

**Task Force to Review
Guidelines on
Scheduled Castes Sub-Plan
& Tribal Sub-Plan
Recommendations**

To

**Revise Guidelines for
Implementation of Scheduled Castes Sub-Plan &
Tribal Sub-Plan
by
Central Ministries/Departments**

**Government of India
Planning Commission
25th November, 2010**

DR. NARENDRA JADHAV
MEMBER
PLANNING COMMISSION
GOVERNMENT OF INDIA



YOJANA BHAWAN
PARLIAMENT STREET
NEW DELHI - 110001
Tel.: 011-2309 6566
Fax: 011-2309 6567
E-mail: dr.ndj@nic.in
drnarendra.jadhav@gmail.com

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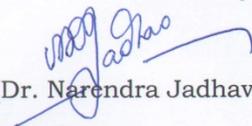
Dear Montekji,

I am pleased to submit the First Report of the Task Force to Review Guidelines on Scheduled Castes Sub-Plan (SCSP) and Tribal Sub-Plan (TSP) of which I was privileged to Chair. This First Report deals with SCSP and TSP in the context of Central Ministries; the Second Report to be issued shortly will cover the States/Union Territories. The Task Force had extensive consultations with the Central Ministries/Departments as well as NGOs and experts working in this area, besides grass root level assessment reviewing implementation of the SCSP and TSP in two Districts viz., Kanchipuram in Tamil Nadu and Koraput in Orissa. The First Report has identified the Central Ministries/ Departments in terms of their obligation to earmark allocation in proportion to the population of Scheduled Castes and Scheduled Tribes into four Categories: I) No Obligation; II) Earmarking outlays less than 15% for SCs and 7.5% for STs; III) Earmarking outlays between 15% - 16.2% for SCs and 7.5% - 8.2% for STs; IV) Earmarking more than 16.2% for SCs and more than 8.2% for STs. It is expected that these recommendations would be operationalized and made effective from 2011-12. The Department of Expenditure, Ministry of Finance, has already issued Budget Circular 2011-12 to all the Central Ministries/Departments to open a separate Budget Head in their Demand for Grants by opening a minor head "Special Component Plan for Scheduled Castes" Code '789' for SCSP and a minor head 'Tribal Sub Plan' Code '796' below the functional major/sub-major heads whenever necessary.

On behalf of the Members of the Task Force I express my deep sense of gratitude to Hon'ble Prime Minister for giving us this opportunity and to you for your valuable guidance from time to time. We hope that the recommendations made in the Report shall be accorded due consideration.

I, once again, thank you for facilitating the entire process of accomplishing the task.

Yours Sincerely,


(Dr. Narendra Jadhav)

Shri Montek Singh Ahluwalia
Hon'ble Deputy Chairman
Planning Commission
New Delhi - 110 001

Website: <http://www.drnarendrajadhav.info>

Prologue

The Planning Commission set up a Task Force to Review Guidelines on Scheduled Castes Sub-Plan (SCSP) and Tribal Sub-Plan (TSP) in June, 2010 under the Chairmanship of Dr. Narendra Jadhav, Member, Planning Commission. The terms of reference of the Task Force were: i) to re-examine and revise the extant Guidelines issued by the Planning Commission for implementation of SCSP and TSP; ii) to understand the operational difficulties in consultation with implementing Ministries and suggest remedial action so that SCSP and TSP can be implemented effectively. The Task Force comprised Union Secretaries of Nodal Ministries of Social Justice & Empowerment and Tribal Affairs, State Secretaries dealing with Scheduled Castes and Scheduled Tribes from Gujarat, Madhya Pradesh, Maharashtra and Tamil Nadu. The Task Force also had Special Invitees from Ministry of Statistics & Programme Implementation, Ministry of Finance and National Advisory Council.

