

Dalit Adivasi Budget Analysis 2018-19

National Campaign on Dalit Human Rights-Dalit Arthik Adhikar Andolan



1. Introduction

Scheduled Castes (Dalits/SC) and Scheduled Tribes (Adivasis/ST) are communities who have experienced historical marginalisation resulting in denial of their due share in economic resources, developmental benefits and basic entitlements necessary for a decent living. As a result of caste based discrimination, ethnicity, gender face social exclusion perpetuated by the dominant class as a result of which they fare the poorest on all socio-economic indicators vis-à-vis structural impediments, find it difficult in accessing developmental benefits.

As a step towards addressing these increasing inequalities between SC/ST and other dominant class, the government in its fifth-five year plan (1974-75) introduced the policy of Tribal Sub Plan (TSP) and Special Component Plan (SCP)¹ in the sixth five year plan (1979-80). SCSP/TSP has been formulated as a mechanism for allocating development plan fund for SCs and STs across Central Ministries and all departments in the state in proportion to the SC/ST population. Allocations under these plans were mandated to be in proportion to the population.

In the FY 2017-18, the government merged the Plan and Non-Plan components of the Budget. Further the SCSP-TSP was renamed as Schemes for the Welfare of Scheduled Castes² and Schemes for the Welfare of Scheduled Tribes³ respectively. As per the Budget Circular of 2017-18, Jadhav Guidelines⁴, which clearly detail the allocations for SC, are to be followed. The following analysis is based on the Budget Circulars of 2017-18 and 2018-19.



Highlights Of Analysis On Union Budget 2018-19

- Union Budget 2018-19 allocated 6.55% towards Welfare of SCs from the total eligible Centrally sponsored Schemes & Central Sector Scheme. This is 10.50 % short of approximately 16.6 % to maintain proportionate allocation.
- Union Budget 2018-19 allocated 4.53% towards Welfare of STs from the total eligible Centrally sponsored Schemes & Central Sector Scheme. This is 4.07% short of approximately 8.6% to maintain proportionate allocation.
- The government is yet to issue guidelines towards allocation of proportionate resources towards the development of SCs and STs in the changed scenario.
- Only 31 out of 279 schemes meant for SCs and 52 out of 305 schemes of ST are appropriate, accessible, and available.
- None of the schemes meant for SCs and STs have inbuilt accountability mechanisms making accessibility difficult.
- Only 23 new appropriate schemes introduced for SCs and STs.
- 8 of the important schemes for SC/STs are severely under- funded. A total of Rs 2700 Crs is being allocated under STC for Ministry of Road Transport & Highways which is totally inappropriate.
- 14 schemes with allocation amounting to Rs 8002.65 Cr. are obsolete and notional^A schemes.
- Only 1.03% of allocation under GBS and 0.53% under MSJE and 0.49% under MoTA are towards SC and ST women.

^A National Schemes are only "paper allocation" where population proportion budgets are reported as SC or ST allocations and utilizations does not directly benefit the SCs to take them out of poverty line or reduce the gap between and other communities. It is also seen that schemes developed by many ministries and departments are more in the nature of welfare and not oriented towards economic mobility, skill development, land purchase, employment or enterprise development which would directly enhance the living standards of the SCs.

¹ Later reformulated as Scheduled Caste Sub Plan (henceforth SCSP)

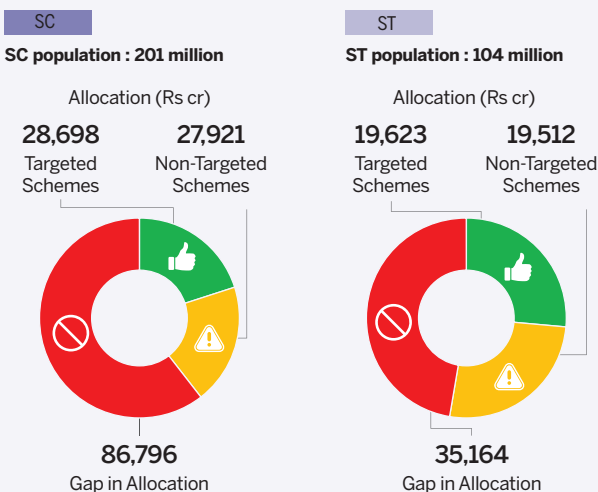
² These are found in the Table 10 A in the Vol 1 of Budget Expenditure Profile 2018-19 Allocation for Welfare of Scheduled Castes

³ Table 10B Allocation for Welfare of Scheduled Castes

⁴ Jadhav guidelines are an outcome of the Taskforce set up by the Planning Commission in 2010

Figure 1: Allocation For Scheduled Castes Component & Scheduled Tribes Component-2018-19 (in Rs. Cr.)

	SC	ST
(a) Total Expenditure Budget Estimate 2018-19	24,42,213	24,42,213
(b) Total outlay for eligible Central Sector Schemes (Statement 4C)	5,64,305	5,64,305
(c) Total outlay for Eligible Centrally Sponsored Schemes	2,99,639	2,99,639
(d) Total of (b) and (c)	8,63,944	8,63,944
(e) Due allocation of Schemes for Scheduled Caste Component (e) = 16.6% of (d) and Scheduled Tribe Component = 8.6% of (d)	1,43,415	74,299
(f) Allocation for SC Schemes (Statement 10A) & ST Schemes (Statement 10B) (f) = (g) + (h)	56,619	39,135
(g) Non-Targeted Schemes	27,921	19,512
(h) Targeted Schemes	28,698	19,623
(i) % of Allocation (i) = (f)% of (d)	6.55	4.53
(j) Gap in Allocation (j) = (e) - (f)	86,796	35,164
Total Gap in Schemes (gap in allocation + Non Targeted Schemes) (g) + (j)	1,14,717	54,676



Source: Gov of India - Budget Expenditure Profile 2018-19, Ministry of Finance

2. Analysis Of The Allocations Of The Schemes SC & ST Budget

After the budget restructuring in 2017-18, total scheme expenditure was allocated under two categories i.e Centrally Sponsored Schemes and Central Sector Schemes (henceforth CS and CSS). Both these pertain to developmental Outlays. Through a Budget Circular 2018-19, Finance Ministry has issued an Office memorandum directing a formula for allocation of resources under SCC and STC⁵, taking part of the Jadhav Committee guidelines.

