

GOVERNMENT OF INDIA  
MINISTRY OF TRIBAL AFFAIRS  
LOK SABHA  
STARRED QUESTION No.\*38  
TO BE ANSWERED ON 24.06.2019

**Tribal Sub-Plan**

†\*38. SHRI ASHOK MAHADEORAO NETE:

Will the Minister of TRIBAL AFFAIRS be pleased to state:

- (a) whether any guidelines have been issued to the Central Ministries and the State Governments to prepare Tribal Sub-Plan and to ensure allocation of fund in proportion to the percentage of population and to check diversion of fund as well as utilisation of fund as per requirement; and
- (b) if so, the details thereof?

**ANSWER**

MINISTER OF TRIBAL AFFAIRS  
(SHRI ARJUN MUNDA)

- (a) & (b): A Statement is laid on the Table of the House.

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**Statement referred to in reply to Lok Sabha Starred Question No.\*38 for answer on 24.06.2019**

(a) & (b): Tribal Sub Plan (TSP) envisages channelizing the flow of outlays & benefits from various sectors of development to ST population through various schemes / programmes of concerned Central Ministries and the State Governments. NITI Aayog has been issuing guidelines from time to time to Central Ministries / Departments and State Governments. A copy of Guidelines for Central Ministries during 2019 for Central TSP is at **Annexure 1**. As regards State TSP, the Guidelines issued by erstwhile Planning Commission in 2014 is at **Annexure 2**.

F. No. M-11011/18/2018-SJE,  
**Government of India**  
**NITI Aayog**  
(Social Justice and Empowerment Division)

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Room No. 346, NITI Aayog Bhavan  
Parliament Street, New Delhi-110001

Date: 25-01-2019

**OFFICE MEMORANDUM**

The development of Scheduled Castes and Scheduled Tribes is Constitutional Mandate and also National Priority of the Government. Allocation of Business Rules (AoBR) of NITI Aayog empower NITI Aayog to "To pay special attention to the sections of our society that may be at risk of not benefiting adequately from economic progress" and has to actively monitor and evaluate the implementation of programmes and initiatives, including the identification of the needed resources so as to strengthen the probability of success and scope of delivery" (Rule III 1 (i) e & k of AoBR of NITI Aayog).

2. In respect of implementation of the Scheduled Castes Sub-Plan (SCSP) & Tribal Sub-Plan (TSP), NITI Aayog has the mandate to design a framework and mechanism for monitoring of the Scheduled Castes Sub-Plan and Tribal Sub-Plan; and to evaluate the Scheduled Castes Sub-Plan and Tribal Sub-Plan" (Rule III 1 (i) n (A) & (B).
3. As envisaged above, NITI Aayog has developed new frame work/new guidelines (**Copy attached at Annexure-I**) obligating 41 Central Ministries / Departments for allocation of resources, formulation and implementation of specific schemes to reduce / remove development disparities between the population in general and SCs and STs. However, while reviewing the performance of some of the obligatory Ministries/Departments, it was noticed that some Ministries have deviated the guidelines. In this regard a meeting was held on 16-11-2018 in NITI Aayog, with the Department of Economic Affairs and Department of Expenditure and modalities / measures to be taken by the obligated Ministries / Departments was communicated (**Copy attached at Annexure-II**)
4. Meanwhile the Department of Economic Affairs vide office memorandum No. 2(33)-B(P&A/2018 dated 22 January, 2019 (**Copy Attached at Annexure-III**) has directed such deviating ministries/ departments to strictly adhere to the guidelines of NITI Aayog.
5. All obligated Ministries / Departments are requested to take appropriate action as mandated in the guidelines and actions suggested in **Annexure-II** of this OM to fulfill the constitutional mandate and ensure empowerment of Scheduled Castes and Scheduled Tribes at par with the rest of the society.

  
(Dr. Muniraju, S.B)  
Deputy Adviser  
Ph. 23042343

To



1.	The Secretary, Department of Agriculture, Cooperation and Farmer Welfare Krishi Bhawan, Dr. Rajendra Prasad Road, New Delhi-110001.	2.	The Secretary (ADF), D/o Animal Husbandry, Dairying & Fisheries, Krishi Bhawan, New Delhi-110001
3.	The Secretary & D.G. (ICAR) Department of Agriculture Research and Education Krishi Bhawan, Dr. Rajendra Prasad Road, New Delhi-110001.	4.	The Secretary Ministry of AYUSH Ayush Bhawan, B Block, GPO Complex, INA, New Delhi - 110023
5.	The Secretary, Department of Commerce, Ministry of Commerce and Industry, Udyog Bhawan, New Delhi 110011.	6.	The Secretary Ministry of Coal Shastri Bhavan New Delhi -110001.
7.	The Secretary Department of Consumer Affairs Krishi Bhawan New Delhi-110001.	8.	The Secretary Ministry of Culture Shastri Bhavan New Delhi-110001
9.	The Secretary, Department of Development of North Eastern Region Vigyan Bhawan Annexe New Delhi-110011	10.	The Secretary M/o Drinking Water and Sanitation Government of India, C Wing, 4th Floor, Pandit Deendayal Antyodaya Bhawan, CGO Complex Lodhi Road, New Delhi - 110003
11.	The Secretary Ministry of Electronics & Information Technology Electronics Niketan C.G.O. Complex New Delhi -110003.	12.	The Secretary Ministry of Environment, Forests and Climate Change, Paryavaran Bhavan C.G.O. Complex, Lodhi Road, New Delhi -110003.
13.	The Secretary Department of Empowerment of Persons with Disabilities Deendayal Antyoday Bhavan CGO Complex Lodhi Road, New Delhi-110003	14.	The Secretary Department of Food and Public Distribution Krishi Bhavan New Delhi -110001
15.	The Secretary Ministry of Food Processing Industries Panchasheel Bhavan Khel Gaon New Delhi	16.	The Secretary Department of Fertilizers Shastri Bhavan New Delhi -01.



17.	The Secretary Department of Health & Family Welfare Nirman Bhavan New Delhi -110011.	18	The Secretary Ministry of Housing and Urban Poverty Alleviation Nirman Bhavan New Delhi -110011.
19.	The Secretary Department of School Education & Literacy Shastri Bhavan New Delhi -110001	20	The Secretary, Department of Higher Education, 127-C, Shastri Bhawan, Dr. Rajendra Prasad Road, New Delhi.
21.	The Secretary Ministry of Labour and Employment Shram Shakti Bhavan New Delhi -110001.	22	The Secretary Ministry of Micro, Small and Medium Enterprises Udyog Bhavan, New Delhi -110001.
23.	The Secretary Ministry of Mines Shastri Bhavan New Delhi -110001.	24	The Secretary Ministry of New and Renewable Energy C.G.O. Complex, Lodhi Road New Delhi -110003.
25.	The Secretary Ministry of Panchayati Raj Krishi Bhavan New Delhi -110001.	26	The Secretary Ministry of Petroleum & Natural Gas Shastri Bhavan New Delhi -110001.
27.	The Secretary, Department of Pharmaceuticals, Room No. 304 'B' Wing, Janpath Bhawan, New Delhi-110001.	28	The Secretary Ministry of Power , Shram Shakti Bhavan New Delhi -110001
29.	The Secretary Department of Rural Development Krishi Bhavan New Delhi-110001.	30	The Secretary Department of Land Resources N.B.O. Hall, Nirman Bhavan New Delhi-110011.
31.	The Secretary Department of Science & Technology, Technology Bhavan, New Mehrauli Road, New Delhi - 110016.	32	The Secretary Ministry of Textiles Udyog Bhavan New Delhi
33.	The Secretary Ministry of Tribal Affairs Shastri Bhawan New Delhi -110001.	34	The Secretary Ministry of Skill Development & Entrepreneurship, 2nd Floor, Shivaji Stadium Annexe, Shaheed Bhagat Singh Marg, Near Connaught Place, New Delhi - 110001.

