs. These include programmes for self-employment, and other economic benefits like land distribution, housing, education and health, as well as legislation to safeguard SCs/STs against atrocities and exploitation. However, these provisions are not implemented properly.

Overall allocation

For 2016-17, at the top level, the Rajasthan SCSP and TSP budgets are an eyewash: the denied amount in both cases is around 50%. In recent years, allocations proportionate to the SC/ST population have not happened in a single year.

Under SCSP, in 2015-16, against the due amount of Rs 10,203 crore, only Rs 5,351 crore (9.3%) was allocated. In 2016-17, against the due amount of Rs 15,570 crore, only Rs 6,915 crore (7.9%) was allocated.

Similarly, under TSP, in 2015-16, against the due amount of Rs 7,738 crore, only Rs 4,339 crore (7.57%) was allocated. In 2016-17, against the due amount of Rs 11,808 crore, only Rs 5,456 crore (6.2%) was allocated.

In other words, the amount denied in 2015-16 is Rs 4,851 crore under SCSP and Rs 3,399 crore under TSP. For 2016-17,

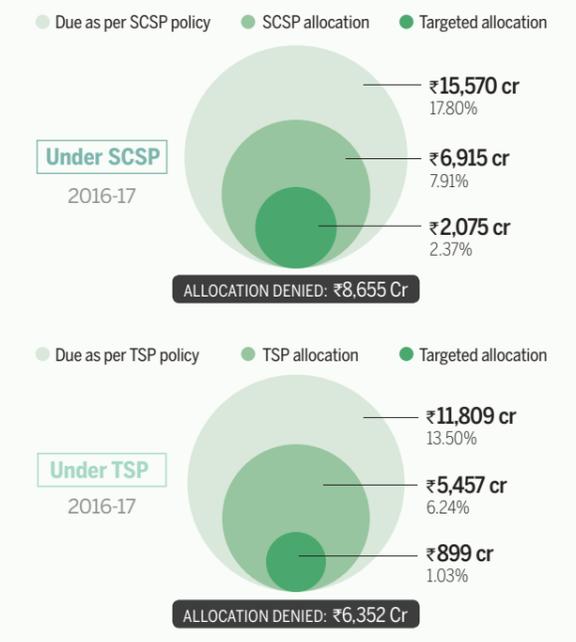
Rajasthan

1.1: Demographic profile

	SC	ST
Population	12.21 million	9.23 million
Share in population	17.8%	13.5%
Child sex ratio	923	948
Percentage of rural population who are BPL	Not available	Not available
Literacy rate	Not available	Not available

Sex ratio is number of girls per 1,000 boys aged 0-6 years
BPL: Below poverty line
Literacy rate is among population aged 7 years and above
Sources: Census 2011

1.2: Share of allocation in state budget



the corresponding figures are Rs 8,654 crore Rs 6,352 crore, respectively. In the last two years, allocation in percentage terms is declining, while the denied amount is increasing. This is worrying in the context of SCSP/TSP guidelines for implementation.

Key points of Rajasthan Budget

In 2015-16 and 2016-17, of the 35 departments, 20 allocated funds under SCSP and 22 under TSP. Under SCSP, the Department of Water Supply and Sanitation had the highest allocation: Rs 1,142 crore for 2016-17 and Rs 802 crore for

2015-16. Under TSP, the department had an allocation of Rs 867 crore for 2016-17 and Rs 595 crore for 2015-16.

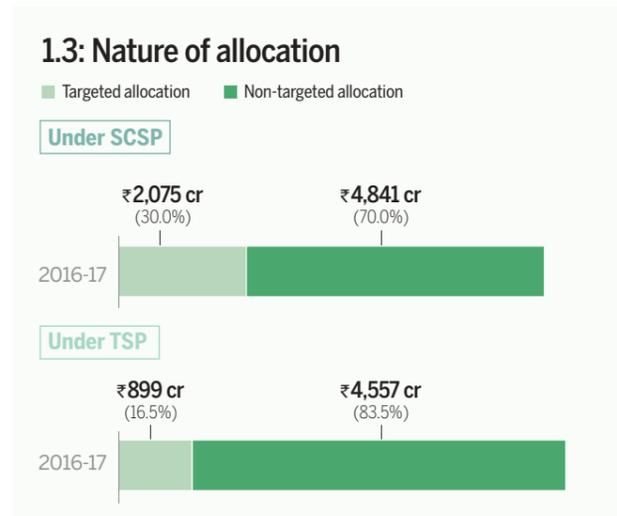
Under SCSP, the other top five department allocations for 2015-16 and 2016-17 are Power (Rs 1,219 crore and Rs 1,009 crore), Family Welfare (Rs 756 crore and Rs 542 crore), Welfare of SC/ST/OBC/Minorities (Rs 401 crore and Rs 766 crore), Road and Bridges (Rs 309 crore and Rs 792 crore), and Education (Rs 360 crore and Rs 750 crore).

Under TSP, the other top five department allocations for 2015-16 and 2016-17 are Welfare of SC/ST/OBC/Minorities (Rs 449 crore and Rs 720 crore), General Education (Rs 406 crore and Rs 700 crore), Road and Bridges (Rs 298 crore and Rs 585 crore), Power (Rs 777 crore and Rs 579 crore) and Family Welfare (Rs 575 crore and Rs 410 crore).

There are other departments that are equally important for socio-economic development but have not received adequate allocation: Health, Agriculture, Animal Husbandry, Industrial Training, Technical Education, Sports and Youth Welfare.

Expectations of the BJP government, which took charge of the state in 2013, were high since it made welfare of marginalised communities a prominent promise of its election campaign. It was expected it would do justice with due allocation of SCSP and TSP budget, but that has not happened. Even after several decades of inception of SCSP and TSP for development of both communities, serious gaps remain in allocation, planning, policy formulation and implementation.

Targeted versus notional/non-direct allocation



Planning Commission guidelines on SCSP/TSP clearly state that only those schemes should be included that ensure direct benefits to individuals or families belonging to SCs and STs. But the state government is doing the contrary. For 2016-17, non-direct allocation under SCSP is Rs 4,840 crore

(70%) and Rs 4,557 crore under TSP (84%). Such allocations, whose benefits cannot be tracked to SC/ST individuals, family or hamlets, are mostly in the following Departments: Rural Development, Women and Child Development, School Education and Literacy, Health and Family Welfare, and Higher Education.