The Task Force held a number of meetings to discuss the issue of revising the Guidelines. Consultations were also made with Central Ministries/Departments so as to ascertain the feasibility of earmarking of SCSP and TSP outlay in proportion to the population percentage of Scheduled Castes and Scheduled Tribes as per Census 2001. In the process of consultation it emerged that 68 Ministries/Departments can be grouped into four categories: I) No Obligation; II) Earmarking less than 15% for SCs and 7.5% for STs; III) Earmarking outlays between 15% - 16.2% for SCs and 7.5% - 8.2% for STs; IV) Earmarking more than 16.2% for SCs and 8.2% for STs. The details of categorization of the Central Ministries/Departments are given in Annexure VII and VIII.

The Department of Expenditure, Ministry of Finance, has already issued Budget Circular 2011-12 to all the Central Ministries/Departments to open a separate Budget Head in their Demand for Grants by opening a minor head "Special Component Plan for Scheduled Castes" Code '789' for SCSP and a minor head 'Tribal Sub Plan' Code '796' below the functional major/sub-major heads whenever necessary.

The Task Force received full support of the Nodal Ministries of Social Justice & Empowerment and Ministry of Tribal Affairs and from Special Invitees. I wish to place on record my appreciation and gratitude to Shri K.M. Acharya and Shri A.K. Chugh, Secretaries of these Ministries and their teams. I also thank Shri G.B. Panda, Member-Secretary of the Task Force and Adviser (SJ) and Smt. Roohi Siddiqui, Deputy Adviser (SCSP and TSP), Planning Commission for their valuable inputs and support while completing this task.



Dr. Narendra Jadhav
Chairman, Task Force
and
Member, Planning Commission

Planning Commission

Task Force to Review Guidelines on SCSP & TSP

Recommendations **to Revise**

Guidelines for Implementation of SCSP & TSP by **Central Ministries/Departments**

1. Background

The strategy of Tribal Sub-Plan (TSP) is in force since 1974, to ensure adequate flow of plan resources for the development of Scheduled Tribes while the strategy of Scheduled Caste Sub Plan (SCSP) (earlier known as Special Component Plan for Scheduled Castes) is in force since 1979-80, to ensure proportionate flow of plan resources for the development of Scheduled Castes. The current name, i.e. Scheduled Caste Sub Plan (SCSP) is in force since 2006. The Prime Minister, in his address to the 51st Meeting of the National Development Council on 27.6.2005, had *inter alia*, stated as follows:

“If the benefits of growth have to reach all sections of our diverse society, there is a need to equip them with the necessary skills and resources to become active participants in growth processes. This is the only way of achieving our dream of an inclusive, prosperous society. In the mid-1970s, the Special Component Plan and the Tribal Sub-Plan were initiated. Tribal Sub- Plans and Special Component Plans should be an integral part of Annual Plans as well as Five Year Plans, making provisions therein non-divertible and non-lapsable, with the clear objective of bridging the gap in socio-economic development of the SCs and STs within a period of 10 years”

2. Existing Guidelines for Central Ministries regarding SCSP & TSP

2.1 Guidelines on formulation, implementation and monitoring of SCSP & TSP have been issued by the Planning Commission from time to time. Consolidated guidelines in this regard were last issued to 62 Central Ministries/Departments in December, 2006, for the implementation from the Annual Plan, 2007-08. A copy of the guidelines, and of the relevant covering letter dated 26.12.2006 of the Planning Commission are enclosed as **Annexure-I**. Gist of these guidelines is as follows:

2.2 **Earmarking:** The 62 Central Ministries/Departments addressed as above, are, *inter alia*, required to:

- a) earmark funds under SCSP/TSP from the Plan outlay, at least in proportion of percentage of SC and ST population in the country, which was 16.2% and 8.2% respectively, as per census, 2001.
- b) place the funds earmarked for SCSP under a separate Minor Head '789' and for TSP under Minor Head '796' below the functional major Head/Sub-Major Heads to ensure their non-divertibility to any other scheme.