35.	The Secretary D/o Social Justice & Empowerment Shastri Bhavan New Delhi.	36	The Secretary Department of Sports Ministry of Youth Affairs and Sports Shastri Bhavan New Delhi - 110001
37.	The Secretary Ministry of Urban Development Nirman Bhavan New Delhi-110011	38.	The Secretary Department of Telecommunications Sanchar Bhavan New Delhi-110001.
39.	The Secretary Ministry of Tourism RNo 109, Transport Bhawan, 1 Parliament Street, New Delhi -110001.	40	The Secretary, Ministry of Water Resources, River Development and Ganga Rejuvenation, Shram Shakti Bhawan, Rafi Marg, New Delhi - 110001.
41.	The Secretary Ministry of Women and Child Development Shastri Bhavan New Delhi	42	The Secretary Department of Youth Affairs Shastri Bhavan New Delhi
43.	The Secretary Department of Economic Affairs Ministry of Finance North Block New Delhi -01.	44	The Secretary Department of Expenditure Ministry of Finance North Block New Delhi -01.
45.	The Secretary National Commission for Scheduled Castes (NCSC) 5th Floor, Lok Nayak Bhawan Khan Market New Delhi-110003	46	The Secretary National Commission for Scheduled Tribes 6th Floor, Lok Nayak Bhavan Khan Market, New Delhi-110003

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**Urgent**

**F. No. M-11011/8/2017-SJE  
Government of India  
NITI Aayog  
(Social Justice and Empowerment Division)**

Parliament Street, New Delhi,  
Date: 20.11.2017

**OFFICE MEMORANDUM**

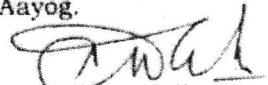
**Subject: Guidelines on New Arrangement for Earmarking of Funds for Scheduled Castes Sub-Plan (SCSP) and Tribal Sub-Plan (TSP).**

Ministry of Finance, Department of Economic Affairs vide their D.O. letter No. 2 (21)-B(Cdn) / 2016, dated 31.12.2016 had earlier requested NITI Aayog to review Ministry / Department wise existing arrangement of SC/ST allocations and update it keeping in view the changes, since the last earmarking was done by the Planning Commission.

2. The issues were considered in NITI Aayog in consultation with various stakeholders i.e. concerned Central Ministries/Departments, State Governments, National Commissions for SCs and STs and Samavesh Forum of NITI Aayog, in addition to internal examination and review of the issues in NITI Aayog. On the basis of suggestions that emerged from the consultations and internal review the guidelines new arrangements for earmarking of funds and implementation of schemes for SCs and STs have been prepared.

3. The Guidelines are enclosed for consideration by the Ministry of Finance for the upcoming Union Budget 2018-19.

This issues with the approval of Vice Chairman, NITI Aayog.



(Srikanth Naik)  
Advisor (SJE)  
Ph. 23096595

Email: srikana@gov.in

To

The Secretary  
Department of Economic Affairs  
M/o Finance  
North Block, New Delhi,, 110001

Copy for information to;

The Secretary  
Department of Expenditure,  
Ministry of Finance,  
North Block, New Delhi



**NITI Aayog**  
**(Social Justice & Empowerment Division)**

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**Guidelines for earmarking of funds for Development Action Plan for SCs and STs (DAPSC & DAPST)**

The earlier system of planning has been discontinued and there has been merger of plan and non-plan expenditure with effect from 2017-18. In the changed system of budgeting, there is a need for clarity regarding new arrangement for earmarking of funds for SCs and STs in their budgets by the concerned Central Ministries/Departments.

2. Earlier earmarking of funds for SCs and STs were done by the concerned Ministries/Departments against their Plan allocation under the broad strategies of Scheduled Castes Sub-Plan (SCSP) and Tribal Sub-Plan (TSP) as per the criteria recommended by the Task Force, 2010. Earmarked allocation was also shown Ministry/Department-wise against the respective Centrally Sponsored Schemes (CSSs) and Central Sector Schemes (CSSs) in the Union Budget document. The Task Force constituted by the erstwhile Planning Commission had recommended for differential earmarking i.e. earmarking at different rates the Ministries/Departments and only against their plan outlay. Non-Plan component of the outlays were kept out of purview of the Sub-Plans. The Task Force had identified 26 Ministries/Departments for SCSP and 32 for TSP as obligated to earmark funds and implement schemes for SCs and STs.

3. In view of new system of budgeting, NITI Aayog was entrusted with the task of looking into the issue of alternative arrangements for earmarking of funds for SCs and STs. The matter was considered by the Senior Management Committee (SMC) of NITI Aayog in its meeting on 24.04.2017. The SMC desired, Shri Ratan P. Watal, Principal Adviser, Social Sector, NITI Aayog to guide SMC on the matter. The recommendations stated in these guidelines are outcome of consultation process (2017) under the Chairmanship of Principal Adviser, and would guide the earmarking of funds by the Ministries/Departments for DAPSC and DAPST, while going beyond and building on the recommendations of the earlier Task Force 2010, signifying continuity with enrichment. Some other issues considered regarding earmarking of funds, were as follows:

- (i) Whether strategy for implementation of the schemes for welfare of SCs and STs shall continue as per existing guidelines?
- (ii) Decision regarding 'No-Obligation Ministries/Departments'.
- (iii) Need or otherwise of a national level institution to work as think-tank for SCs and STs.

- (iv) Need or otherwise of a Central Legislation to ensure non-divertibility and/or non-lapsability of allocation and to guide planning & implementation.
- (v) How to ensure mainstreaming most vulnerable community groups in major flagship programmes, as reflected in development outcomes: in addition to earmarked allocations and specific schemes?
- (vi) How to enhance /create institutional capacity at national/state/district and local levels for ensuring a voice and social inclusion of the most vulnerable community groups?
- (vii) How to create a framework for Social Sector Outcome Monitoring, that addresses multiple vulnerability and is responsive to the most vulnerable?

4. The issues were considered in NITI Aayog in consultation with various stakeholders i.e. concerned Central Ministries/Departments, State Governments, National Commissions for SCs and STs and Samavesh Forum of NITI Aayog, in addition to internal examination and review of the issues in NITI Aayog.

5. On the basis of suggestions that emerged from the consultations and internal review of the issues, the recommendations made regarding the new arrangements for earmarking of funds and other issues regarding implementation of schemes for SCs and STs have been detailed in the following paragraphs.

#### **Continuation and Enrichment of strategy and Guidelines for implementation**

6. So far as strategy for implementation of the sub-plans is concerned, promoting socio-economic interest of SCs and STs is a constitutional mandate. It is also an area of priority and commitment for the present government to promote the socio-economic empowerment and inclusive development of the SCs and STs. The commitment to ensure inclusive development of the most vulnerable and deprived community groups - especially SCs and STs has been further reaffirmed by the call for a New India By 2022, the 75<sup>th</sup> Year of India's Independence, This calls for an India free from poverty, dirt, corruption, terrorism, casteism and communalism, among other features. The need for an Antyodaya approach to reach the poorest of the poor and the most deprived has also been highlighted. The schemes and programmes, therefore will continue to be implemented in the broader contours of the earlier sub-plans. ***In the new system of budgeting SCSP and TSP may be renamed as Development Action Plan for SCs (DAPSC) and Development Action Plan for STs (DAPST).***



**Earmarking against overall allocation of CSSs and CSs and not against total budget of the Ministries/Departments**

7. Earmarking should be against the overall allocation for schemes of the Ministries/Departments and not against the total budget of the concerned Ministries/Departments over and above the overall allocation for the schemes. However the Ministries/Departments will have flexibility to allocate funds for SCs and STs for specific activities within their overall budget, in case their existing schemes are not amenable to or do not have the scope for any such activities for SCs and STs.

**Recommendations**

8. The following are the guidelines recommended regarding identification of Ministries/Departments and earmarking of funds of DAPSC and DAPST and also to strengthen the existing guidelines in post planning stage:

**Identification of Ministries and Earmarking of Funds**

- (i) The earmarking should be done under specific schemes of the Ministry/Department. Overall earmarking of the Ministry/Department should be calculated against the total allocation of these schemes and not against the total budget of the Ministry/Department. However, some flexibility may be provided in specific instances wherever deemed necessary, and in case of non-utilization under one scheme, the budget should be utilized under the other schemes of the department, but for DAPSC or DAPST, as the case may be, with approval of the Ministry and Financial Adviser.
- (ii) Percentage of earmarking should not be less than 50% of the population proportion or as decided by the Task Force, or actuals whichever is higher. Ministry/ Department allocating funds for SCs and STs at higher percentages shall maintain existing percentages.
- (iii) All the Ministries/Departments which fall in the category II (Identified by the Task Force) i.e. earmarking of funds in the range of 0-15% for SCSP and 0-7.5% for TSP should earmark at least minimum of 8.3% for DAPSC and 4.3% for DAPST (as per 2011 Census).
- (iv) Ministries/Departments which are earmarking funds only for SCs at present should also earmark funds for STs and *vice versa* except the nodal Ministries. For example, D/o Animal Husbandry and Commerce should also earmark for DAPST. D/o Agriculture Research, Coal, Telecommunication, Water Resources, etc. which are there in DAPST should earmark for DAPSC. Minimum percentage of earmarking should be as indicated in para (i) and (iii) above.