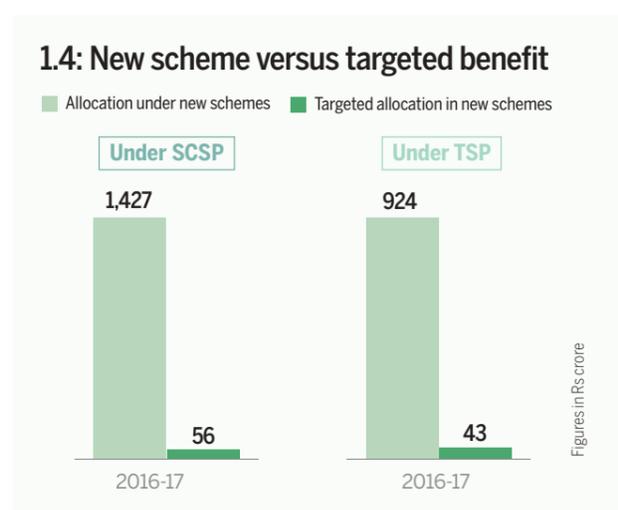
In 2016-17, targeted allocation is very low: only 30% in SCSP (Rs 2,075 crore) and 17% in TSP (Rs 899 crore). Schemes include pre- & post-matric scholarships, construction of girls and boys hostels, basti development projects, and tuition fee for SC/ST students in private colleges and institutions. The Department of Social Justice has made the highest percentage of real allocation.

Category-wise allocation

Rajasthan has also failed to provide access to Dalits and Adivasis in high-growth sectors or modern sectors. Of the SCSP allocations, 45% in 2016-17 is intended to fulfil the survival needs of SCs (basic needs like nutrition, shelter and healthcare). Under TSP, the corresponding figure is 42%.

Of the SCSP allocations, 53% in 2016-17 is allocated under 'development' (which would enable SCs/STs to play a more proactive role in society; for instance, express their opinions freely, or be entrepreneurs and thought leaders). Under TSP, the corresponding figure is 56%. There is negligible or no allocation for SCs and STs under participation and protection categories.

New scheme versus targeted with direct benefits



In 2016-17, 21 new schemes were launched under SCSP and 24 under TSP. Most, however, are notional in nature. Under SCSP, the total under new schemes was Rs 1,427 crore, of

which, Rs 56 crore was for directly-benefitting schemes. Under TSP, Rs 924 crore was allocated under new schemes, of which, Rs 43 crore was for directly-benefitting schemes.

Example of notional/non-direct schemes under SCSP

Mid-Day Meal

Allocation for 2015-16: **Nil**

Allocation for 2016-17: **Rs 255.92 crore**

Profile: On school days, provide a free meal that meets nutritional standards to every child of 6-14 years in Class I-VIII who attends school.

There is no mechanism in place to ensure that allocated funds will be used to provide nutritious food to students of the community only, rather than all.

Hospital and Medicines

Allocation for 2015-16: **Rs 104.83 crore**

Allocation for 2016-17: **Rs 129.61 crore**

Profile: An ambitious scheme for distribution of free medicines at all government hospitals and healthcare institutions. It was started in the state amid reports of insufficient supply of drugs at several places and shortage of doctors, para-medical staff and pharmacists, mainly at primary health centres in villages. Are records being maintained of how many SCs and STs have availed of the scheme?

National Rural Health Mission (NRHM)

Allocation for 2015-16: **Rs 630.27 crore**

Allocation for 2016-17: **Rs 475.93 crore**

Profile: Rajasthan is among the 18 states selected under NRHM for focused attention. The Mission was launched in the state in 2005, with the aim of carrying out necessary architectural correction in basic healthcare delivery system, particularly in rural areas.

This is a flagship programme of the Central government meant for all. So, how can SCSP and TSP funds, which are meant for SCs and STs only, be utilised for all in the name of this programme?

Housing for Police

Allocation for 2015-16: **Rs 21.22 crore**

Allocation for 2016-17: **Rs 27.97 crore**

Profile: Has no direct relation to development of SCs/STs, as it's not apparent if houses are being constructed only for the SC/ST community.

Integrated Child Development Services (ICDS) Scheme

Allocation for 2015-16: **Rs 372.36 crore**

Allocation for 2016-17: **Rs 450.74 crore**

Profile: A Central government programme, it aims to make

specific interventions to reduce malnutrition among children, especially to break the inter-generational cycle, and infant mortality.

It's intended for all, not just SCs and STs, which goes against SCSP/TSP guidelines.

Example of notional/non-direct schemes under TSP

Rural Water Supply Programme

Allocation for 2015-16: **Rs 478.24 crore**

Allocation for 2016-17: **Rs 753.44 crore**

Profile: The programme is for all, making it difficult to assess the direct benefit to SCs and STs.

Atal Mission for Rejuvenation and Urban Transformation (AMRUT)

Allocation for 2015-16: **Nil**

Allocation for 2016-17: **Rs 134.68 crore**

Profile: Launched by the present Prime Minister in June 2015, the scheme focuses on urban renewal projects: infrastructure that ensures adequate and robust sewerage networks and water supply. Rajasthan was the first state to submit a State Annual Action Plan under AMRUT. Here, the scheme itself shows that it's not just for the marginalised but for all, and for the socially advanced in particular.

Examples of good schemes that benefit SCs directly

Welfare of Scheduled Castes

Allocation for 2015-16: **Rs 401.19 crore**

Allocation for 2016-17: **Rs 766.19 crore**

Profile: Most SC households possess small or no landholdings. Their low resource base is compounded by poor employable attributes, as reflected in their comparatively poor literacy rates. This results in a disproportionately large presence of the marginalised (over 90%) in BPL families. Their poverty leaves them vulnerable to exploitation. Women in these groups are even more marginalised. Only such exclusive and intensive programmes can help the community.

Cycle distribution to Dalit girl students in Dalit areas

Allocation for 2015-16: **Rs 14 crore**

Allocation for 2016-17: **Rs 15 crore**

Profile: Ensures direct benefit to girls.

Water Supply Programme in Dalits Areas (Rural)

Allocation for 2015-16: **Rs 647.46 crore**

Allocation for 2016-17: **Rs 987.75 crore**

Profile: Initiated by the Central government in 2006 under

the flagship National Rural Water Quality, Monitoring and Surveillance Programme. Rajasthan is also implementing the same, which is good as it targets water supply to SCs only.

Examples of good schemes that benefit STs directly

Development of Scheduled Tribes

Allocation for 2015-16: **Rs 449.53 crore**

Allocation for 2016-17: **Rs 720.12 crore**

Profile: As per the guidelines, the allocation is good and hopefully will be utilised for STs only.

National Higher Education Campaign for SCs

Allocation for 2015-16: **Rs 28.1 crore**

Allocation for 2016-17: **Rs 43.2 crore**

Profile: Provides essential services to Dalit students directly. It, however, has a low allocation.