Out of the Outlay, of CS and CSS the SCs and

STs are entitled to a minimum, and not less than their proportionate population, which according to Census 2011 is 16.6% for SCs and 8.6% for STs.

According to the above table, the total Budget Estimate for 2018-19 is Rs. 24, 42,213.30 Cr, out of that the total Outlay for eligible CS and CSS amounts to Rs.8, 63,944 Cr. For SC and ST the due allocation amount to Rs. 1,43,414.74Cr and Rs. 74, 299.20Cr respectively. The allocation however for SCC and STC is Rs 56, 619 Cr and Rs39,135Cr respectively. Examining this further, the targeted schemes under SCC amounts to only Rs. 28, 697.74Cr and under STC amounts to Rs 19,623Cr.

From the above table it can be seen that the total gap in schemes for SC is Rs. 1,14,717 Cr and for ST is Rs. 54676 Cr. This amounts to a sizeable proportion, for which schemes have to be innovated that is relevant for bridging the gap between SC/ST and others.

3. Five Year Trend Of SC ST Allocations

The above table presents the allocations made towards the schemes for SCs/STs over the last five years. This includes 3 years of allocation prior to the Plan and Non-Plan merger.

Analysis of the first three year shows that out of the total Plan budget of Rs.15, 90,287 Cr for that period, only an average of 7.49% was disbursed for programmes under SCSP for SCs. A total amount of Rs.2, 63,988 Cr was not allocated under the SCSP in accordance with the guidelines.

Similarly, under TSP for STs in the same period, out of the total Plan budget of Rs. 15, 90,287 Cr for that period, only 4.76% was disbursed for programmes under TSP. This meant that a total of Rs.1,36,765Cr was not allocated under the TSP in accordance with the ST population proportion as per Jadhav guidelines.

In the FY 2017-18 and 2018-19, the allocation for SCs and STs has been worse when compared to pre-merger period. Analysis of these two years reveals that 7.73% was disbursed for the SC welfare schemes/SCC and 4.98% for ST welfare schemes/STC. A total amount of Rs.1, 32,016Cr was not allocated towards SC welfare and Rs53, 815Cr towards ST welfare, as per, Jadhav committee guidelines and budget circular of Ministry of Finance 2017-18 and 2018-19.

In addition to the above gaps in budget allocation for SCs and STs, the analysis of the quantitative⁶ aspect

⁵ Scheduled Caste Component and Scheduled Tribe Component. Official Memorandum No. F.2(1)-B(CDN)/2017, Ministry of Finance, DoEA, Budget Division.

⁶ Quantitative refers to financial and physical allocations.

**Figure 2a: Scheduled Caste Component (SCC) - 5 Yr Trend Analysis of Union Budget
FYs 2014-19 (Rs.Cr unless mentioned)**

Financial Year	Total plan Outlay/ CS+CSS Schemes (A)	Due as per Special Component Plan Guideline (16.6% to A) (B)	SCSP/SCC Allocation (Statement 10A of BE) [C]	Proportion of SCSP/ SCC Allocation (C% to A) [D]	Gap in Allocation - SC [B-C] [E]	Total Targetted Schemes - SC [F]	Total Non-Targetted Schemes - SC [G]	Total Gap - SC (G+E)
2014-15 (BE)	5,75,000	95,450	50,548	8.79%	44,902	10,963	39,585	84,487
2015-16 (BE)	4,65,277	77,236	30,851	6.63%	46,385	9,121	21,730	68,115
2016-17 (BE)	5,50,010	91,302	38,833	7.06%	52,469	6,665	32,168	84,637
2017-18 (BE)	5,88,025	97,612	52,393	8.91%	45,220	25,708	26,685	71,904
2018-19 (BE)	8,63,944	1,43,415	56,619	6.55%	86,796	28,698	27,921	1,14,717
Total	30,42,256	5,05,015	2,29,243	7.59%	2,75,772	81,155	1,48,088	4,23,860

Note: Post Plan & Non-Plan Merger in 2017-18, the due amount for Scheduled Caste Component is calculated as 16.6% of those Central Sector Schemes and Centrally Sponsored Schemes that have made allocations to the Welfare of SCs as per statement 10A. Source: Budget Circular 2018-19 (OM) MoF No. (F).2(1)-B(CDN)/2017, Dated 30th Dec2016, Union Budget Expenditure Profile Vol 1, 2014-15 to 2018-19

**Figure 2b: Scheduled Tribe Component (STC) - 5 Yr Trend Analysis of Union Budget
FYs 2014-19 (Rs. Cr unless mentioned)**

Financial Year	Total plan Outlay/ CS+CSS Schemes (A)	Due as per Special Component Plan Guideline (8.6% to A) [B]	TSP/STC Allocation (Statement 10B of BE) [C]	Proportion of TSP/ STC Allocation (C% to A) [D]	Gap in Allocation - ST [B] - [C] [E]	Total Targetted Schemes - ST [F]	Total Non-Targetted Schemes - ST [G]	Total Gap-ST [E+G] [H]
2014-15 (BE)	5,75,000	49,450	32,348	5.63%	17,102	8,497	23,851	40,953
2015-16 (BE)	4,65,277	40,014	20,000	4.30%	20,014	7,469	12,531	32,545
2016-17 (BE)	5,50,010	47,301	24,005	4.36%	23,295	8,791	15,215	38,510
2017-18 (BE)	5,88,025	50,570	31,920	5.43%	18,651	15,643	16,276	34,927
2018-19 (BE)	8,63,944	74,299	39,135	4.53%	35,164	19,623	19,512	54,676
Total	21,78,312	2,61,634	1,47,407	6.77%	1,14,227	60,023	87,385	2,01,612