- (v) Ministries/Departments like M/o Development of North Eastern Region, DONER, M/o Skill Development and Entrepreneurship, and D/o Empowerment of Persons with Disabilities (DPwD) have earmarked funds under STs in 2017-18 i.e. @ 27.18%, 8.14% and 10.17% respectively. These Ministries/Department have been implementing mostly beneficiary oriented schemes and therefore should be brought in the 'obligatory' category.
- (vi) Ministries/Departments which have direct or indirect bearing on the welfare of SCs and STs in the country, but remain outside the purview of DAPSC & DAPST i.e. a) Department of Fertilizers, (b) Department of Pharmaceuticals, (c) Ministry of Food processing industries, (d) Department of Consumer Affairs, (e) Ministry of Urban Development and (f) Ministry of Petroleum and Natural Gas. These Ministries/Departments should earmark funds to the extent of at least 50% of population proportion of SCs and STs.
- (vii) Ministries/Departments which are earmarking funds in proportion to the population of SCs or STs as per 2001 Census or closer to that should earmark fund in proportion to population of SCs or STs as per 2011 Census.
- (viii) So far as Nodal Ministry of Social Justice and Empowerment (SJE) is concerned, the present level of earmarking of 72.5% of funds by the D/o SJE for SCs as recommended by the Task Force should continue. However, over and above this, Scheduled Caste communities should also benefit from schemes implemented for other vulnerable sections like senior citizens, transgender, destitutes, drug addicts, etc. The issues of multiple vulnerability should also be addressed appropriately.
- (ix) State-wise distribution of allocation under various Centrally Sponsored Schemes by Central Ministries/ Departments, especially under beneficiary oriented schemes should be done in proportion to population for SCs and STs in the respective States/UTs.
- (x) Some Ministries/Departments like D/o Fertilizers, D/o Telecommunications, M/o Coal, M/o Mines, M/o Culture, etc. which do not have any scheme for SCs and/or STs, should set aside the earmarked allocation, evolve new and focused interventions and use the same for appropriate schemes/activities in consultation with the Nodal Ministry of Social Justice and Empowerment and Ministry of Tribal Affairs. The Nodal Ministries should coordinate as to how to use such allocations for direct benefits of SCs and STs.

### **Non-lapsability and non-divertibility**

- (xi) In India the system of cash-based budgeting is followed. In view of this it is not feasible to follow the practice of non-lapsability. The issue of non-divertibility is already inbuilt in the system due to allocation of funds on the basis of 'budget head'. However diversification of fund within the budget head shall be allowed subject to conditions mentioned in para (ii) above. Any further clarification, in this regard may be looked into by the Department of Expenditure.

### **National Level Institute for SCs and STs**

- (xii) A National level Institute each for SCs and STs, on the pattern of National Institute for Rural Development should be set up to work as Think Tank and Resource Centre each for SCs and STs. For SCs, the Ambedkar International Centre or its infrastructure may be considered to be utilized as the National Institute. For STs, National Institute of Labour Economics Research and Development (NILERD) could be converted or infrastructure of NEILRD could be utilized for the same.
- (xiii) Linked to the National Institutes, States should also be encouraged to have/set up such institutes - at the State level and progressively at District levels. The district level institutes may specifically work for providing specific inputs for formulation of suitable projects/schemes at the ground level in the interest of SCs and STs. This is especially relevant in the context of enhanced devolution of resources to States, urban local bodies and panchayati raj institutions, as per the implementation of the Fourteenth Finance Commission recommendations.

### **Enabling Provisions**

- (xiv) Ministries concerned and States/UTs must ensure mainstreaming of the most vulnerable community groups in major flagship programmes under the National Development Agenda, as reflected in development outcomes- in addition to earmarked allocations and specific schemes.
- (xv) Ministries concerned and States/UTs may enable and promote institutional capacity at different levels to ensure improved utilization, effectiveness, efficiency and outcomes of allocations earmarked for SC/STs. This includes enabling representation in institutional mechanisms etc.



- (xvi) The performance of States and Districts on Social Inclusion may progressively be recognized and incentivized.
- (xvii) Ministries concerned and States/UTs must address multiple vulnerability through convergent interventions that may be multi sectoral in nature, specific to the State/district context.
- (xviii) Ministries concerned and States/UTs may be encouraged to design new interventions based on programme implementation experience, with innovative ideas for Ministries which were earlier considered to be non obligatory.

#### **Monitoring and Evaluation**

- (xix) Monitoring of the DAPSC and DAPST should be necessarily a priority area. Monitoring should be both output and outcome based and through dashboard. The nodal Ministries i.e. Ministry of Social Justice and Empowerment and Ministry of Tribal Affairs will be responsible for the monitoring as per amendment to Allocation of Business Rule 1961 vide Gazette Notification a F. No. 1/21/26/2016-Cab. dated 31<sup>st</sup> January, 2017.
- (xx) The monitoring initiative should have special focus on people with multiple vulnerability such as SC/ST widows or women or men with disabilities; Particularly Vulnerable Tribal Groups (PVTGs); destitute SC/ST children etc.
- (xxi) The social sector monitoring framework adopted at the central level under DAPSC and DAPST should also be carried forward to be implemented at the State and District levels for outcome monitoring of the initiatives for SCs and STs.
- (xxii) The social sector monitoring framework should include integration of concerns related to inclusion of SC/STs in the existing Common Review Missions of major flagship programmes by concerned Ministries and National Commissions as a complementary approach for field based outcome monitoring. (Ministries such as MHFW, MHRD, MWCD & MRD are using Common Review Missions for National Health Mission, Elementary Education, WCD/ICDS & Rural Development Programmes.)

9. Details of criteria proposed for earmarking of funds for DAPSC and DAPST by respective Ministries/Departments may be seen at Annexure-I.

#### **11. NITI Aayog's Role**

- (i) While the Nodal Ministries should also be responsible for coordination with the concerned Ministries and Departments to ensure adequate fund for SCs and STs. NITI Aayog should also, in consultation with the nodal Ministries, ensure earmarking of the funds by the identified Ministries/Departments and periodically review their performance.



- (ii) NITI Aayog should be responsible for evaluation of DAPSC and DAPST. The nodal Ministries, M/o SJE and MoTA and the concerned Central Ministries/Departments should also undertake evaluation of their schemes as per the overall strategies of DAPSC and DAPST.

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**Annexure-I**

**Category A: Obligatory Ministries/Departments**

**Ministry / Department wise existing earmarking and proposed percentage of earmarking**

**DAPSC (2011 Census)**

S.No.	Ministries/Departments	Existing percentage of earmarking	Actual earmarking % in 2017-18	Proposed % for earmarking to DAPSC*
1	Agriculture & Cooperation	16.20	16.13	16.60
2	Animal Husbandry, Dairying and Fisheries	16.20	16.18	16.60
3	AYUSH	5.00	14.02	8.30
4	Commerce	4.50	1.07	8.30
5	Development of North East Region;	2.00	2.01	8.30
6	Drinking Water Supply	22.00	22.00	22.00
7	Information Technology	2.00	1.39	8.30
8	Environment & Forest	2.20	2.01	8.30
9	Health and Family Welfare	15.20	15.90	16.60
10	Housing and Urban Poverty Alleviation	22.50	22.42	22.50
11	School Education & Literacy	20.00	21.74	20.00
12	Higher Education	15.00	53.44	16.60
13	Labour and Employment	16.20	16.45	16.60
14	Micro, Small and Medium Enterprises	12.00	11.39	16.60
15	New and Renewable Energy	3.50	3.48	8.30
16	Panchayati Raj	16.20	15.78	16.60
17	Ministry of Power	8.30	9.29	16.60
18	Rural Development	25.00	8.07	25.00
19	Land Resources	16.20	15.44	16.60
20	Science & Technology.	2.50	4.35	8.30
21	Department of Social Justice and Empowerment	72.50	79.27	72.50
22	Textiles,	5.00	2.80	16.60
23	Woman and Child Development	20.00	16.91	20.00
24	Youth Affairs and Sports	16.20	25.28	16.60

**DAPST (2011 Census)**

<b>S.No.</b>	<b>Ministries/Departments</b>	<b>Existing % of earmarking</b>	<b>Actual earmarking % in 2017-18</b>	<b>Proposed % for earmarking to DAPST*</b>
1	Agriculture & Cooperation	8.00	7.97	8.60
2	Department of Agriculture Research and Education	3.60	3.46	4.30
3	AYUSH	2.00	4.03	4.30
4	Ministry of Coal	8.20	4.49	8.60
5	Department of Telecommunication	0.25	0.26	4.30
6	Department of food and Public Distribution	1.40	0.00	4.30
7	Ministry of Culture	2.00	4.80	4.30
8	Ministry of Drinking Water and Sanitation	10.00	10.00	10.00
9	Minsitry of Eletronics and Information Technology	6.70	4.67	6.70
10	Health and Family Welfare	8.20	8.58	8.60
11	Housing and Urban Poverty Alleviation	2.40	2.39	4.30
12	School Education & Literacy	10.70	12.49	10.70
13	Higher Education	7.50	26.73	8.60
14	Labour and Employment	8.20	8.33	8.60
15	Micro, Small and Medium Enterprises	8.20	7.73	8.60
16	Ministry of Mines	4.00	0.00	4.30
17	Panchayati Raj	8.20	8.09	8.60
18	Ministry of road Transport and Highways	3.50	0.62	4.30
19	Rural Development	17.50	5.63	17.50
20	Land Resources	10.00	9.78	10.00
21	Science & Technology	2.50	4.35	4.30
22	Textiles,	1.20	1.04	8.60
23	Ministry of Tourism	2.50	2.54	4.30
24	Ministry of tribal Affairs	100.00	139.47	100.00