Rajiv Awaas Yojana (RAY)

Allocation for 2015-16: **Rs 61.97 crore**

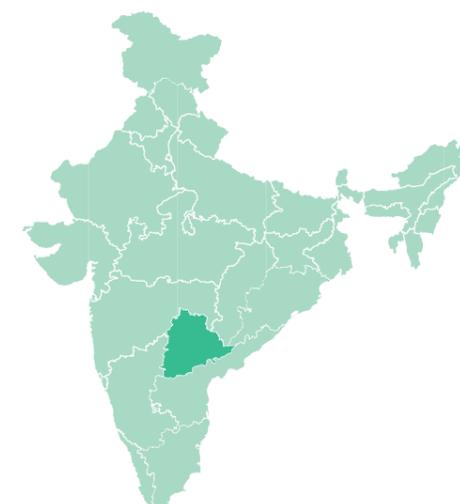
Allocation for 2016-17: **Rs 41.37 crore**

Profile: RAY envisages a 'slum-free India', with inclusive and equitable cities, where every citizen has access to basic civic

infrastructure, social amenities and decent shelter. It's a very good programme whose fund allocation should be increased to achieve the target.

List of references

1. Detailed Demand for Grants (DDG), 2015-16 and 2016-17
2. Guideline for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006) and Revised Guidelines (Jadhav Committee) 2010
3. Census of India, 2011
4. Planning Department, Government of Rajasthan
5. Social Justice and Empowerment Department, Government of Rajasthan.
6. Slum Free India: Myths and Realities (A Status Report on Rajiv Awaas Yojana) 2014



Telangana

1.1: Demographic profile

	SC	ST
Population	5.43 million	3.28 million
Share in population	15.4%	9.3%
Child sex ratio	Not available	Not available
Percentage of rural population who are BPL	Not available	Not available
Literacy rate	58.9%	49.5%

Sex ratio is number of girls per 1,000 boys aged 0-6 years
 BPL: Below poverty line
 Literacy rate is among population aged 7 years and above
 Sources: Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Telangana Budget

Telangana came into being in 2014 with the Andhra Pradesh Reorganisation Act, which bifurcated Andhra Pradesh into Andhra Pradesh and Telangana. A year before that, the then unified state of Andhra Pradesh passed the Andhra Pradesh Scheduled Castes Sub Plan and Scheduled Tribal Sub Plan (Planning, Allocation and Utilisation) Act 2013. The Act is applicable for both Andhra Pradesh and Telangana today. The Act guides the allocation and utilisation of funds to address the development needs of the community. Its objectives are:

- To ensure accelerated development of SCs/STs with a commitment towards ensuring equality.
- Focus on economic, education and human development, ensuring dignity, social security and equity.
- Earmarking of funds under SCSP and TSP in proportion to the SC and ST population.
- Ensuring effective institutional mechanisms for implementation of the sub-plans.

The 2016-17 Budget is the newly-formed state's third and the first prepared after a comprehensive review of all items of expenditure and assessment of resources. The 2014-15 Budget was in continuation of the Vote-on-Account Budget presented by the then government of the undivided state. The 2015-16 Budget was prepared without having estimates for the full 12 months of the previous year, as the new state of Telangana was

formed on June 2, 2014.

A top-level analysis of allocations made under SCSP/TSP revealed that:

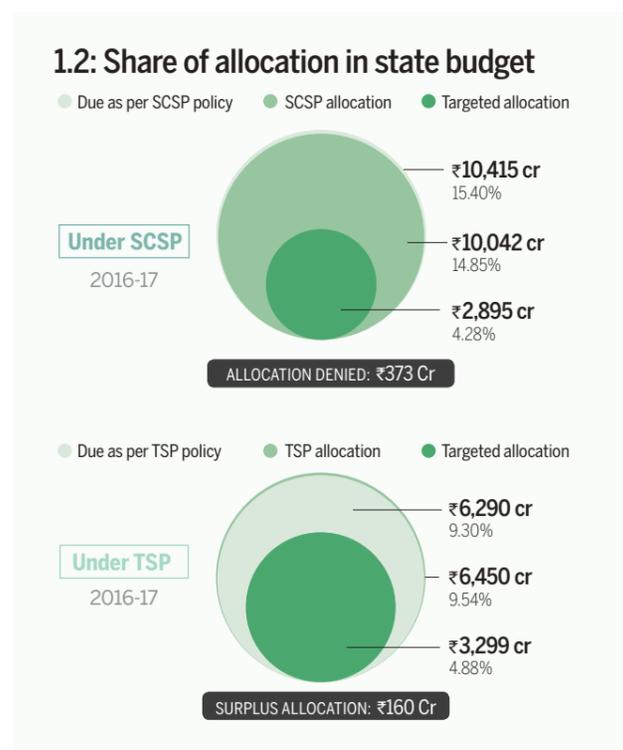
- Allocation under SCSP is almost in proportion to the SC population share: 14.9% allocation share versus 15.4% population share. It is excess under TSP: 9.5% allocation share versus 9.3% population share. However, a deeper look at these allocations reveals a different picture.
- Of the 44 departments in Telangana, 28 were allocating funds under SCSP and 29 under TSP.
- Under SCSP, the Social Welfare Department allocated the most (Rs 6,631 crore) and the Department of Minor Irrigation the least (Rs 1.75 crore). Under TSP, the Tribal Welfare Department allocated the most (Rs 3,503 crore), the Medical and Health Department the least (Rs 1.5 crore).
- Telangana is among the better states in terms of sex ratios: 1,008 women per 1,000 men for SCs and 980 for STs. Half the state's population is female. Yet, only 3 of the 254 schemes/programmes allocating under SCSP are Dalit women-centric schemes, and that too with a meagre allocation of Rs 213 crore.

Of the 269 schemes under TSP, only nine tribal women-specific schemes exist. In 2016-17, only Rs 101 crore has been allocated to three such schemes, while the other six schemes have nil allocation. Further, the government has discontinued allocation for a number of women-specific schemes such as

the Girl Child Protection Scheme, YSR Abhya Hastam and Mahila Kisan Sasaktikaran Pariyojana. Is the allocation of only Rs 88 crore for Kalyana Laxmi Scheme, Rs 7 crore for Residential Junior College for Girls, and Rs 6.1 crore interest-free loan to DWCRA women sufficient to transform the quality of life of Adivasi women in rural Telangana?

It is a matter of concern that the government has made huge allocations to schemes/programmes that have no link to the development of the SC/ST community. But it leaves much to be desired in addressing problems of the mass of marginalised community, women in particular. For a gender-responsive budget, the Telangana government should proactively introduce more women-specific schemes under SCSP and TSP, with adequate budgetary allocation.