Note: Post Plan & Non-Plan Merger in 2017-18, the due amount for Scheduled Tribes Component is calculated as 8.6% of those Central Sector Schemes and Centrally Sponsored Schemes that have made allocations to the Welfare of SCs as per statement 10B. Source: Budget Circular 2018-19 (OM) MoF No. (F).2(1)-B(CDN)/2017, Dated 30th Dec2016, Union Budget Expenditure Profile Vol 1, 2014-5 to 2018-19

Figure 2c: SCC: Due, Allocated, Targeted

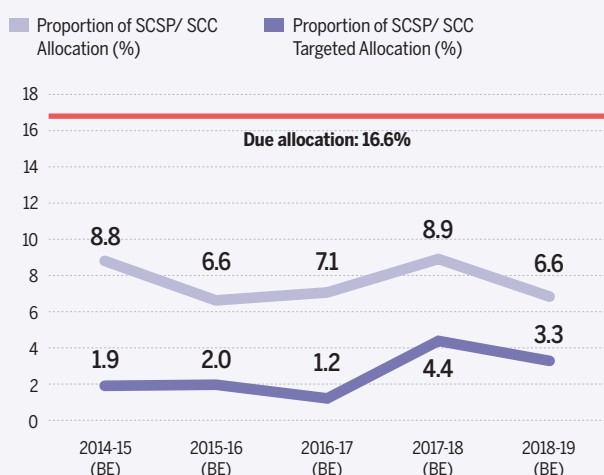
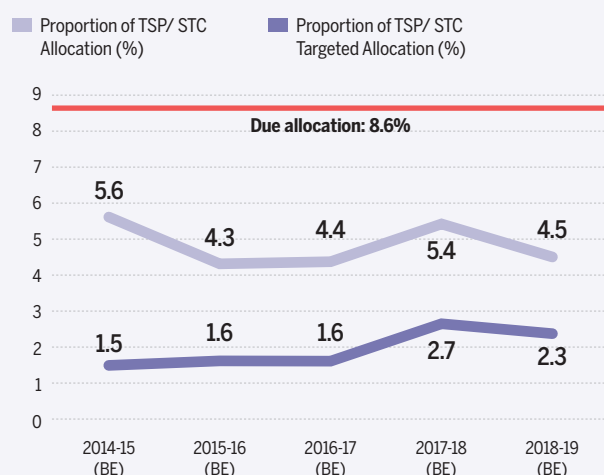


Figure 2d: STC: Due, Allocated, Targeted



of the last five-year budget shows that over the years even though the total expenditure has consistently increased the allocations towards development of SCs and STs has only marginally increased. In FY 2014-15, the total expenditure was Rs.17, 94,891.96Cr, which increased to Rs.24, 42,213.30Cr in FY 2018-19. This is an increase of 27% in FY 2018-19 as compare with FY 2014-15.

The proportionate allocation towards welfare of SCs and STs in last five year has seen only negligible 7.59% increase under SCC and 4.85% increase under STC. The quantitative aspect is important; it will become significant for the development and advancement of SCs and STs only if the qualitative⁷ criterion is fulfilled.

In all the years, including the present year, the proportion of the Outlay for SCC and the proportion of the Outlay for STC there has been a visible gap. This insufficient allocation towards SCs and STs development shows Government's apathy towards real development of SCs and STs in India.

On the qualitative side, the performance of the government is not so impressive. The above figure clearly indicates that, in the last five financial years, the Union government has allocated majority of the SCC and STC funds for schemes and programmes that were non-targeted in nature and had no direct impact on the development of the Dalits and Adivasis.

Analysis of the nature of allocation for SC welfare schemes shows that only Rs.28, 697.74Cr, which is 50.69% of the total SCC and Rs.19,623.25 Cr that is 50.14% of the total STC allocation has been allocated towards targeted⁸ schemes for both SCs and STs. The non-targeted schemes constitute Rs.27,920.76 Cr that is 49.31% of the total SCC and Rs.19, 511.48Cr that is 49.86% under STC allocation in last 5 year. Thus, not only was the allocation of funds for these two programmes less than half of the stipulated norm, even this reduced allocation was being done in such a way that allowed the diversion of funds for schemes that did not directly contribute to the actual development of these communities. This was actually a violation of the policy guidelines to these programmes, that clearly states, "SCSP and TSP funds should be non-divertible"

What must be kept in mind is that this denial of full allocations under the SCC/STC did not happen in this last year alone. In fact, neither the Centre nor any state government in the last 35- years of the existence of the

policy has done full justice to the policy.

4. Ministry/Department Wise Priority To Schemes For Scheduled Castes And Scheduled Tribes

The outcome and output framework is an important way of analysing the budget from the SC and ST perspective. Budget outcome means a set of impacts that a budgetary allocation has on the wider society or economy. Budget outputs, on the other hand, are the number of people who have been able to access public entitlements through a particular scheme or programme.

Most of the time, the budget analysts pay more attention to budget inputs and nature of allocations and output and outcome analysis doesn't receive the attention it deserves. One of the main reasons behind ignoring output and outcome results in the budget analysis is that there has been very less transparency in the way in which schemes are designed and planned at the policy level. As a result, there is less importance given at the final outcome and output of any particular given scheme. At the same time, there is also less understanding about the difference between "outcome" and "output" within the budget technicality.

Keeping this in mind, we have analysed the outcomes and outputs of 233 schemes implemented by 26 different Ministries and Departments under the SCC and 273 schemes under the 32 Ministries and Departments under the STC for FY 2017-18⁹. It is striking that except for 33 schemes implemented under the SCC rest of the 206 schemes don't take into account any of the priorities or needs of SC community at the planning and the outcome level. Similarly 227 schemes out of 273 schemes implemented under the STC don't even mention ST communities in their outcome document.