S.No.	Ministries/Departments	Existing % of earmarking	Actual earmarking % in 2017-18	Proposed % for earmarking to DAPST*
25	Ministry of WR, RD and GR	0.73	0.83	8.60
26	Woman and Child Development	8.20	6.50	8.60
27	Youth Affairs and Sports	8.20	13.26	8.60

**Category B: Non-Obligated Ministry /Departments but allocating in 2017-18**

**DAPSC**

S.No.	Ministries/Departments	Existing % of earmarking for DAPSC	Actual earmarking % in 2017-18	Proposed % for earmarking to DAPSC *
1	Department of Empowerment of persons with Disabilities	0.00	20.25	16.60
2	Skill Development and Entrepreneurship	0.00	16.09	16.60

**DAPST**

S.No.	Ministries/Departments	Existing % of earmarking for DAPST	Actual earmarking % in 2017-18	Proposed % for earmarking to DAPST *
1	Development of North East Region;	0.00	27.18	8.60
2	Environment & Forest	0.00	0.29	8.60
3	New and Renewable Energy	0.00	1.74	8.60
4	Skill Development and Entrepreneurship	0.00	8.14	8.60
5	Department of Empowerment of persons with Disabilities	0.00	10.17	8.60

**Category C: Ministries/ Departments which are earmarking for either DAPSC or DAPST**

**Ministries/Departments which are earmarking for DAPST should also earmark for DAPSC**

S.No.	Ministries/Departments	Existing % of earmarking for DAPST	Proposed % for earmarking to DAPSC*
1	Department of Agriculture Research and Education	3.46	8.30
2	Ministry of Coal	4.49	8.30
3	Department of Telecommunication	0.26	8.30
4	Department of food and Public Distribution	0.00	8.30
5	Ministry of Culture	4.30	8.30
6	Ministry of Mines	0.00	8.30
7	Ministry of road Transport and Highways	0.62	8.30
8	Ministry of Tourism	2.54	8.30
9	Ministry of WR, RD and GR	0.83	8.30

\*Atleast 50% of population proportion (8.30%)

**Ministries/Departments which are earmarking for DAPSC should also earmark for DAPST**

S.No.	Ministries/Departments	Existing % of earmarking for DAPSC	Proposed % of earmarking for DAPST
1	Animal Husbandry, Dairying and Fisheries	16.18	8.60#
2	Commerce	1.07	4.30
3	Ministry of Power	9.29	8.60#

#These Ministries implement direct beneficiary oriented programme, they are obligated in proportion to population (ST-8.60%)



**Category D: Ministries/Departments which are Non-Obligated**

**New Ministries / Departments obligated for earmarking and implementing DAPSC/DAPST**

Sl. No.	Ministries/Departments	Existing	Proposed % for DAPSC*	Proposed % for DAPST*
1	Department of Fertilizers	00	8.30	4.30
2	Department of Pharmaceuticals	00	8.30	4.30
3	Department of Consumer Affairs	00	8.30	4.30
4	Ministry of Food Processing Industries	00	8.30	4.30
5	Ministry of Petroleum and Natural gas	00	8.30	4.30
6	Ministry of urban Development	00	8.30	4.30

\*At least 50% of population proportion (8.30%)

M-11011/15/2018-SJE

Government of India

NITI Aayog

(Social Justice &amp; Empowerment Division)

Room No.346, NITI Aayog Bhavan

Parliament Street, New Delhi

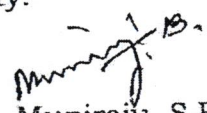
Date: 14-1-2019

**OFFICE MEMORANDUM**

**Subject: Record of Discussion held on 16<sup>th</sup> November, 2018 for implementation of Scheduled Castes Sub-Plan (SCSP) and Tribal Sub-Plan (TSP) with the Secretary, Department of Expenditure and Joint Secretary (Budget), Department of Economic Affairs, Ministry of Finance.**

The undersigned is directed to invite your kind attention on the subject mentioned above and enclose herewith a copy of the Record of Discussion (RoD) held on 16<sup>th</sup> November, 2018 with the Secretary, Department of Expenditure and Joint Secretary (Budget), Department of Economic Affairs, Ministry of Finance in NITI Aayog regarding implementation of Scheduled Castes Sub-Plan (SCSP) and Tribal Sub-Plan (TSP).

2. It is requested to take appropriate action and arrange to furnish Action Taken Report (ATR) at the earliest.
3. This issues with the approval of the competent authority.

  
(Dr. Muniraju, S.B)

Deputy Adviser

Ph:011-23042343, Email: [mraju.sb@gov.in](mailto:mraju.sb@gov.in)

To

As-per list



1.	The Secretary, Department of Agriculture, Cooperation and Farmer Welfare Krishi Bhawan, Dr. Rajendra Prasad Road, New Delhi-110001. Phone: 23382651, Fax: 23386004. Email: <a href="mailto:secy-agri@nic.in">secy-agri@nic.in</a>	2.	The Secretary (ADF), D/o Animal Husbandry, Dairying & Fisheries, Krishi Bhawan, New Delhi-110001 23382608, 23388006 ( Fax) Email : <a href="mailto:secyahd@nic.in">secyahd@nic.in</a>
3.	The Secretary & D.G. (ICAR) Department of Agriculture Research and Education Krishi Bhawan, Dr. Rajendra Prasad Road, New Delhi-110001. Phone: 23386711, 23382629 (Fax) : 23384773. Email: <a href="mailto:dg.icar@nic.in">dg.icar@nic.in</a>	4.	The Secretary Ministry of AYUSH Ayush Bhawan, B Block, GPO Complex, INA, New Delhi - 110023 Ph. 24651950 Fax-24651937 <a href="mailto:secy-ayush@nic.in">secy-ayush@nic.in</a>
5.	The Secretary, Department of Commerce, Ministry of Commerce and Industry, Udyog Bhawan, New Delhi 110 107. Email. <a href="mailto:csoffice@nic.in">csoffice@nic.in</a> Tele. 91 11 23063664, 23063617	6.	The Secretary Ministry of Coal Shastri Bhavan New Delhi Ph. 011-23384884 Fax. 011-23381678 <a href="mailto:secy.moc@nic.in">secy.moc@nic.in</a>
7.	The Secretary Department of Consumer Affairs Krishi Bhavan New Delhi. <a href="mailto:secy-ca@nic.in">secy-ca@nic.in</a> Phone: 91 11 23782807, +91 11 23070121. Fax. 91 11 23384716	8.	The Secretary Ministry of Culture Shastri Bhavan New Delhi. Email <a href="mailto:secy-culture@nic.in">secy-culture@nic.in</a> Phone: 91 11 23386995.
9.	The Secretary, Department of Development of North Eastern Region Vigyan Bhawan Annexe New Delhi. Phone : 91 11 23022020, 23022037. Email. <a href="mailto:secydoner@nic.in">secydoner@nic.in</a>	10.	The Secretary Ministry of Drinking Water and Sanitation Govt. of India, C Wing, 4th Floor, Pandit Deendayal Antyodaya Bhawan, CGO Complex Lodhi Road, New Delhi - 110003 Phone-011-24361672 Fax-011-24361669

11.	The Secretary Ministry of Electronics & Information Technology Electronics Niketan C.G.O. Complex New Delhi secretary@meity.gov.in 24364041(Off) 24363134(Fax)	12.	The Secretary Ministry of Environment, Forests and Climate Change, Paryavaran Bhavan C.G.O. Complex, Lodhi Road, New Delhi Ph. 24695262, 24695265 Fax. 24695270 Email. secy-moef@nic.in
13.	The Secretary Department of Empowerment of Persons with Disabilities Deendayal Antyoday Bhavan CGO Complex Lodhi Road, New Delhi-110003 Phone : 24369055(Off.) Email : secretaryda-msje@nic.in	14.	The Secretary Department of Food and Public Distribution Krishi Bhavan New Delhi secy-food@nic.in 23382349, 23097018 ( Off.) 23386052 (Fax)
15.	The Secretary Ministry of Food Processing Industries Panchasheel Bhavan Khel Gaon New Delhi secy.mofpi@nic.in 26493225(Off.) 26493012(Fax)	16	The Secretary Department of Fertilizers Shastri Bhavan New Delhi Ph. 23381275, 23383695 Fax. 23387965 Email : fertsec@nic.in
17.	The Secretary Department of Health & Family Welfare Nirman Bhavan New Delhi secyhfw@nic.in Ph. 23061863, 23063221	18.	The Secretary Ministry of Housing and Urban Poverty Alleviation Nirman Bhavan New Delhi secy-mhupa@nic.in 23061444
19.	The Secretary Department of School Education & Literacy Shastri Bhavan New Delhi Email: secy.sel@nic.in Phone: 23382587, 23381104 Fax: 23387859	20.	The Secretary, Department of Higher Education, 127-C, Shastri Bhawan, Dr. Rajendra Prasad Road, New Delhi. Email : secy.dhe@nic.in Phone : 011-23386451, 23382698.