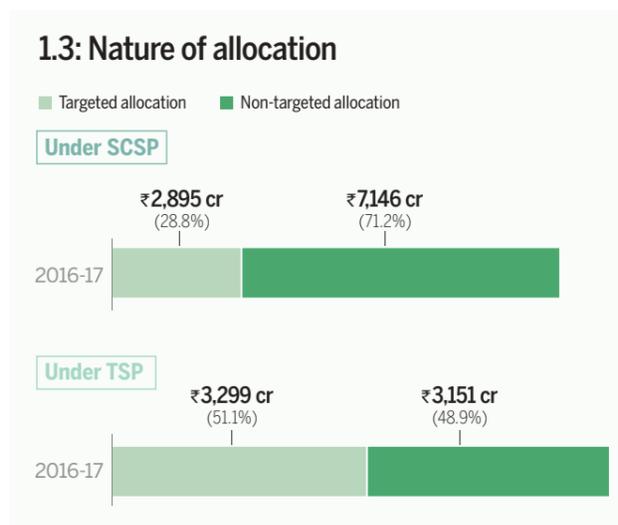
Overall allocation



According to the SCSP/TSP Act operational in Telangana, funds need to be allocated under SCSP/TSP plans in proportion to the SC/ST population. Our first-level analysis¹ shows that Rs 10,415 crore was the due amount under SCSP and Rs 6,289 crore under TSP. Allocation under SCSP (14.85%) is more or less in proportion to the SC population, while TSP (9.54%) is in excess of the ST population. Unfortunately, this positive trend in allocation did not translate into development initiatives for

the community, as most of the allocations were notional and non-direct in nature.

Targeted versus notional/non-direct allocation



Our analysis shows that only Rs 2,895 crore is allocated for the direct benefit of Dalits and Rs 3,298 crore for the direct benefit of Adivasis. Non-direct allocations are a large proportion under both SCSP (71.2%) and TSP (49%).

The SCSP/TSP Act mandates a basket of innovative and area-oriented schemes for direct benefit of SCs/STs. However, under SCSP, major allocations were being made under Department of Social Welfare, Rural Development and Panchayati Raj. Likewise, under TSP, major allocations were being made under Department of Tribal Welfare, Rural Development and Minor Irrigation. Non-direct allocations exceeded direct allocations.

In 2016-17, under both SCSP and TSP, major allocations were made under three schemes: Special Development Fund for Developmental Welfare Activities (Rs 540 crore under SCSP), RTF (Rs 500 crore) and MTF (Rs 200 crore). RTF and MTF are scholarship schemes, aimed directly for the benefit of students. Hence, these allocations, both physical and financial, can be traced. The Special Development Fund for Developmental Welfare Activities assists NGOs, and direct allocations, both physical and financial, are difficult to trace.

Substantive allocations under SCSP/TSP to departments are non-direct in nature. For example, major allocations were

made to MGNREGA under both SCSP (Rs 941 crore) and TSP (Rs 705 crore). The scheme, which guarantees 100 days of wage employment in a year to rural households, is a general scheme, without any physical or financial outlays for the SC/ST community.

The same is the case with two other schemes receiving large allocations under SCSP: Pradhan Mantri Gram Sadak Yojana (Rs 166 crore) and Economic Support Scheme (Rs 1,247 crore). Likewise, under TSP: Mission Kakatiya (Rs 650 crore) and Assistance to Panchayat Institutions for Construction of Rural Roads (Rs 181 crore).

Such allocation patterns—general schemes receiving higher share of funds than schemes that are direct in nature—are reflective of the massive gap in the existing law.

Category-wise allocation

Under SCSP, Telangana has allocated mostly for survival needs of SC/ST community (64.4% of allocations), as opposed to developmental needs (34.1%). Negligible allocations have been made under the categories of participation (1.1%) and protection (0.4%).

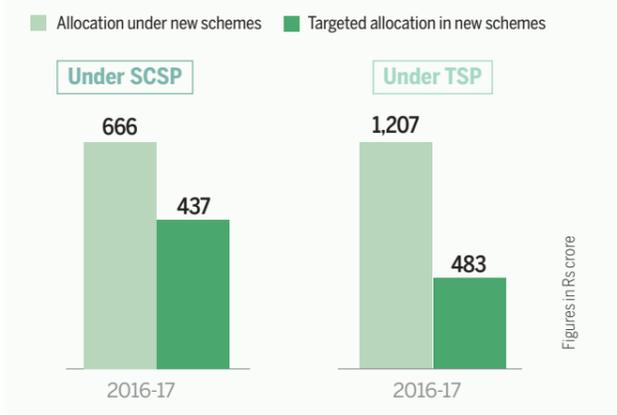
Similarly, under TSP, the break up is 55.4% for survival needs, 42.9% for development, 1.3% for protection and 0.4% for participation. These figures are evidence of the low priority accorded by the government to economic growth of SCs/STs.

New scheme versus targeted with direct benefits

- Under SCSP, 15 new schemes were introduced, amounting to Rs 666 crore. Of this, only Rs 436 crore (66%) was direct allocation. Under TSP, 20 new schemes were introduced, amounting to Rs 1,207 crore. Of this, only Rs 482 crore (40%) was direct allocation.
- Pradhan Mantri Awaas Yojana is a new scheme introduced under both SCSP and TSP in Telangana. It received the highest allocation under both SCSP (Rs 260 crore) and TSP (Rs 130 crore), and this was direct in nature.
- Mission Kakatiya is a new scheme introduced under TSP. This is a general scheme aimed at restoring tanks and lakes in Telangana. A sum of Rs 650 crore has been allocated to it, but this is non-direct in nature.

The Act, under Chapter 3, identifies four categories under which schemes are organised and funds allocated. These are:

1.4: New scheme versus targeted benefit



- Schemes exclusively benefitting SC/ST individuals or households. In such schemes, 100% of the cost will be allocated and accounted for under SCSP/TSP.
- Schemes benefitting SC/ST habitation. 100% of the scheme cost will be allocated and accounted for under SCSP/TSP. In case of other habitation, budgetary allocation will be allocated and accounted for under SCSP/TSP in proportion to the SC/ST population.
- General schemes that benefit SC/ST individuals and households, along with others. The scheme cost will be accounted for in proportion to SC/ST beneficiaries covered.
- With respect to non-divisible infrastructure works, a portion of the scheme, as determined by the Governor, shall be deemed to have been attributed under SCSP/TSP.

The following sections list schemes as per the above classification.

Examples of non-direct (general and non-divisible schemes) schemes under SCSP

Department Attached College Hostels

Allocation in 2015-16: **Nil**
Allocation in 2016-17: **Rs 100 crore**
Reason: A general scheme without any physical or financial outlays for the SC/ST community.

AMRUT

Allocation in 2015-16: **Nil**
Allocation in 2016-17: **Rs 49.80 crore**

¹ First-level analysis refers to aggregate analysis. Through the analysis, the share to be allocated under SCSP/TSP is calculated. It highlights irregularities and shortcomings in the budget, and helps assess government irregularities in the development process.

Reason: A general scheme without any physical or financial outlays for the SC/ST community.

Human Resources in Health and Medical Education

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 8.27 crore**

Reason: A general scheme without any physical or financial outlays for the SC/ST community.

Swachh Bharat

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 25.01 crore**

Reason: A national campaign of the new Central government aimed at cleaning streets, roads and infrastructure of the country. A general scheme without any physical or financial outlays for the SC/ST community.

Pradhan Mantri Krishi Sinchayee Yojana

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 22.59 crore**

Reason: Its main focus is irrigation in agriculture. A general scheme without any physical or financial outlays for the SC/ST community.