Secondly, there is more focus on the output part as compared to overall outcome which means schemes are mostly designed to achieve quantitative targets and overlook the development gaps arising from social inequalities based on caste discrimination and geographical isolation of SC and ST communities respectively.

This can be seen in the following examples—

(A) Education Schemes

The budget 2018-19, has allocated Rs.3000Cr under SCC

⁷ Qualitative refers to nature and impact of allocation.

⁸ Targeted scheme: The scheme that may benefit SC/ST communities through individual and basti-oriented schemes as mentioned in the SCSP guidelines

⁹ Financial Outcome data from MSJE MIS system-www.e-utthaan.gov.in (Accessed on January 27th 2018)

Figure: 3: Relevance of Schemes for SCs and STs in Union Budget 2018-19



and Rs.1586Cr under STC towards Post Matric Scholarship scheme for SCs & STs. This is a key scheme to ensure access to education by the students from the community. In response to questions raised by MPs in the recent session of the Parliament more than Rs.8,000 Cr were outstanding in all states due to inadequacy of funds¹⁰.

51,03,243 SC and 20,33,741 ST¹¹ students across the country are facing many difficulties and challenges due to pending/outstanding fund of more than Rs.8000 Cr 8000Cr and Rs.Cr.3156 to SC and ST students by the Union Government to the state governments over last three consecutive years. Resulting in discontent among students, increasing dropouts and many are even debarred from private institutions.

(B) LAND RELATED SCHEMES

Official data sets shows that SCs are landless or marginal landholders and the trend continues even today. According to NSSO data for 2009–10, 92.1% of SCs in rural areas are landless or own landholdings of one hectare or less followed by 76.5% ST households¹². This has forced SCs into casual and agricultural or non-agricultural labours, constituting according to NSSO (2012) data, 59% amongst SCs and 46.5% amongst STs.

According to the Economic Survey 2018-19, there was a substantial increase in the number of women performing various roles in the agricultural sector. Alluding to a 'feminisation of agriculture'. Keeping these recommendations in mind, the budget should have made adequately to ensure enhanced access to resources. However the document fails to mention and acknowledge the realities of SC-ST women agricultural labourers and landowners.

Allocation in the year 2018-19, towards land related schemes amount to Rs.415.17Cr under SCC and Rs.250.10Cr under STC. All these schemes are silent on ownership patterns and needs of SC-ST agricultural labour and are non-direct in nature.

(C) Manual Scavenging

Those engaged in manual scavenging are given one time compensation, with little to no efforts being made towards ensuring access to decent livelihoods by those engaged in manual scavenging. Rs.20 Cr were allocated in the Union Budget 2018-19 towards the rehabilitation of manual scavengers. The allocation under the National Safai Karamchari Finance Development Corporation has been reduced from Rs. 45 Crs to 30 Crs. This is hardly

sufficient to achieve the objective of abolition of Manual Scavenging in this country.

(D) Atrocities Against The Community

Atrocities/Crime against SCs have increased by 5.5% in 2016 (40,801) over 2015 (38,670). Atrocities/Crime against STs have increased by 4.7% in 2016 (6,568) over 2015 (6,276). Robustly, enforce and implement the amended SCs and STs (PoA) Act 1989 and Rules 1995 with sufficient budget/funds for establishing mandatory Exclusive Special Courts with proper infrastructure, sufficient human resource and Special Public Prosecutors in 445 districts, where exclusive special courts are not established [Out of 640 districts, 2011 census, only 195 exclusive special courts have been established in 14 States

5. Analysis Of Utilisation

Actual Expenditure (henceforth, AE) is the authentic indicator of implementation status because expenditure under different schemes has been audited by an independent agency. NCDHR's analysis of AE for 2014-15, reveals that under SCC and STC Rs 20513 Cr and Rs 12,437 Cr, remained un-utilised respectively. However in 2015-16, while Rs 247 Cr remains unutilised under SCC, excess was spent of Rs1237Cr under STC. Whereas for 2016-17 Rs.4, 499Cr was unspent under SCC and Rs.2, 194Cr under ST,

The significant difference between the BE, AE and targeted allocation is questionable in the decade long practice in the Indian budgetary allocations since 2007. This multi-level denial of due budget share to SCs and STs has a huge impact on their holistic development¹³. It shows that the Schemes are poorly designed without taking the stakeholders and their needs into consideration. Many schemes lack implementation mechanisms. There are also barriers in accessing schemes. At the same time good schemes are starved of funds.

In the absence of a central pool of non-lapsable funds as recommended in Jadhav guidelines, this huge amount of unspent funds are always untraceable and inaccessible to the community.

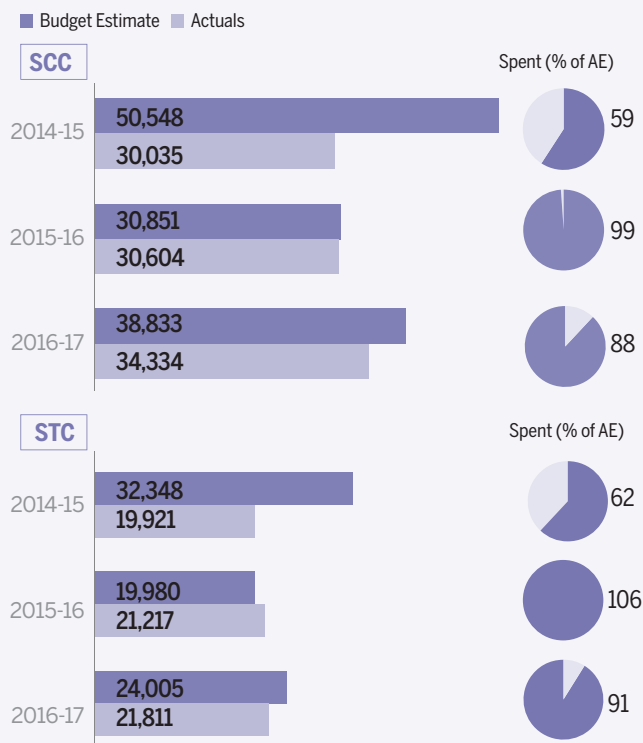
6. Gender Budget Analysis

The quadruple discrimination of family, caste/ethnicity, class and gender often places the Dalit and Adivasi women in a quadruple marginalised and vulnerable

¹⁰ Lok Sabha unstarred question no.2315, replied by Minister of State for MSJE Shri Vijay Sampla on 02/01/2018. ¹¹ ibid

¹² Socio-Economic Caste Census 2011 ¹³ Under allocation, notional allocations, general allocations and unspent balances as evidenced in NCDHR's Dalit Adivasi Budget Analysis 2017-18.