21.	The Secretary Ministry of Labour and Employment Shram Shakti Bhavan New Delhi secy-labour@nic.in 23710265	22.	The Secretary Ministry of Micro, Small and Medium Enterprises Udyog Bhavan New Delhi secretary-msme@nic.in 23062107,23061023 , 23063045
23.	The Secretary Ministry of Mines Shastri Bhavan New Delhi Ph. 23382614 (O) 23384682 F-23385173, Email. secy-mines@nic.in	24.	The Secretary Ministry of New and Renewable Energy C.G.O. Complex New Delhi secy-mnre@nic.in 24362772, 24361481 24367329
25.	The Secretary Ministry of Panchayati Raj Krishi Bhavan New Delhi secy-mopr@nic.in 23074309,23389008 23389028	26.	The Secretary Ministry of Petroleum & Natural Gas Shastri Bhavan New Delhi Ph. 23383501/23383562 Fax. 23075006 Email Sec.png@nic.in
27.	The Secretary, Department of Pharmaceuticals, Room No. 304 'B' Wing, Janpath Bhawan, New Delhi. Email : jaipriye@nic.in Phone : 011- 23381573,	28.	The Secretary Ministry of Power , Shram Shakti Bhavan New Delhi secy-power@nic.in 23710271,23711316
29.	The Secretary Department of Rural Development Krishi Bhavan New Delhi secyrd@nic.in, sinhaa5@nic.in 23382230,23384467 23382408	30.	The Secretary Department of Land Resources N.B.O. Hall, Nirman Bhavan New Delhi. secylr@nic.in\ 23063927,23063183 23062541

31.	The Secretary Department of Science & Technology, Technology Bhavan, New Mehrauli Road, New Delhi - 110016. Email : <a href="mailto:dstsec@nic.in">dstsec@nic.in</a> Phone : 011-26590412, 26511439.	32.	The Secretary Ministry of Textiles Udyog Bhavan New Delhi Phone : 011-23061769 Email <a href="mailto:secy-textiles@nic.in">secy-textiles@nic.in</a>
33.	The Secretary Ministry of Tribal Affairs Shastri Bhavan New Delhi <a href="mailto:secy-tribal@nic.in">secy-tribal@nic.in</a> 23381652 23073160	34.	The Secretary Ministry of Skill Development & Entrepreneurship, 2nd Floor, Shivaji Stadium Annexe, Shaheed Bhagat Singh Marg, Near Connaught Place, New Delhi - 110001. Email : <a href="mailto:secy-msde@nic.in">secy-msde@nic.in</a> Phone : 011-23450837, 23450839
35.	The Secretary D/o Social Justice & Empowerment Shastri Bhavan New Delhi. 23382683, 23389184, 23385180 (Fax) Email: <a href="mailto:secywel@nic.in">secywel@nic.in</a>	36.	The Secretary Department of Sports Ministry of Youth Affairs and Sports Shastri Bhavan New Delhi - 110001 Telephone No: 011-23388623 E-mail : <a href="mailto:secy-sports@nic.in">secy-sports@nic.in</a>
37.	The Secretary Ministry of Urban Development Nirman Bhavan New Delhi <a href="mailto:secyurban@nic.in">secyurban@nic.in</a> 23062377 23061459	38.	The Secretary Department of Telecommunications Sanchar Bhavan New Delhi <a href="mailto:secy-dot@nic.in">secy-dot@nic.in</a> 23719898 23711514
39.	The Secretary Ministry of Tourism RNo 109, Transport Bhawan, 1 Parliament Street, New Delhi 23711792, 011, 23321395 23717890 <a href="mailto:sectour@nic.in">sectour@nic.in</a>	40.	The Secretary, Ministry of Water Resources, River Development and Ganga Rejuvenation, Shram Shakti Bhawan, Rafi Marg, New Delhi - 110001. Email : <a href="mailto:secy-mowr@nic.in">secy-mowr@nic.in</a> Phone : 011- 11 23715919, 23710305



41.	<p>The Secretary Ministry of Women and Child Development Shastri Bhavan New Delhi secy.wcd@nic.in 23383586, 23381495</p>	42.	<p>The Secretary Department of Youth Affairs Shastri Bhavan New Delhi secy-ya@nic.in 23382897 23383163</p>
43.	<p>The Secretary Department of Economic Affairs Ministry of Finance North Block New Delhi Ph. 011-23092611, 23092555 Fax-23094075 Email secy-dea@nic.in.</p>	44.	<p>The Secretary Department of Expenditure Ministry of Finance North Block New Delhi Phone : 01123092929, 23092663 Fax.23092546 Email secyexp@nic.in</p>
45.	<p>The Secretary National Commission for Scheduled Castes 5th Floor, Lok Nayak Bhavan Khan Market New Delhi-110003 Phone: 24620308, 24606804 Email: secretary-ncsc@nic.in,</p>	46.	<p>The Secretary National Commission for Scheduled Tribes 6th Floor, Lok Nayak Bhavan Khan Market, New Delhi-110003 Phone: 24635625, 24624190 Email: secy@ncst.nic.in</p>

**NITI Aayog**  
**(Social Justice & Empowerment Division)**

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A meeting was held on 16<sup>th</sup> November, 2018 with the Secretary, Department of Expenditure Shri Ajay Narayan Jha, and Shri Aravind Srivastava, Joint Secretary (Budget), Department of Economic Affairs, Ministry of Finance under the Chairmanship of Shri Ratan P. Watal, Principal Adviser (Social Sector), NITI Aayog.

2. Initiating the meeting, Principal Adviser, elaborated that post-merger of plan and non-plan classification of expenditure, NITI Aayog convened a meeting with Central Ministries / Departments and some selected States. As mandated under Allocation of Business Rules, a framework (new guidelines) was developed by the NITI Aayog in consultation with Ministries/Departments and States to reaffirm priority to vulnerable community groups for allocation, formulation and implementation of schemes/ programs for welfare of Scheduled Castes and Scheduled Tribes.

3. The new guidelines lay emphasis on 41 obligated Ministries / Departments which should earmark and spend their obligated percentage of funds for welfare of SCs and STs and in-case they find it difficult under existing schemes they can formulate new schemes or innovative interventions. The new guidelines go beyond Dr. Narender Jhadhav Task Force Guidelines implemented since 2011-12.

4. Some Ministries like Ministry of Road Transport and Highways, Department of Food and Public Distribution, Ministry of Labour and Employment, Ministry of Culture etc. have expressed their perceptive and the need for developing innovative ways of translating the priority to vulnerable community groups into resources and interventions. However, they were insisted upon by the NITI Aayog to scrupulously follow the guidelines and capture data of SC&ST beneficiaries.

4. The Secretary, Expenditure and JS Budget DEA expressed that it may be useful to reiterate and/or clarify to some Ministries/Departments regarding earmarking out of the total schemes' budget or only from specific schemes budget. It was clarified that total CSS and CS schemes budget of the obligated Ministries should be taken for consideration and earmarking should be done only for such schemes which provide direct and quantifiable benefits to target groups by the line Ministries / Departments.



5. The Joint Secretary, NITI Aayog suggested that Ministries/Departments should work out a mechanism to spend allocated funds to benefit SCs and STs and if this is not possible under existing schemes, they should formulate new schemes or new interventions. If that is also not possible then we can consider for innovative measures for better utilization of SCSP & TSP funds.

6. **Meeting concluded with the following decisions:**

- i. Ministry of Social Justice & Empowerment, Ministry of Tribal Affairs and obligated Ministries/Departments in consultation with NITI Aayog should identify specific schemes which provide benefits to SCs and STs and ensure allocation only for such schemes instead of notional allocation for all schemes (CSS&CS).

**(Action: NITI Aayog, Department of Social Justice & Empowerment & Ministry of Tribal Affairs and obligated Ministries)**

- ii. Ministry of Social Justice & Empowerment, Ministry of Tribal Affairs and obligated Ministries in consultation with NITI Aayog should come up with innovative responses or new interventions/new schemes for inclusive development of SCs and STs, in case of difficulties to allocate and or incur expenditure under existing schemes.

**(Action: NITI Aayog, Department of Social Justice & Empowerment & Ministry of Tribal Affairs and obligated Ministries/Departments)**

- iii. The requests for exemption from earmarking or incurring expenditure for SCSP&TSP by the obligated Ministries/Departments, decision may be taken by the Nodal Ministries i.e. Ministry of Social Justice & Empowerment for SCSP and Ministry of Tribal Affairs for TSP with the approval of their Ministers.

**(Action: Ministry of Social Justice & Empowerment & Ministry of Tribal Affairs and obligated Ministries/Departments)**

- iv. The criticality of reaffirming priority to vulnerable community groups needs to be reflected through continued support for and reiteration of the guidelines evolved by NITI Aayog. The allocation for SCSP & TSP in the Union Budget 2019-20 should not be less than the allocation made in the Union Budget 2018-19.