Examples of non-direct (general and non-divisible schemes) schemes under TSP

Mission Kaktiya

Allocation in 2015-16: **Rs 46 crore**

Allocation in 2016-17: **Rs 650 crore**

Reason: A general scheme aimed at restoring tanks and lakes in Telangana that has no impact on the community

Pradhan Mantri Krishi Sinchayee Yojana

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 13.27 crore**

Reason: Mandate is irrigation in agriculture. A general scheme without any physical or financial outlays for the SC/ST community.

Swachh Bharat

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 14.7 crore**

Reason: A national campaign of the new Central government aimed at cleaning streets, roads and infrastructure of the country. A general scheme without any physical or financial outlays for the SC/ST community.

AMRUT

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 29.27 crore**

Reason: A general scheme without any physical or financial outlays for the SC/ST community.

Human Resources in Health and Medical Education

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 4.86 crore**

Reason: A general scheme without any physical or financial outlays for the SC/ST community.

Examples of good direct schemes that benefit SCs

Pradhan Mantri Awaas Yojana (Rural)

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 37.36 crore**

Reason: A flagship social welfare programme providing housing for the rural poor. Both physical and financial outlays are set aside for the SC/ST community.

Pradhan Mantri Awaas Yojana (Urban)

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 260.16 crore**

Reason: A flagship social welfare programme providing housing for the urban poor. Both physical and financial outlays are set aside for the SC/ST community.

Additional Facilities to the Student of SC Hostels in the New State of Telangana

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 130 crore**

Reason: Provides financial assistance to minorities to ensure access to spaces in education. Both physical and financial outlays are set aside for the SC/ST community.

Pre-Matric Scholarships

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 12 crore**

Reason: Provides financial assistance to minorities to ensure access to spaces in primary and secondary education. Both physical and financial outlays are set aside for the SC/ST community.

Examples of good direct schemes that benefit STs

Pradhan Mantri Awaas Yojana (Rural)

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 18.68 crore**

Reason: A flagship social welfare programme providing housing

for the rural poor. Both physical and financial outlays are set aside for the SC/ST community.

Pradhan Mantri Awaas Yojana (Urban)

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 130.08 crore**

Reason: A flagship social welfare programme providing housing for the urban poor. Both physical and financial outlays are set aside for the SC/ST community.

Pre-Matric Scholarships

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 7.50 crore**

Reason: Provides financial assistance to minorities to ensure access to spaces in primary and secondary education. Both physical and financial outlays are set aside for the SC/ST community.

Vanbandhu Kalyan Yojana

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 18.36 crore**

Reason: A scheme to ensure access to natural resources. Both physical and financial outlays are set aside for the SC/ST community.

Infrastructure in three ITDA Districts

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 250.0 crore**

Reason: A scheme to ensure access to infrastructure facilities. Both physical and financial outlays are set aside for the SC/ST community.

List of references

1. Telangana State Portal
2. Telangana Budget Estimates 2016-17-Volume III
3. Telangana Budget at a Glance



Uttar Pradesh

1.1: Demographic profile

	SC	ST
Population	41.35 million	1.13 million
Share in population	20.7%	0.6%
Child sex ratio	Not available	Not available
Percentage of rural population who are BPL	44.8%	32.4%
Literacy rate	60.0%	44.3%

Sex ratio is number of girls per 1,000 boys aged 0-6 years
 BPL: Below poverty line
 Literacy rate is among population aged 7 years and above
 Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of Uttar Pradesh Budget

Uttar Pradesh (UP) is India's most populous state. It also has more Dalits and Adivasis than any other state. Scheduled castes account for 20.7% of the state's population and scheduled tribes 0.6%. In 2014, according to the National Crime Records Bureau, 47,064 cases of crimes against SCs were reported in India. UP accounted for 8,075 cases (17.2%), the highest among all states.

Over the years, the Central and state governments have introduced a number of welfare schemes aimed at SCs. These include programmes for self-employment, land distribution, housing, education and health. Legislation has also been drafted to protect SCs/STs from atrocities and exploitation.

However, these provisions have not been implemented properly. In the absence of economic development, SCs/STs are still compelled to do demeaning work like removing carcasses and scavenging. They also have to endure restricted social interaction, and Dalit students are discriminated on caste grounds and more.

In UP, Dalits have had major political impact. The Dalit-led Bahujan Samaj Party (BSP), led by Mayawati, ruled the state for several years. Even Samajwadi Party (SP), the current ruling party, has several Dalit leaders. Yet, allocation, utilisation and implementation of SCSP have never been good. It is riddled with fund diversion and misallocation, and unutilised funds.

In accordance with National Accounting procedures, Uttar Pradesh operationalised the required Minor Head Codes

789 for SCSP and 796 for TSP from 2009-10. Earlier allocations were not as per the National Accounting procedures. This resulted in mismatches between allocations and expenditures under SCSP/TSP, and increased the risk of fund diversion.

For 2016-17, under SCSP, Rs 21,575 crore has been allocated to 15 sectors, all under demand number 83 and 80. Under TSP, Rs 258 crore has been allocated in 10 sectors, all under demand number 80. Major allocations have been made in education, sports, arts and culture, rural development, social sectors, housing, public works, SC/ST welfare, and health and family welfare sectors.

This year, 323 schemes and programmes are running under SCSP, and 56 schemes under TSP. Some major schemes to receive substantial allocation are SSA (Rs 3,197 crore), Indira Awaas Yojana (1,849 crore), MGNREGA (Rs 945 crore) and ICDS (Rs 980 crore). These are all Centrally-sponsored schemes.

Elsewhere, Post-Matric Scholarships have been allocated Rs 1,100 crore, Construction of CC Road and Drains in Urban Slums Rs 160 crore, Skill Development of SC youths Rs 131 crore. These are all positive developments in this year's budget.

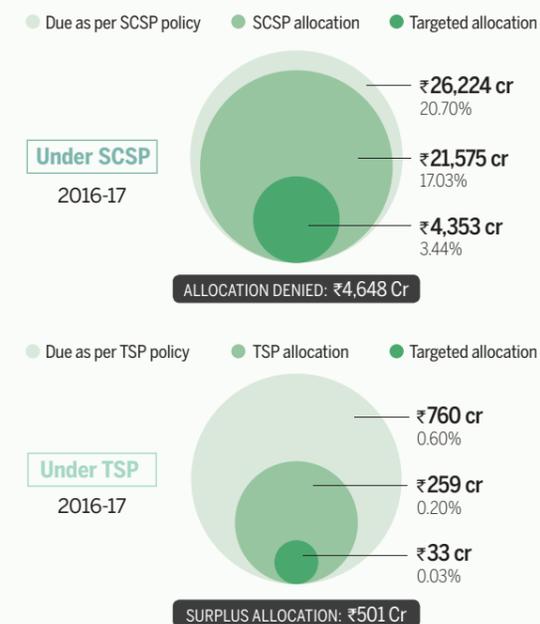
There are also anomalies under SCSP: Agra-Lucknow Expressway (Rs 900 crore), share capital to UP Power Corporation Limited (Rs 604 crore), connecting district headquarters through four-lane roads (Rs 215 crore).