Figure 4: Utilisation of funds for Scheduled Caste Component (SCC) & Scheduled Tribe Component (STC) Schemes in Union Budget FYs 2014-17 (Rs.Cr)



Source: Gov of India - Budget Expenditure Profile of 2016-17, 2017-18 and 2018-19, Ministry of Finance

position. Despite forming 50% of the Dalit and Adivasi community, women from these communities haven't gained much from the development experience. The recently released Economic Survey 2018-19, though highlighted the gender question by locating gender inequality as a multi-dimensional issue, it ignored the important question of intersectionality of caste and ethnicity.

NCDHR's Union Budget analysis reveals that 'gender sensitive' nature of Economic Survey did not translate into budgetary allocations for women with miniscule amounts for SC and ST women.

Allocations under GBS constitutes 4.99% of the total Budget Expenditure, while those for SC and ST women forms only 1.03% of the total Gender Budget Statement (henceforth GBS)¹⁴ which amounts to Rs.121961.32Cr. Specific allocations for SC and ST women, under MSJE¹⁵ and MoTA respectively, amounts to 0.53% and 0.49% of the GBS respectively. While allocation towards welfare of ST women saw an increase of 0.04%, those towards SC remained the same.

¹⁴ In 2005, India introduced Gender Budget Statement (henceforth, GRB) to prioritise needs of people belonging to different gender groups. This taking into consideration and recognising the diversity of each of the group they belong to. GRB was meant to achieve gender equity.

Our analysis of GBS of Union Budget 2018-19 reveals that 72.64% and 39.09% of allocations under MSJE and MoTA have been made towards education¹⁶. Further while on the one hand, allocations towards National Safai Karamchari Finance Development Corporation saw a sharp fall from Rs13.45Cr in 2017-18 to Rs.9Cr in 2018-19 for the women specific schemes. On the other hand, allocations under 'Self Employment scheme for Liberation and Rehabilitation of Manual Scavengers' saw a significant increase from Rs.1.50Cr in 2017-18 to Rs6Cr in 2018-19. Under Part-A that allocated 100% under the scheme, scheme titled Maternity Benefit is getting an allocation of Rs.2400Cr which is a general scheme with no physical or financial outlays for SC and ST women.

Our analysis of GBS reveals that allocations aimed at the development of SC/ST women are introduced only by the MSJE and MoTA. There are almost negligible allocations by other key Ministries/Departments. Ironically, under Ministry of Women and Child Development (henceforth MWCD), there is no specific scheme addressing the needs of SC and ST women in the country.

7. Management Of Schemes For SC and ST

1. New Schemes Introduced

In the current financial year, the Government introduced some new schemes. Among these 36 new schemes were introduced under SCC, 8 schemes are intended for the direct benefit of SCs. While under STC only 15 schemes are directly benefiting the ST community out of 70 new schemes. On examination of the objectives of these new schemes, we found that 28 and 55 schemes for SC and ST like are the mere extension of general welfare schemes.

2. Gaps In Policy Prescription And Implementation

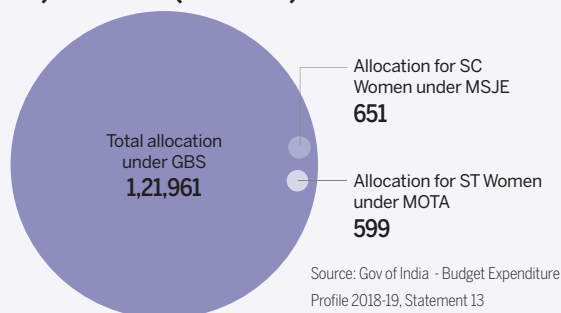
Jadhav guidelines recommended administrative mechanisms to be put in place in Central Ministries/ Departments for proper implementation of SCC/ STC through Nodal Units with requisite staff, headed by a Joint Secretary (Planning) or Economic Adviser. Moreover, a Principal Advisor may be headed in NITI Aayog with two advisors to assist him/her one each for SCC and STC.

The Ministries/Departments have not been sufficiently attentive towards the strategic development

¹⁵ Allocations under MSJE under GBS have been calculated by adding allocations under part A and B. Under part-B, allocations towards OBCs have not been included in the calculations. A total of 25 schemes under MSJE were considered.

¹⁶ Allocation towards education here includes all levels of education.

Figure 5: Allocation for SC and ST Women in Gender Budget Statement (GBS)- 2018-19 (in Rs. Cr.)



planning for SCs and STs in terms of bridging the critical gaps in development indicators, tackling poverty and unemployment, and creating productive assets and income generating opportunities for these communities. On observing the nature of the scheme allocation, and subsequent under-utilisation of funds under SCC and STC shows either an absence or a failure of the requisite administrative structure.

3. Absence Of A Revised Policy In The Place Of Scheduled Caste Sub Plan And Tribal Sub Plan

In the post merged scenario of plan and non plan the methodology for arriving at the bench mark levels for allocations for SCC and STC schemes have not been evolved into a clear guideline. In addition the changes introduced of renaming has downgraded the significance of SCC and STC. There is also no mention of bridging the development gap between SC/ST and other population in the new policy measure. There is no mention of bridging the gap in the new policy measure. The need for designing the schemes for SCs and STs seems to have been abandoned.