**(Ministry of Finance, Department of Economic Affairs)**

- v. Ministry of Finance may also highlight to States, the criticality of reaffirming priority to vulnerable community groups through adequate allocation of State resources for SCs, STs, effective utilization and achievement of desired outcomes.

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**List of Participants**

1. Shri Ratan P. Watal, Principal Adviser, NITI Aayog
2. Shri Ajay Narayan Jha, Secretary, Department of Expenditure
3. Shri M.C. Jauhari, Joint Secretary, NITI Aayog
4. Shri Aravind Srivastava, Joint Secretary (Budget), Department of Economic Affairs,
5. Dr. Muniraju, S.B, Deputy Adviser (SJE), NITI Aayog.



SECRET  
IMMEDIATE

F.No. 2(33)-B (P&A)/2018  
Government of India  
Ministry of Finance  
Department of Economic Affairs  
Budget Division  
\*\*\*\*

North Block, New Delhi,  
Dated: 22 January, 2019

**OFFICE MEMORANDUM**

**Sub: Allocation of funds in Budget (2019-20) for Welfare of SCSP & STP.**

The undersigned is directed to state that some of the Ministries/Departments have either not kept any provision under SCSP and TSP or the provision kept is below the level stipulated by NITI Aayog vide its O.M. dated 20.11.2017. List of such deviating Ministries/Department is attached.

2. NITI Aayog, vide its O.M. dated 14.1.2018, has circulated MoM dated 16.11.2018. Para 6 (iii) of the MoM ibid stipulates that regarding the request for exemption/modification for earmarking or incurring expenditure for SCSP & TSP by the obligated Ministries/Departments, decision will be taken by the Nodal Ministries, i.e. Ministry of Social Justice and Empowerment for SCSP and Ministry of Tribal Affairs for TSP. Such exemptions, if any obtained, may be intimated to this Ministry.

3. In case no such exemption has been granted by the Nodal Ministries, the deviating Ministries/Departments are requested to look into the matter and take corrective action immediately, not later than 24.01.2019, to avoid delay in printing of the document. **This may be treated as most urgent.**



(Gautam Palit)

Under Secretary to the Govt. of India

Tele: No. 23095083

**As per list attached**

**Copy to:**

- i. M/o Social Justice & Empowerment (Concerned Joint Secretary)
- ii. M/o Tribal Affairs (Concerned Joint Secretary)
- iii. NITI Aayog (Dr. Muniraju. S.B., Dy. Adviser)

**1. Name of the Ministries/Departments which have not earmarked funds for SCSP/TSP**

- i. Department of Fertilizer (SC and ST)
- ii. Department of Pharmaceuticals (SC and ST)
- iii. Ministry of Petroleum & Natural Gas (SC and ST)
- iv. Ministry of Road Transport and Highway (SC)
- v. Department of Food and Public Distribution (SC and ST)
- vi. Ministry of Tourism (SC)
- vii. Ministry of Water Resources (SC)

**2. Name of the Ministries/Departments which have earmarked less allocation for SCSP/TSP**

- 1) D/o Agriculture Research Education (SC)
- 2) D/o Commerce (SC & ST)
- 3) M/o Culture (SC)
- 4) M/o Environment, Forests & Climate Change (SC & ST)
- 5) D/o Health & Family Welfare (SC)
- 6) M/o Housing and Urban Affairs (SC & ST)
- 7) M/o Rural Development (SC & ST)
- 8) M/o Power (ST)
- 9) M/o Road Transport & Highways (ST)
- 10) M/o Textile (SC & ST)
- 11) M/o Water Resources, River Dev. & Ganga Rejuvenation (ST)
- 12) M/o Women & Child Development (SC & ST)



Annexure 2 referred to in reply to part (a) & (b) of Lok Sabha Starred Question No. \*38 to be answered on 24.09.2019

No.M-11012/03-2013-SJ&SW  
Planning Commission  
(SJ&E Division)


Yojana Bhavan, Sansad Marg,  
New Delhi, Dated the 18<sup>th</sup> June, 2014

### Office Memorandum

Subject: Revised Guidelines for Implementation of SCSP/TSP by the States/UTs.

Planning Commission set up an Inter-Ministerial Committee under the Chairpersonship of Secretary, Planning Commission, "to effectively implement SCSP/ TSP as an essential instrument for accomplishing inclusive growth". The Committee after detailed deliberations with the stakeholder, including State Governments, has revised the guidelines for implementation of Scheduled Caste Sub-Plan (SCSP) and Tribal Sub-Plan (STSP) by the States/UTs. These guidelines are in supersession of guidelines issued by the Planning Commission/ Government of India from time to time including guidelines dated 31<sup>st</sup> October, 2005. A copy of each of the proposed revised guidelines is enclosed for information and suitable implementation by the States/UTs.

2. This issues with the approval of competent authority.

  
(Madan Mohan)  
Adviser (SJ&E)  
Tel. No. 23096723

Chief Secretaries of all States/UTs.

Copy to : (i) Secretary, Ministry of Social Justice & Empowerment, Shastri Bhavan, New Delhi.

✓ (ii) Secretary, Ministry of Tribal Affairs, Shastri Bhavan, New Delhi.

**Revised Guidelines for Implementation of Tribal Sub-Plan (TSP) by the States/UTs**

**1.1 Objective:**

The objective of the Tribal Sub-Plan (TSP) is to bridge the gap between Scheduled Tribe (ST) population and others by accelerating the development of STs by securing to them:

- (i) Human resource development by enhancing their access to education and health services,
- (ii) Enhanced quality of life by providing basic amenities in tribal areas/localities including housing;
- (iii) Substantial reduction in poverty and unemployment, creation of productive assets and income generating opportunities
- (iv) Enhanced capacity to avail opportunities, gain rights and entitlements and improved facilities at par with other areas, and
- (v) Protection against exploitation and oppression.

**1.2 Role of Nodal Department**

At the State level the Tribal Welfare Department must be the nodal department authorized to lead the process of TSP development. The nodal department will work in close coordination with all relevant line departments. Directions of the Tribal Welfare Department must be made binding on the line departments.

Secretary of the Nodal department will be Member-Secretary of the Executive Committee, chaired by the Chief Secretary, which will be responsible for appraisal, of the perspective document as well as of the TSP schemes of different departments for inclusion in Annual TSP. The EC shall also be responsible for the monitoring and evaluation of the TSP Plans Minister of the Nodal Department will be Vice-chairman of the Apex Level Committee/Tribal Advisory Council, chaired by Chief Minister that will approve the Annual Tribal Sub-Plan.

The Nodal Department shall:

- i. Identify socio-economic indicators to highlight development deficits of ST population
- ii. Conduct a critical gap analysis to assess the deprivation of STs on identified socio-economic parameters
- iii. Identify priority-areas under TSP in consultation with line departments.
- iv. Prepare a comprehensive perspective TSP and Prepare Annual TSP documents taking into account various sources of funding
- v. Examine various on-going schemes and their budgetary allocations and suggest new schemes on the basis of assessment and discussions with the concerned line Departments
- vi. Suggest strategic measures, set target-oriented specific socio-economic indicators for various programmes/schemes in consultation with the line departments;
- vii. Grant approval for introduction of new schemes.
- viii. Grant approval for re-appropriation of TSP funds from one department to another after mid-year review.

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- ix. Undertake scrutiny of the schemes/programmes submitted by the line departments to ensure that (i) concerned departments are providing for STs in their budget and plans funds and guidelines to the same extent as is available to other populations, in proportion to their requirement, (ii) that only those schemes/programmes, that full-fill the criteria of securing direct benefits to ST individuals, households and localities and are aligned to the strategic objectives of TSP are included in the TSP. (iii) Service delivery standards under various departmental schemes are established and adhered to.
- x. Submit such proposals, with their evaluation, to the Executive Committee for appraisal.
- xi. Design a comprehensive monitoring framework with well-defined indicators
- xii. Co-ordinate progress of various schemes/ programmes.
- xiii. Device a mechanism for speedy transfer of funds directly to field formations under intimation to District Headquarters, instead of being routed through District Headquarters, by enforcing on them a system of accountability for effective utilization of the funds.
- xiv. Conduct evaluation to access the impact of schemes implemented under TSP, on the socio-economic conditions of STs on regular basis.
- xv. Ensure the follow up of the schemes implemented and maintenance of proper records on assets created under TSP in District/Block etc.
- xvi. Ensure that service delivery is standardized and adhered to in time-bound manner.
- xvii. Ensure transparency and accountability at all levels in the implementation of TSP schemes and dissemination of information electronically relating to schemes/programmes, allocation and expenditure along with physical targets and achievements in respect of each department and placing this information in public domain.
- xviii. Ensure that all the institutional mechanisms are established at various levels, i.e State, District, Block, Gram Sabha etc., as laid down in the guidelines.
- xix. Ensure that the gaps still remaining under the TSP financing pattern are highlighted for each ITDPs/ITDAs/MADA/Cluster/State level at the time of TSP financial allocations so as to facilitate the synchronization of the gap filling role of the Ministry's scheme SCA to TSP with the gaps identified in TSP.
- xx. Ensure that time bound action is initiated by various departments to meet the requirements of these guidelines.