Although a larger share of the SC population resides in villages, there has not been any significant effort to promote

village and small industries: a mere Rs 10 lakh has been allocated under the industry sector. Low allocations also run through essential sectors like agriculture, animal husbandry, fisheries, civil aviation, major and medium irrigation, and telecom and electronics.

Overall allocation

1.2: Share of allocation in state budget



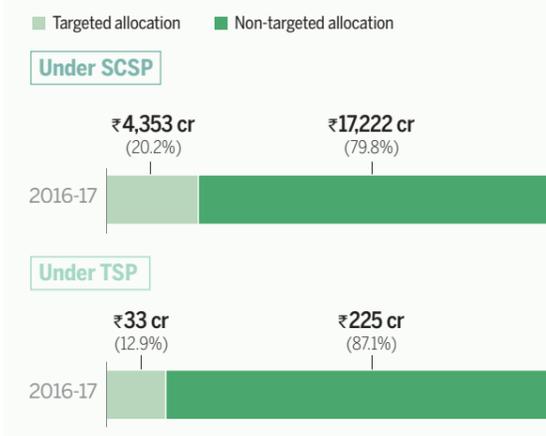
The UP government is mandated to allocate at least 20.7% of its state plan for SCSP. According to the Detailed Demands of Grants, it allocated 18.8% in 2015-16, which fell to 17% in 2016-17. Under TSP, against the mandated allocation of 0.6%, the allocation was 0.23% in 2015-16 and 0.20% in 2016-17.

In percentage terms, the denied amount seems small. But in rupee terms, it's substantial: in the last four financial years, Rs 12,845 crore under SCSP and Rs 1,820 crore under TSP. It could have funded many development activities aimed at Dalits and Adivasis.

Targeted versus notional/non-direct allocation

Only Rs 4,315 crore of the SCSP funds (or 20%) and Rs 33 crore of the TSP funds (13%) are flowing directly to the SC/ST community. In spite of higher allocations by UP to SCSP/TSP over the years, the nature of allocation has not changed: more indirect schemes, few direct schemes. This is in clear violation

1.3: Nature of allocation



of SCSP/TSP guidelines.

In some of these schemes, there is no clear description on how they will spend. Funds under these schemes are spent as grants-in-aid and subsidy. Take SSA, which receives the highest allocation under SCSP, of Rs 3,197 crore. It is a general programme, with a provision for free textbooks and uniforms to all. It is not specifically designed for SCs/STs. Therefore, there is no question of accounting SSA expenditure under SCSP/TSP. The second gap is the payment of salary under SSA. In this context, Planning Commission guidelines dated October 31, 2005, do not mandate payment of salary or wages under SCSP/TSP. In any case, teachers engaged under SSA are not only teaching SCs, but others as well.

Another example of suspicious allocation is under MGNREGA, which allocated Rs 945 crore under SCSP. This is a wage-based scheme that cannot be accounted under SCSP or TSP, according to Planning Commission guidelines. Likewise, the allocation of Rs 900 crore to the Agra-Lucknow Expressway: will this expressway be used by Dalits only?

Category-wise allocation

Of the total SCSP allocation, 60% is directed into programmes whose nature is survival. Only 33% of SCSP funds are being allocated for developmental needs. A negligible allocation is being made for protection and participation schemes, which are equally important for communities. Further, of the survival category allocation, only Rs 3,899 crore may directly benefit Dalit communities.

The allocation of TSP follows a similar pattern: 79%

for survival and nil allocation under protection category. This means that SCSP/TSP allocations are done in social sectors, not sectors related to economic growth, infrastructure, employment and other economic development services.

Component-wise expenditure under SCSP

Grants-in-aid (salary and non-salary, and capital expenditure) account for 33% and 35% of SCSP and TSP, respectively. Grants-in-aid do not give clear details on how it was spent. Large-scale construction comprises 31% of SCSP and 17% of TSP, but it is not clear how this component benefits Dalits. Expenditure on salary is 2.7% of SCSP, even though salary and wage components are not part of the SCSP mandate.

Contribution to scholarship and stipend was 6% of SCSP and 1.9% of TSP. This shows that direct education support is a low priority, which is the opposite of what SCs/STs want.

New scheme versus direct benefit

1.4: New scheme versus targeted benefit



43 new schemes have been launched under SCSP in 2016-17 and 5 under TSP. Among new schemes under SCSP, only 2 have direct benefits: Kaushal Vikas Yojana and Pradhan Mantri Adarsh Gram Yojana. Under TSP, not a single new scheme has direct benefits.

Examples of non-direct scheme under SCSP

Lucknow-Agra Express Highway Project

Allocation in 2015-16: **Rs 980 crore**

Allocation in 2016-17: **Rs 900 crore**

Assessment: It is difficult to assess how Dalits will benefit from this project.

Share capital to strengthen distribution network of Uttar Pradesh Power Corporation

Allocation in 2015-16: **Rs 600 crore**

Allocation in 2016-17: **Rs 600 crore**

Assessment: It is difficult to assess how it will contribute to the overall development of Dalits.

Construction of railway overbridges/underpass

Allocation in 2015-16: **Rs 107.7 crore**

Allocation in 2016-17: **Rs 121.1 crore**

Assessment: The scheme has no direct relation to development of SCs in UP.

Four-Lane road to connect district headquarters (construction, maintenance and rejuvenation)

Allocation in 2015-16: **Rs 242.4 crore**

Allocation in 2016-17: **Rs 215.4 crore**

Assessment: Highways and main roads are used by everybody, irrespective of caste. Clearly violates SCSP/TSP guidelines.

Construction/expansion of bridges for agricultural product transportation

Allocation in 2015-16: **Rs 20 crore**

Allocation in 2016-17: **Rs 20 crore**

Assessment: This scheme doesn't benefit SCs alone as farmers belongs to all castes and ethnicity.

MGNREGA

Allocation in 2015-16: **Nil**

Allocation in 2016-17: **Rs 945 crore**

Assessment: As per policy guidelines, MGNREGA should not be included under SCSP/TSP as it is wage-based or food-for-work programme.

Examples of good schemes that benefit SCs

Providing laptops to SC/ST students who passed Class 10 and 12

Allocation in 2015-16: **Rs 21 crore**

Allocation in 2016-17: **Rs 21 crore**

Assessment: This scheme will enhance capability of SC and ST students in UP.

Providing general facilities like interlocking drainage system, concrete road in urban slums

Allocation in 2015-16: **Rs 125 crore**

Allocation in 2016-17: **Rs 160 crore**

Assessment: As most slum population in UP comprises SCs, the scheme will help improve their living standards.