4. SCC And STC In Higher Education:

In the Union Budget 2018-19, there are 84 and 85 schemes amounting to Rs. 7215.51 Cr and Rs. 3771.69 Cr. for SCs and STs respectively towards fulfilling higher education needs of the community. These schemes are supposed to be targeted for SCs but are spent towards creation of Capital Assets, Salaries and Grants-in-aids to universities, colleges and institutions. The total fund allocation towards UGC in FY 2014-15¹⁷ was Rs299.02Cr under STC that included 34.79% allocations towards grants-in-aid, 54.77% allocations towards capital asset and 10.45% allocations towards salaries 10.45% and the

allocation for scholarship of ST students is nil. Similar situation was also observed in the FY 2015-16¹⁸ and 2017-18¹⁹, under SCC & STC, where allocation under scholarship was again nil. The above analysis reveals that, there is neither scholarship fund nor any innovative schemes for SC & ST communities. In 2018-19, all the schemes seem to be notional in the form of Grants-in-aid and creation of capital assets for institutions rather than oriented toward direct beneficiaries.

8. Mid-Term Financial Planning

Medium Term Financial Planning²⁰ (henceforth MTFP) as laid by FRBM is mandatory, with the objective of providing a realistic picture of targets and achievements within a given programme. This framework also provides for adjustments and projections based on the results achieved till the review. MTFP also has legal mandate as the Budget Statement is tabled in the Parliament and discussed over. Since SCC and STC are independent and exclusive statements within the budget document, it is warranted that there should be MTFP especially linked to Statement 10A and Statement 10B. However MTFP has not covered SCC and STC, which would have been effective measure to a great extent to look back at the plan design, implementation and outcome of schemes under SCC and STC.

9. Conclusion

- There is an increased gap in allocation for SCC and STC of Rs.Cr. 1,06,831 from 2017-18 to Rs. 1,69, 393 Cr. In 2018-19
- Out of the allocated amount for SCC and STC only Rs. 48,321 Cr are targeted schemes, the rest Rs.47,432 Cr have no relevance nor are accessible by the community for its development
- The design of the schemes is a matter of grave concern as they are not designed to address the needs of the community nor to be accessed by the community for its development.
- There have been substantial gaps in the utilisation of the allocated amounts due to faulty designs, non-participation of the community at planning and execution or due to notional allocations. This needs to be urgently addressed.
- The special components for SCs and STs have been visionary but the purpose remains defeated due to gross under allocations, notional and general

¹⁷ UGC: FY 2014-15: RTI letter no. :- F. No. 1-56252/2016 (RIA), Dated 14/09/2016

¹⁸ UGC: FY 2015-16: RTI letter no. :- F. No. 1-56252/2016 (RIA), Dated 14/09/2016

¹⁹ UGC: FY 2017-18: RTI letter No. :- F.1-36/2017 (FD-I/B)/RIA, Dated 11/09/2017

²⁰ Medium Term Expenditure Framework Circular 2017-18

- allocations along with unspent amount.
- The Jadhav guidelines had provided for a framework for effective implementation making 43 ministries/ departments 'non-obligatory'. This has shrunk the total eligible allocations to a very small size. The other relevant clauses of the Jadhav Committee recommendations have not been rigorously implemented like direct targeted schemes in growth sectors and for a strong mechanism for implementation.
- Post merger of Plan and Non-Plan and restructuring of schemes the planning and allocations for the Scheduled Castes and Scheduled Tribes development has totally been neglected. In the absence of clear guidelines, accountable mechanisms and participation of SC and ST communities in the scheme design planning the objectives of SCC and STC are in a situation to be defeated.

10. Recommendations

- 1. Legislation:** The policy of allocation of funds is hanging loose post merger of Plan-Non Plan. This must be legislated and machinery established not only to bridging the gap but for ensuring financial inclusion.
- 2.** The newly developed MIS systems for SCC and STC shows that there is a huge unspent balances of Rs20478.62Cr under SCC and Rs7131.28Cr under STC. Therefore it is recommended that immediately a centralised non-lapsable pool of SCC & STC funds must be created. This unspent money must be deposited and plan must be designed to implement new schemes, which will be directly beneficial for SC & ST population.
- 3.** Immediate steps need to be taken by Ministry of Social Justice and Empowerment and Ministry of Tribal Affairs, which are the nodal Ministries for implementation of SCC & STC respectively to ensure that all the required Ministries, allocate and implement stipulated percentage of funds in the component schemes. Strict measures must be taken against the defaulting Ministries and Departments.
- 4.** In FY 2017-18, there was a shortfall of Rs104490.45Cr under SCC and Rs 49357.49Cr under STC, which was denied for the SC & ST communities as per the guidelines. It is recommended that the nodal Ministries must take all necessary steps to ensure that budget allocations are made as per the population percentage.
- 5.** The Ministries and Departments of the Central

and state governments that have not allocated the earmarked funds for SCC & STC so far must do so by introducing special/exclusive/tailor-made projects.

- 6.** Many Departments and Ministries have made notional allocations without exclusive schemes benefitting the SCs and STs. The general schemes should revise their and guidelines for creating special provisions and tailor-made projects for the development of SCs and STs.
- 7.** An independent authority/commission chaired by the Cabinet Secretary/Chief Secretary should be created for the progression of SC and STs with necessary administrative, executive and accountability mechanisms to monitor SCC and STC up to the district level.
- 8.** There has been several policy level changes in the way budgets have been articulated, like merger of Plan & Non-plan Outlays, which has effectively rendered Jadhav Committee guidelines un-implementable leading to confusion in planning and allocation under SCC and STC. Therefore it is recommended that a new set of guidelines be formulated for SC and ST communities, to ensure their welfare.
- 9.** There is huge deficit of funds for Post Matric Scholarship amounting to more than Rs8000Cr for SC's and Rs3000Cr for ST's, even though was due, due to under-allocation of funds, should be immediately allocated and deficit be cleared for lakhs of SC & ST students.
- 10.** Schemes should be formulated based on Dalit women's needs and a 50 % of the Plans should be allocated for Dalit and Adivasi women.
- 11.** Schemes for the socio-economic rehabilitation of the survivor of atrocities and their families should be ensured, by providing housing, livelihood support, education facilities and safety including free legal aid to survivors of atrocities
- 12.** Special Courts for speedy trial of cases related to Dalit & Adivasi community. Increased compensation amount to be given to victims of caste and ethnicity based atrocities.