### 1.3 Perspective Document and Annual Plans

The States/UTs shall prepare a comprehensive perspective TSP document, taking into account all available sources of funding, to serve as a road map for implementation. Funds available for TSP under Central Sector and Centrally Sponsored Schemes as well as State Plans and Central Plans shall be pooled for the purposes of planning for TSP.

This perspective document shall, inter-alia, reflect on:

- i. Strategy to address the gaps and deficits in terms of relevant schemes taking into consideration the strengths of the tribal's community, allocation of funds, fixing physical targets to address inter-tribal and inter-habitation variance /inequalities in their socio-economic status and equity based approach. The needs of the Particularly Vulnerable Tribal Groups (PTGs) will be accorded priority with focused approach and special

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- attention to improve their conditions of food security, health and education for mainstreaming these sections.
- ii. The strategy should define priorities for the TSP with a focus on long-term sustained gains in relation to area development.
  - iii. Likely flow of benefits, in financial as well as physical terms, and specific steps required for accessing benefits by the tribals from each of the national (and State) level Flagship Schemes.
  - iv. Role and contribution of NSTFDC and State level STFDC and TRIFED etc.
  - v. Critical evaluation to assess whether the ongoing schemes/ programmes have the potential to accelerate the pace of development of STs and result in bridging the gap in development in a time-bound manner.
  - vi. Mechanisms/surveillance system to ensure utilization of funds meant for the intended purpose.
  - vii. Evaluation as to how TSP has and is likely to help the STs in respect of the following key areas concerning STs:
    - a) Prevention of land alienation and indebtedness
    - b) Access and control over forest and effective implementation of FRA and PESA, wherever applicable
    - c) Involuntary displacement due to development projects, proper rehabilitation
  - viii. Outcome Analysis with critical evaluation of implementation strategies in terms of effectiveness of schemes/programmes.

The States/UTs shall break up the **Perspective Plan into doable annual Plans** and accordingly prepare annual plan documents taking into account all available funds during the year, including Centrally Sponsored Schemes.

#### 1.4 Selection of schemes/programmes

The TSP should include only such existing schemes (including additional components to existing schemes) or new proposed schemes, which full-fill following criterion:

- a. Provide clearly defined direct and quantifiable benefits to ST individuals or Scheduled Tribe households or Tribal areas the benefit provided to the STs along-with other people at a particular time may not be treated as direct benefit under TSP.
- b. Create the potential to accelerate the pace of the development of STs and to bridge the gaps in socio-economic development indicators between STs and other sections of the society
- c. The focus of such schemes should be on education, income generation, improving access to irrigated land, entrepreneurship, employment and skill development projects and access to basic amenities.
- d. Have in-built mechanisms/surveillance system to ensure utilization of funds meant for the intended purpose.

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### 1.5 Earmarking/ Allocation of funds

Nodal Departments shall ensure that concerned departments are providing for STs in their budget and plans funds and guidelines to the same extent as is available to other populations, in proportion to their requirement.

Approval of Planning Commission may not be accorded to State Plans if funds are not earmarked under TSP, in proportion to the population of STs in State.

State governments should ensure that TSP funds are placed **under the control of the Nodal Department.**

Funds shall be earmarked/ allocated to the TSP subject to the following conditions:

- i. The expenditure under TSP is meant only for filling the development deficit, as an additional financial support, **over and above the normal provisions which should be available to STs, like others**, in various schemes, including in flagship programmes.
- ii. The funds under TSP are earmarked from the total plan outlays (not excluding the investments under externally aided Projects-EAPs and any other scheme), not less than the population proportion of STs in State as per 2011 Census and in tune with problem share of the ST population..
- iii. The funds should be earmarked well in advance, at least six months, prior to commencement of the financial year. The size of the TSP fund thus earmarked shall be communicated to all departments for commencing process of preparation of TSP of each department.
- iv. There shall not be any notional allocations, that don't have flows/schemes directly benefiting STs.
- v. Special attention shall be paid to allocate more funds to STs residing in the Scheduled Areas.
- vi. Due to physical remoteness and difficult terrain of tribal habitations, financial norms may need to be higher in tribal areas as compared to general areas. This should be ensured so that service standards in ST areas are not compromised.
- vii. Every State/UT shall undertake skill mapping and allocate funds under TSP for skill development of tribal youth and set targets in the light of the monitorable targets under poverty and employment in the 12th Five Year Plan. The target under 12th Five Year Plan is to generate 50 million new work opportunities through skill development.
- viii. The synergy of inter-sectoral programmes and an integrated approach/convergence with other schemes/programmes are ensured for efficient utilization of resources.
- ix. The departments, in consultation with Nodal Department, shall prepare the TSP to promote equity in development among various social groups within STs.
- x. To ensure non-divertibility, funds under TSP shall be earmarked under a separate Minor Head below the functional major Head/Sub-Major Heads
- xi. The TSP funds, under Minor Head shall comprise sector-wise and scheme-wise allocations and actual expenditures incurred
- xii. To ensure effective and optimum use of resources, the re -appropriation of TSP funds from one Department to another Department should be facilitated after mid-year review.

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Appropriation of TSP funds from one Department to another Department shall be with the approval of the Nodal Department.

- xiii. The State government may device a mechanism for speedy transfer of funds directly to field formations under intimation to District Headquarters, instead of being routed through District Headquarters, by enforcing on them a system of accountability for effective utilization of the funds.

**1.6 Norms for allocation**

There should be no division of the total Plan outlay into so-called divisible and non-divisible components, with the TSP being confined to the divisible outlays alone. Norms to be followed for allocation of the cost of a scheme to the Tribal Sub-Plan are given in table below.

**Table : Norms for allocation of cost of a scheme to TSP**

Sl No	Type of Scheme	Cost to be allocated and accounted for under TSP
1.	Exclusively for ST individuals or ST households,	100%
2.	For Scheduled Tribes habitations	100 %
3.	Benefiting mixed habitations	In proportion of the population of the STs in the habitation.
4	General schemes benefiting ST individuals or ST households, along with others	In proportion to the Scheduled Tribe beneficiaries actually covered.
5.	non-divisible infrastructure works	estimates of likely benefits that may flow to STs may be shown as likely flow to TSP.
6.	For area based development projects/activities	25% in respect of the States/UTs having upto 10% ST population.
7.	Reimbursement of fee for higher education in self -financed private institution	To be fully met from TSP fund

The schemes that follow other norms shall be recommended by concerned agency in the departments and aggregated for placing before the Minister, Tribal Welfare Department of State for consideration and approval as a pre-budget process.

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### 1.7 Establishing Standards for Service Delivery

For the TSP to succeed in its avowed objective of filling critical gaps in the development of STs within a defined time frame, it is necessary that minimum acceptable standards of service delivery in each are established and enforced across sectors, across geographies. At present the rigor and quality of existing service delivery varies greatly from State to State and also within States, between districts/ ITDPs etc. The Nodal department must ensure that all line departments establish these standards of service delivery and strictly monitor their enforcement. The Nodal Department, in concert with the concerned line department, must ensure that the minimum standard of service delivery is maintained at all levels for activities undertaken through TSP. For example, in case of education at elementary level the minimum standards as stipulated under the RTE Act should be the benchmark. For Secondary level and above, the State specific norms are to be followed. The efforts should be made to improve upon the existing standards through innovative exemplar practices. The standards are to be maintained in infrastructure development, teacher training, Meals, support to students and support to teachers.

Similarly, for health sector, it must be ensured that the services being delivered through the TSP are meeting standard requirement and not inferior to similar services being provided to other categories. It is also emphasised that the children in Ashram Schools and Hostels are provided with adequately diverse diet rich in essential nutrients with the appropriate frequency to ensure their optimal physical growth and cognitive development. A periodic health check-up of these children is conducted as per the guidelines of RBSK, NRHM.

A robust monitoring system to monitor the standards of service delivery is therefore, a non-negotiable requirement. States/UTs must put in place a system for regular monitoring of standards of service delivery.

### 1.8 Formulation of TSP

The State, after estimating the gaps in the development of Scheduled Tribes, will prioritize their development needs through a consultative process, and shall formulate the TSP schemes and prepare the TSP within the State Annual Plan and Five Year Plan.