Scholarship for SC students

Allocation in 2015-16: **Rs 2,234 crore**

Allocation in 2016-17: **Rs 1,100 crore**

Assessment: Directly benefits SC students by providing financial assistance for education at post-matric levels.

Indira Awaas Yojana

Allocation in 2015-16: **Rs 1,843 crore**

Allocation in 2016-17: **Rs 1,849 crore**

Assessment: Provides financial assistance to SC/ST and non-SC/ST rural households below the poverty line to construct houses and upgrade existing unserviceable kutcha houses.

Providing skill development training to the youth from SC communities.

Allocation in 2015-16: **Rs 131 crore**

Allocation in 2016-17: **Rs 131 crore**

Assessment: This is directly benefitting the community.

Assistance to washermen (seed capital for opening dry-cleaning setup)

Allocation in 2015-16: **Rs 0.19 crore**

Allocation in 2016-17: **Rs 0.32 crore**

Assessment: This is a direct benefitting scheme.

For Implementation of SC/ST POA Act (50% share)

Allocation in 2015-16: **Rs 39.45 crore**

Allocation in 2016-17: **Rs 46.42 crore**

Assessment: This directly contributes towards the protection of the community.

List of references

1. Guideline for Implementation "Scheduled Caste Sub Plan", Planning Commission (2006)
2. State annual plan UP
3. DDGs 2016-17, Government of UP



West Bengal

1.1: Demographic profile

	SC	ST
Population	21.46 million	5.29 million
Share in population	23.5%	5.8%
Child sex ratio	951	974
Percentage of rural population who are BPL	Not available	Not available
Literacy rate	69.4%	57.9%

Sex ratio is number of girls per 1,000 boys aged 0-6 years
 BPL: Below poverty line
 Literacy rate is among population aged 7 years and above
 Sources: BPL population (Planning Commission, 2014-15); Literacy rate (NSSO, Primary Data, 2009-10); All others (Census 2011)

Key points of West Bengal Budget

Till 2011, Left parties ruled West Bengal for close to a quarter of a century. In their vision of socio-economic-political development, the focus of governance was on land reforms and self-governance. In spite of that, their rule ended with the poor of the state poorer than the rest of the country¹. Education, healthcare, and agricultural and industrial growth left much to be desired. When the Trinamool Congress (TMC) came to power in 2011, SCs formed 23.5% of West Bengal and STs 5.8%².

In West Bengal, allocations under the mandatory SCSP/TSP are not released as separate budget documents, but are shown under Detailed Demand for Grants. An analysis of Budget 2015-16 shows proportionate allocation under SCSP/TSP, but also points towards extensive diversion of funds. Much of the allocated money was used for development at large, and not specific to the SC/ST population. In his speech, the Finance Minister mentioned SC/ST in reference to issuing identity certificates, but not in the context of development needs and gaps and did not mention SCSP/TSP even once.

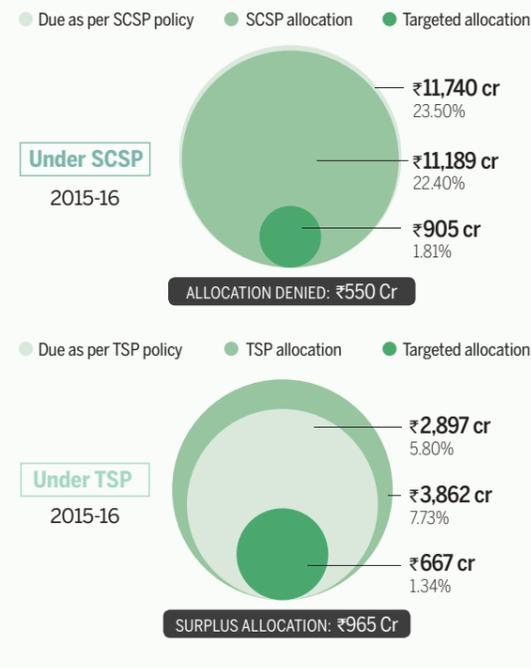
Analysis of allocations made under SCSP/TSP show that out of 78 departments in West Bengal, only 47 were allocating funds under SCSP/TSP. The Panchayati Raj Department made the highest allocation (Rs 2,794 crore), followed by Education (Rs 2,205 crore), and Health and Family Welfare (Rs 677 crore). At the other end, the Judicial Department made a minor allocation of Rs 0.05 crore. This pattern of allocation

did not translate into desired development for the targeted communities in the state.

Overall allocation

According to SCSP/TSP guidelines, funds need to be allocated

1.2: Share of allocation in state budget



under SCSP/TSP in proportion to the SC/ST population. Thus, Rs 11,739 crore was due under SCSP and Rs 2,894 crore under TSP. Allocations made under SCSP/TSP were more or less in proportion to the population: Rs 11,189 crore under SCSP (22.4%) and 3,862 crore under TSP (7.7%). Although TSP recorded a surplus allocation, it did not translate into development initiatives for the community, as most allocations were notional and non-direct in nature.

Targeted versus notional/non-direct allocation

1.3: Nature of allocation



The SCSP/ TSP policy mandates a basket of innovative and area-oriented schemes for the direct benefit of SC communities. However, major allocations under SCSP were being made under housing-related schemes of Backward Classes Welfare Department, Home Department and Panchayat Rural Development Department. IAY saw the highest allocation, of Rs 485 crore. Sunderban Affairs Department, too, received a major allocation.

Most non-direct allocations were to education-based schemes under the School Education Department, including Sarva Shiksha Abhiyan and Rashtriya Madhyamik Shiksha Abhiyan. Other schemes registering non-direct allocations were MGNREGA, Development of State Roads and Bridges by West Bengal Compensatory Entry Tax Fund (WBCETF), and Grants to Panchayat bodies as per recommendation of Third State Finance Commission.

Under TSP, major direct allocations went to IAY and old-age pension, and major non-direct allocations to ICDS.

The allocation patterns reveal no political will to facilitate

overall development of the SC/ST community. They also reveal a bias against access to education for the SC/ST community, typified by non-direct allocation being made towards policies that aimed to increase participation of female students.

Category-wise allocation

The government of West Bengal has allocated mostly for survival needs (61%) of the SC/ST community, as opposed to developmental needs (36%). Negligible amounts have been allocated under participation (0.09%) and protection (3.37%). This shows economic growth of SCs/STs is low priority for the government.

The TMC government took over from Left parties, under whose rule poverty in the state increased. Many service-providing departments were left dysfunctional. The educational and health sectors were in shambles. Given the imperative for basic services, allocations have not been in proportion.

New scheme versus direct benefit

1.4: New scheme versus targeted benefit



Under SCSP, 37 new schemes were introduced. They were allocated Rs 740 crore, of which, only Rs 88 crore was direct allocation. Under TSP, 34 new schemes were introduced. The allocation to them was Rs 208 crore, with only Rs 1 crore being direct allocation. Most new schemes under both SCSP and TSP are non-direct in nature.