11. People's Budget

Figure 6a: Suggested Ministry/ Department wise Allocations for Scheduled Castes Component - Union Budget 2018-19

Ministry/Dept	CS+CSS Schemes Total Amount (Rs. Cr.)	Absolute terms (Rs. Cr.)		Percentage terms (%)	
		Current Allocation	Suggested Allocation	Current Allocation	Suggested Allocation
Ministry of Drinking Water Supply	22,343	4,915	4,469	22.0	20.0
Ministry of HUPA	40,179	1,520	10,045	3.8	25.0
Department of School Education & Literacy	42,391	9,176	12,717	21.6	30.0
Department of Rural Development	1,12,354	7,638	22,471	6.8	20.0
Ministry of Tribal Affairs	4,157	0	0	0.0	0.0
Department of Social Justice and Empowerment	7,670	5,563	7,670	72.5	100.0
Ministry of Women and Child Development	24,454	3,900	6,113	16.0	25.0
Department of Agriculture & Cooperation	46,109	7,654	9,222	16.6	20.0
Department of Agricultural Research & Education	2,915	0	0	0.0	0.0
Department of Animal Husbandry & Dairying	2,863	475	859	16.6	30.0
Department of Higher Education	8,512	2,960	2,554	34.8	30.0
Ministry of Labour and Employment	7,306	1,201	1,461	16.4	20.0
Department of Land Resources	2,501	415	500	16.6	20.0
Ministry of Panchayati Raj	805	134	161	16.6	20.0
Department of Youth Affairs	1,263	317	126	25.1	10.0
Department of Health and Family Welfare	39,199	6,046	7,840	15.4	20.0
Ministry of MSME	6,506	1,161	1,952	17.8	30.0
Ministry of Textiles	7,068	212	495	3.0	7.0
Ministry of AYUSH	576	56	40	9.7	7.0
Department of Commerce	4,454	25	312	0.6	7.0
Ministry of Environment and Forests	1,622	70	114	4.3	7.0
Ministry of New & Renewable Energy	5,025	217	352	4.3	7.0
Department of Electronics and Information Technology	3,073	133	123	4.3	4.0
Department of Science and Technology	2,438	105	98	4.3	4.0
Ministry of Skill development	3,273	486	818	14.8	25.0
Ministry of Power	13,257	1,867	2,651	14.1	20.0
Department of Telecommunications	14,978	0	0	0.0	0.0
Department of Food and Public Distribution	1,74,045	0	17,405	0.0	10.0
Ministry of Culture	676	56	0	8.3	0.0
Ministry of Mines	934	0	0	0.0	0.0
Ministry of Tourism	2,034	0	0	0.0	0.0
Ministry of Water Resource	7,950	0	1,272	0.0	16.0
Ministry of Coal	710	0	0	0.0	0.0
Ministry of DONER	2,951	98	590	0.0	20.0
Department of Empowerment of persons with disabilities	744	133	37	0.0	5.0
Ministry of Food Processing Industries	1,74,045	55	31,328	0.0	18.0
Ministry of Road Transport and Highways	70,873	0	0	0.0	0.0
Dept. Consumer Affairs	1,690	6	0	0.0	0.0
Total	8,63,944	56,594	1,43,794	10.7	16.0

Figure 6b: Suggested Ministry/ Department wise Allocations for Scheduled Tribes Component - Union Budget 2018-19

Ministry/Dept	CS+CSS Schemes Total Amount (Rs. Cr.)	Absolute terms (Rs. Cr.)		Percentage terms (%)	
		Current Allocation	Suggested Allocation	Current Allocation	Suggested Allocation
Ministry of Drinking Water Supply	22,343	2,234	3,351	10.0	15.0
Ministry of HUPA	40,179	0	4,018	0.0	10.0
Department of School Education & Literacy	42,391	4,908	8,478	11.6	20.0
Department of Rural Development	1,12,354	5,742	16,853	5.1	15.0
Ministry of Tribal Affairs	4,157	5,957	4,157	143.3	100.0
Department of Social Justice and Empowerment	7,670	0	0	0.0	0.0
Ministry of Women and Child Development	24,454	1,677	2,445	6.9	10.0
Department of Agriculture & Cooperation	46,109	3,965	3,689	8.6	8.0
Department of Agricultural Research & Education	2,915	126	291	4.3	10.0
Department of Animal Husbandry & Dairying	2,863	247	229	8.6	8.0
Department of Higher Education	8,512	1,480	851	17.4	10.0
Ministry of Labour and Employment	7,306	608	731	8.3	10.0
Department of Land Resources	2,501	250	500	10.0	20.0
Ministry of Panchayati Raj	805	57	81	7.1	10.0
Department of Youth Affairs	1,263	165	63	13.0	5.0
Department of Health and Family Welfare	39,199	3,155	1,960	8.0	5.0
Ministry of MSME	6,506	588	520	9.0	8.0
Ministry of Textiles	7,068	110	283	1.6	4.0
Ministry of AYUSH	576	26	23	4.5	4.0
Department of Commerce	4,454	25	178	0.6	4.0
Ministry of Environment and Forests	1,622	70	65	4.3	4.0
Ministry of New & Renewable Energy	5,025	217	201	4.3	4.0
Department of Electronics and Information Technology	3,073	206	61	6.7	2.0
Department of Science and Technology	2,438	105	49	4.3	2.0
Ministry of Skill development	3,273	252	327	7.7	10.0
Ministry of Power	13,257	976	663	7.4	5.0
Department of Telecommunications	14,978	677	300	4.5	2.0
Department of Food and Public Distribution	1,74,045	6	3,481	0.0	2.0
Ministry of Culture	676	35	27	5.2	4.0
Ministry of Mines	934	10	37	1.0	4.0
Ministry of Tourism	2,034	88	81	4.3	4.0
Ministry of Water Resource	7,950	162	795	2.0	10.0
Ministry of Coal	710	31	50	4.3	7.0
Ministry of DONER	2,951	527	443	17.9	15.0
Department of Empowerment of persons with disabilities	744	72	149	0.0	20.0
Ministry of Food Processing Industries	1,74,045	55	17,405	0.0	10.0
Ministry of Road Transport and Highways	70,873	2,700	1,417	0.0	2.0
Dept. Consumer Affairs	1,690	3	0	0.0	0.0
Total	8,63,944	37,511	74,253	4.3	8.6