In the formulation of TSP, the States/UTs shall proceed as follows:

- i. TSP should be formulated at the District level by the District Planning and Monitoring Committee (DPMC).
- ii. The DPMC must reflect on the actual demand for the schemes/programmes that are to benefit STs, giving priority to equity aspect of their local aspirations and socio-economic backwardness.
- iii. The annual plan must be approved by the District Planning Committee so that it has the approval of the highest PRI.
- iv. In case of area-oriented schemes, a Block level approach should be adopted so as to facilitate the inclusion of ST habitations which remain uncovered under District level approach.
- v. The TSP at ITDP/ ITDA/ District level should form the basis for the State TSP formulation and implementation. The requirement of funds across

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- DPMC proposals put together would generate demand for TSP requirement at the State level.
- vi. In the States having Scheduled Areas, the Gram Sabhas should undertake an exercise to identify the areas needing priority attention in villages. These priority activities may form TSP at cluster/MADA/ ITDP/ITDA level.
  - vii. To prepare a realistic budget, matching sectoral priorities and actual budgetary flow, the Nodal department should consult all related Departments to :
    - a. identify priority-areas under TSP
    - b. examine various on-going schemes and their budgetary allocations and
    - c. suggest new schemes.
  - viii. The approval of the Nodal Department is mandatory for introduction of new schemes.
  - ix. Service delivery should be standardized and adhered to in time-bound manner.
  - x. To facilitate the synchronization of the gap filling role of SCA to TSP, gaps still remaining under the TSP financing pattern must be highlighted for each ITDPs/ITDAs/MADA/Cluster/State level at the time of TSP financial allocations.

### 1.9 Appraisal and Approval

The Plans prepared by the various departments of States/UTs should have a stringent appraisal process and only those plans/programmes that pass this appraisal should be included in the Annual TSP of the State/UT. The following steps shall be adopted in the appraisal and approval process:

1. Schemes/programmes submitted by line departments will be scrutinized by the Nodal Department to ensure that (i) only those scheme/programmes, which full-fill the criteria of securing direct benefits to ST individuals, households and localities and are aligned to the strategic objectives of TSP are processed/cleared; (ii) service delivery standards under all concerned schemes are established for all levels of delivery
2. The Nodal Department will submit such proposals, with their evaluation, to the Executive Committee for appraisal.
3. The Executive Committee shall undertake appraisal of the perspective document and the TSP schemes submitted by the departments for inclusion in Annual TSP. Appraisal shall involve a critical analysis of the following:
  - a. Extent of gaps and extent to which the proposed schemes will bridge it.
  - b. Are the benefits quantifiable?
  - c. Whether the Departments have the institutional capability for

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- effective implementation of TSP or have a plan to create such institutional capabilities.
- d. Whether the Departments have institutionalized control over local plans and resources for TSP in the Gram Sabhas in the Scheduled Areas.
  - e. Whether the required monitoring/tracking and outcome evaluation mechanism has been established.
4. The Appraisal Report of the Executive Committee will be considered by the Apex Level Committee (ALC) for approval..

#### **1.10 TSP Monitoring**

The Nodal Department will co-ordinate progress of various schemes/ programmes and design a comprehensive monitoring framework with well-defined indicators, covering provisioning, service delivery standards as well as outcomes.

The concerned line departments will specifically monitor TSP progress and performance within their regular monitoring mechanisms at all levels. Nodal department will monitor progress for review by the Executive Committee.

The quarterly Performance Review report of the State TSP should be communicated to the TSP Unit, Planning Commission as well as Ministry of Tribal Affairs through online/e-mail system.

#### **1.11 Institutional Arrangements**

To effectively discharge its mandate, the Nodal Department will be adequately strengthened through technical support group, knowledge leadership, analytical functioning in areas pertaining to strategic planning, demand assessment, gap analysis, long-term impact of schemes/programmes and collection of related data for evidence-based planning and decision making, capacity building at all levels etc. The State government may provide an appropriate percentage of TSP allocation towards evaluation and monitoring activities, after optimal utilization of their existing resources, including manpower.

The States/ UTs shall establish the following institutional structures and mechanism for effective formulation, implementation and monitoring of TSP.

##### **State Level**

1. **Apex Level Committee (ALC)** or a Tribal Advisory Council with the Chief Minister as Chairperson and Minister of the Nodal Department as Vice-chairman.

##### **Key functions:**

- a. To formulate policies relating to TSP
- b. To approve perspective TSP document and Annual TSP Plans
- c. To suggest measures for proper planning and implementation of the schemes by the departments

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To monitor progress of TSP so as to take timely corrective measures for improving performance of the departments

The APC/TAC will meet once in six-months.

2. **Executive Committee** with the following composition:

Chief Secretary- Chairperson

Secretaries of all line departments - Members

Secretary of Nodal department – Member-Secretary,

**Key functions:**

- a. Appraisal of the perspective TSP document and Annual Tribal Sub-Plan
  - b. Monitoring implementation of Annual TSP Plans
  - c. Evaluation of implementation of Annual TSP Plans.
- The Executive Committee shall submit its report on the above matters and emerging issues to the ALC/TAC

The Executive Committee will hold its meetings every three months

**District Level**

District Planning and Monitoring Committee (DPMC) with following composition:

Dy. Commissioner /District Collector- Chairperson

Project Officers of ITDP/ITDA – Secretary

District level officers- Members

The DPMC shall also have representation from local legislative and parliamentary constituencies.

**Key functions:**

- a. Formulate TSP at the District level.
- b. Get it approved by the District Planning Committee.
- c. Review the implementation of Tribal Sub-plan every month.
- d. Communicate the quarterly Performance Review Report to the Executive Committee

**Gram Panchayat Level**

Gram Panchayat shall review the implementation of TSP/MADA/cluster programmes in the villages on a monthly basis and forward the report to the DPMC through on-line system.

**Gram Sabha Level**

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Gram Sabha shall also review the implementation of TSP/MADA/cluster programmes in the villages in the Scheduled Area at periodic intervals.

### **Social Audit**

The States/UTs shall set up its own *Social Audit Programme* with the involvement of elected representatives, beneficiaries and reputed voluntary organizations/NGOs/CSOs. Even within the geographical boundaries of the Gram Sabha, as tribal habitations are scattered at large distances, States/UTs shall design social audit programmes such that these are undertaken at the level of the ST cluster or habitation. States/UTs shall undertake to develop adequate capacities amongst the inhabitants of the cluster/habitations.

#### **1.12 Transparency and Accountability**

The States/UTs shall make their Nodal departments responsible for ensuring transparency and accountability at all levels in the implementation of TSP schemes and for placing in the public domain information relating to schemes/programmes, allocation, expenditure, physical targets and achievements in respect of each department.

Further, the following measures shall be taken:

- a. Each department of the State/ UT shall host relevant documents, as decided by the nodal department, in the public domain.
- b. The Nodal Department may ensure the follow up of the schemes implemented and maintenance of proper records on assets created under TSP in District/Block etc.
- c. States may devise some parameters indicating performance in implementation of TSP for key field functionaries.

■ The States/UTs shall establish a web enabled MIS with software engineered data to make all information regarding release of funds and expenditure against each scheme/programmes, physical progress, etc to be equally accessed by and monitored in public domain and for faster information exchange between the various stakeholders through the network.

#### **1.13 Outcome Evaluation**

The following measures will be taken for effective evaluation of schemes under TSP:

- a. A Bench Mark Survey (BMS) shall be undertaken at grass root level in each State/UT to ensure that the delivery of benefits under TSP reach STs. It should reflect benefits already drawn, socio-economic status of STs, occupational category, availability of basic amenities etc. It shall be conducted on a continuing basis to reflect the impact as measurable indications of socio-economic upliftment and change.
- b. The State Tribal Research Institutions should be involved in the process. The consultation with the civil society organizations may also be exercised.
- c. Evaluation studies on TSP shall be undertaken to oversee not only the implementation and monitoring of utilization of funds under TSP but also the evaluation of the programmes/schemes under TSP and ultimately their impact on the upliftment of socio-economic conditions of the tribals.

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- d. The State Commissions for Scheduled Tribes will be strengthened and mandated to get independent evaluations of TSP conducted at the State/District/Project level.

**1. Manpower Planning, Training and Orientation**

The States/UTs shall strengthen their Nodal and implementing departments in the field to effectively discharge their mandate with regard to implementation, monitoring and evaluation of the TSP.

States/UTs shall establish Technical Support Group and TSP Research Cells at Nodal departments as well as in line departments. The key function will be to assist the nodal and line departments for strategic planning, demand assessment, gap analysis, assessment of long-term impact of schemes/programmes and collection of reliable data for evidence-based planning and decision making.

The capacity building of the personnel at all levels shall also be taken up on priority for yielding the desired outcomes under TSP. Training and orientation should involve strategic planning and project management so that the problems faced by the tribals and their point of view are addressed in the formulation and implementation of TSP.

States/UTs shall provide a field manual in regional languages for use by field officers to facilitate effective implementation and monitoring of various schemes/programmes.

**2. Creation of general awareness of TSP schemes**

State Governments shall take initiatives to generate awareness among the general public about the schemes to be implemented/being implemented for the development of STs by the different departments of the State Governments through electronic and print media.

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