Among new schemes introduced under SCSP, the National Programme Nutritional Support to Primary Education (mid-day meal) had the highest allocation (Rs 324 crore), but it was non-direct in nature. The National Rural Livelihood Mission (NRLM) was allocated Rs 207 crore and the Nirmal Bharat Abhiyan Rs 110 crore, but these too were non-direct in nature.

¹ Barman, Abheek. Left rules West Bengal for 34 years and ruins the state. May 17, 2011. http://articles.economictimes.indiatimes.com/2011-05-17/news/29552246_1_west-bengal-left-front-medinipur (accessed May 16, 2016).

² Census 2011

The National Programme Nutritional Support to Primary Education (mid-day meal) was also the new scheme under TSP to have received the highest allocation (Rs 81 crore), but it was non-direct in nature. The National Rural Livelihood Mission (NRLM) was allocated Rs 53 crore and the Nirmal Bharat Abhiyan Rs 54 crore, but these too were non-direct in nature.

Examples of some notional schemes under SCSP

National Programme Nutritional Support to Primary Education (mid-day meal)

Non-direct allocation: **Rs 324 crore**

National Rural Livelihood Mission(NRLM)

Non-direct allocation: **Rs 207 crore**

Nirmal Bharat Abhiyan

Non-direct allocation: **Rs 110 crore**

Sikhshashree

Non-direct allocation: **Rs 100 crore**

Grant from Finance Commission

Non-direct allocation: **Rs 134 crore**

Example of some notional schemes under TSP

National Programme Nutritional Support to Primary Education (mid-day meal)

Non-direct allocation: **Rs 81 crore**

National Rural Livelihood Mission(NRLM)

Non-direct allocation: **Rs 53 crore**

Nirmal Bharat Abhiyan

Non-direct allocation: **Rs 54 crore**

Grant from Finance Commission

Non-direct allocation: **Rs 33 crore**

Major Irrigation Projects under AIBP

Non-direct allocation: **Rs 27 crore**

Examples of good schemes that benefit SCs directly

Housing Schemes for Economically Weaker Section in rural areas for SC Communities

Direct allocation: **Rs 88 crore**

Development of transit and terminal market, including retail outlets

Direct allocation: **Rs 3 crore**

Project on brackish water fish farming

Direct allocation: **Rs 2 crore**

Project for reclamation of beels (a lake-like wetland with static water) for enhanced fish production

Direct allocation: **Rs 1 crore**

Examples of good schemes that benefit STs directly

Sikhshashree

Direct allocation: **Rs 27 crore**

Distribution of bicycles

Direct allocation: **Rs 20 crore**

Grants to Tamang Development and Cultural Board

Direct allocation: **Rs 15 crore**

Development of Particularly Vulnerable Tribal Groups

Direct allocation: **Rs 6 crore**

Construction, improvement and maintenance of Ashram Hostels and Ashram-type school

Direct allocation: **Rs 1 crore**

List of References

1. Barman, Abheek. *Left rules West Bengal for 34 years and ruins the state*. May 17, 2011. http://articles.economicstimes.com/2011-05-17/news/29552246_1_west-bengal-left-front-medinipur (accessed May 16, 2016).
2. Census 2011

Dalit Arthik Adhikar Andolan (DAAA)

is one of the units of NCDHR working towards securing and strengthening the economic rights of Dalits and Adivasis, along with their entitlements regarding education, entrepreneurship and asset building through the Constitutional provisions of budgetary allocation. DAAA believes in strongly advocating for inclusion and promotion of Dalits in the economy of the country. It makes strategic interventions in budgeting, planning schemes and policy formulation, advocacy and research, implementation and monitoring of funds under sub plans for SC/ST. DAAA has been analysing the Central and state Governments budget for the last 8 years, and has engaged in their evaluation. It also engages with policy formulation, and was involved in the process of drafting the 11th and 12th 5-year Plans. DAAA has been involved extensively with communities, policymakers and executives for creating awareness and effective implementation of Scheduled Caste Sub Plan and Tribal Sub Plan in many states. DAAA focuses mainly on strengthening the communities in accessing schemes and entitlements.

Scheduled Caste Sub Plan (SCSP) and Tribal Sub Plan (TSP) are two key policies adopted by the Government of India to ensure that no Dalit or Adivasi is left behind in the development agenda of the country. Their main objective is:

- To bridge the gap in development between the Scheduled Caste/Scheduled Tribe (SC/ST) population and the non-SC/ST population in a reasonable period of time through 'additionally' in the flow of fiscal resources into the national and state budgets in view of achieving the following outcomes for SCs/STs on a parity scale with non-SCs/STs: economic growth, social emancipation, political empowerment, educational development at all levels, reclamation of lands traditionally owned but appropriated and alienated, asset building, etc.
- To bridge the gap in development with equity among and within SCs/STs.
- To make the exclusive benefits accruing from the SCP/TSP budget allocations reach directly the SC/ST individuals, families and habitations.
- To give a special focus to gender equality in every development scheme/project.

It is an excellent policy but remains so only on paper owing to many challenges in its implementation. As Jadhav Committee (2010) states in its report, quoting the erstwhile National Development Committee:

"If the benefits of growth have to reach all sections of our diverse society, there is a need to equip them with the necessary skills and resources to become active participants in growth processes. This is the only way of achieving our dream of an inclusive, prosperous society. In the mid-1970s, the Special Component Plan and the Tribal Sub-Plan were initiated. Tribal Sub-Plans and Special Component Plans should be an integral part of Annual Plans as well as Five Year Plans, making provisions therein non-divertible and non-lapsable, with the clear objective of bridging the gap in socio-economic development of the SCs and STs within a period of 10 years."

Dalit Adivasi Budget Watch: 2015-2017 attempts to analyse the Union Budgets of 2015-16 and 2016-17, and the state Budgets of 15 states (Andhra Pradesh, Bihar, Delhi, Gujarat, Haryana, Jharkhand, Karnataka, Kerala, Madhya Pradesh, Maharashtra, Odisha, Rajasthan, Telangana, Uttar Pradesh and West Bengal) from the point of view of the guidelines as set forth by Jadhav Committee.

Additionally, in Andhra Pradesh, Telangana and Karnataka, the report looks at whether the Sub Plan Acts promulgated in these states have been implemented or not and if so to what extent.

SCSP and TSP continue to be challenging in its implementation. Unless SCs and STs are not included in the development agenda, and efforts are made towards bridging the development gap, our society will fail to be a truly inclusive one as envisioned by Ambedkar. It is essential to actively engage with the state and Central Governments. This, then, is the main purpose of Dalit-Adivasi Budget Watch 2015-2017. People's Representatives, MPs, MLAs, National SC Commission, several executives and SC/ST Employees Unions and CSOs engaged in SC/ST Welfare have approached us for technical data on the status of implementation.

We have made it as simple as possible to get an overall picture of the nature of allocations, both quantitative and qualitative, as well as the quality of schemes introduced.