12. Suggested Schemes

Figure 7: Suggested Innovative Schemes for Scheduled Caste and Scheduled Tribe Component

	Ministry of Drinking Water and Supply		
	Community well regeneration scheme	1,600	800
	Subsidy for drinking water tanks	1,200	1,000
	Ministry of HUPA		
	Housing scheme for SC & ST disaster affected families	1,200	1,000
	Housing programme for SC & ST women	1,200	1,000
	Department of School Education & Literacy		
	Residential Schools for SC & ST migrants	1,600	1,500
	1000 high quality schools for SC & ST children	2,400	1,200
	Special scholarship for SC & ST girls	1,000	600
	Special fund allocation for free books	1,200	600
	Ministry of Social Justice and Empowerment		
	National Startup fund for innovation	100	500
	Fund allocation for Post Matric Scholarship	8,000	
	Rehabilitation of ex-manual scavengers	1,000	
	Ministry of Women and Child Development		
	Enteprenuership fund for SC & ST women	1,000	1,000
	Department of Animal Husbandry and Dairying		
	Grants for SC & ST for dairy business	1,600	800
	Department of Higher Education		
	Scholarship scheme for SC & ST girls	800	800
	Grants for SC & ST NGO's for opening colleges	1,600	800
	Scaling up of RGNF and NFST to cover all SC & ST students in research	1,600	800
	Ministry of Labor and Employment		
	SC & ST migrant labour development programme	2,400	2,000
	Department of Land Resources		
	Land distribution for landless SC & ST	5,000	2,500
	Ministry of Skill Development		
	Innovation fund for SC & ST entrepreneurs	1,000	500
	Ministry of Tribal Affairs		
	Rehabilitation scheme for displaced ST	NA	5,000
	Special funds for tribal cooperatives	NA	1,000
	Ministry of MSME		
	Assistance for purchasing industrial machinery by SC-ST cooperatives	2,000	1,000
	Loans to SC & ST Fishermen for modernization and purchasing of fishing equipments	2,000	1,000
	Special innovation schemes for SC-ST women	1,000	1,000
	Ministry of Urban Development		
	Skill development training for SC/ST Municipal employees	400	200
	Educational assistance for the children of SC/ST Municipal employees	400	200
	Urban Rejuvenation Mission, 250 Habitations for SC & ST Communities in the urban cities	2,000	1,000
	Ministry of Culture		
	Funds for SC-ST cultural troops for international tours	400	200
	Financial assistance for SC-ST artist	800	400
	Ministry of Food Processing Industry		
	Promotion of SC & ST Entrepreneurs in horticulture based industry	2,000	800
	National mission on food processing with 30% beneficiaries from SC & ST communities	3,000	500
	Ministry of Tourism		
	Tourist hub in SC-ST areas	4,000	1,000
	Asistance to SC-ST cooperatives for tourism industry	4,000	1,000
	Ministry of Electronics		
	Innovation fund for SC & ST youth	100	600
	Startup fund for Scand ST	5,000	2,000
	Ministry of Youth Affairs		
	Special sports talent developmnet programme for SC and ST youth	400	200
	Fund for SC and ST special talent for international training	400	200
	Department of Science and Technology		
	Research grants for SC and ST in science innovation	4,000	2,000
	International fellowship programme for SC and ST research scholars	3,000	1,500
	Ministry of Railways		
	Promotion of SC & ST entrepreneurs in Railways procurement	3,000	1,500
	Railways Skill Development Programme for SC & ST entrepreneurs	4,800	1,000
	Venture Capital for 1000 SC & ST Women Catering Cooperatives	4,000	1,000
	Promotion of SC & ST Entrepreneurs for licensing / lease of Railway land for commercial purposes	3,000	1,500
	Tax subsidy for promotion of SC & ST women Entrepreneurs in Railway contracts	5,000	2,000
	Special coaching Centers for SC & ST candidates for recruitment in Railways	3,000	1,000
	Establishment of Anti-Discrimination Monitoring Cell in Railways	2,000	1,000
	Promotion of SC & ST employment by utilizing Surplus Railway Land	7,200	2,000
	Promotion of SC & ST Travel Agents through IRCTC subsidiaries	4,000	2,000
	Special contracts for SC & ST BPL in operating parking spaces at Railway Stations	3,000	1,600
	Innovative Fund for Displaced SC and ST from Railway Projects	5,000	2,000
	Total	1,14,400	54,800

With objective of initiating better participation of SC & ST communities in planning, budgeting, implementation and monitoring, NCDHR has been consulting various sections of the society including youth, women, elders, community leaders, CSO's & NGO's, and compiled a comprehensive list of suggested schemes in selected Ministries/departments. The following list present the real needs and aspirations of SC & ST communities from across the country.

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