2.3 **Criteria for Categorization of Outlay/Expenditure under SCSP:** The guidelines lay down the following criteria in this regard:

- a) Only those schemes should be included under SCSP/TSP which ensure **direct benefits** to individuals or families belonging to scheduled Castes and Scheduled Tribes
- b) Outlay for area oriented schemes directly benefiting scheduled castes hamlets/villages having more than 40% scheduled Castes and Scheduled Tribes population shall be included in SCSP & TSP

2.4 **Monitoring Mechanism:**

- (i) A dedicated unit may be constituted in every Central Ministry/Department for the welfare and development of SCs (and STs) as nodal unit for formulation and implementation of SCSP (and TSP). The nodal unit should be responsible for ensuring that the funds will be allocated to the sectoral unit in the Departments to implement the schemes directly relevant for SC (and ST) development
- (ii) A Central Tripartite Committee (CTC), constituted in the Planning Commission in 1999 under the Chairmanship of Member (BCW), to review the implementation of SCSP (and TSP) and to resolve policy issues in respect of Central Ministries/Departments and State Governments. A copy of the Planning Commission's Office Order dated 16.1.2006 constituting the CTC is enclosed as **Annexure-II**.

3. Status of Implementation of Existing Guidelines

3.1 Implementation of the above guidelines has remained inadequate. Hardly any Ministry is showing its SCSP/TSP outlays under a separate Budget Heads. Some Ministries are showing a notional earmarking, but the criterion followed in doing so is not uniform and transparent. Also, in the absence of this outlay being shown under a separate minor head (789 or 796, as the case may be), such notional earmarking does not have much significance, nor is its non-divertibility ensured. In the absence of separate earmarking and budgeting of funds under SCSP/TSP by Central Ministries/Departments, it is not possible, as of now, to quantify the total amount allocated and/or spent by the Central Government under SCSP/TSP. The SCSP and TSP strategies thus remain substantially un-implemented at the level of the Central Ministries/Departments mainly due to lack of an effective mechanism in this behalf.

3.2 Some indication of Central Government allocation on schemes of SCs and STs is available from Statement 21 of the Expenditure Budget (Volume I). This statement gives information about allocations under schemes that are substantially meant for SCs/STs, in the following two parts:-

- i. Schemes in which there is 100% provision for SCs/STs, and
- ii. Schemes where at least 20% of the allocation is earmarked for SCs/STs.

3.3 The above Statement 21 of the Expenditure Budget clubs allocations for SCs and STs. From Part A of the statement, which details schemes in which there is 100% provision for SCs/STs, it appears that, other than allocations under the schemes of the Ministries of SJ&E and Tribal Affairs, only a miniscule allocation is exclusively for SCs/STs.

3.4 Planning Commission has been insisting upon Central Ministries/Departments to properly implement its guidelines regarding SCSP/TSP. Response of the Central Ministries/Departments has however not been encouraging. The Parliamentary Committee on the Welfare of SCs & STs, during oral evidence of Secretaries of Planning Commission and the Ministry of Social Justice & Empowerment on the working of SCSP, on 10th September, 2009, and during oral evidence of Secretaries of Planning Commission and the Ministry of Tribal Affairs on the working of TSP on 11.01.2010 and 09.02.2010, had also expressed serious dissatisfaction at the non-implementation of SCSP/TSP guidelines by Central Ministries/Departments.

3.5 In view of the lack of progress in implementation of SCSP and TSP by Central Ministries/Departments, the Ministers of SJ&E and Tribal Affairs vide letters dated 14.11.2009 and 8.10.2009 respectively conveyed certain concrete suggestions to the Deputy Chairman (**Annexures III and IIIA**).

3.6 The Planning Commission subsequently constituted a Task Force under the Chairmanship of Dr. Narendra Jadhav, Member, vide Order dated 04.6.2010 (**Annexure-IV**), to review the operational difficulties in implementing SCSP & TSP and suggesting necessary remedial measures through re-examining the existing Guidelines and revising the same appropriately for their effective and meaningful implementation in future.

4. Consultative Process followed by the Task Force

4.1 The Task Force, apart from its own meetings, held wide ranging consultations with various stakeholders, as per details given below:

- (i) Two Meetings with representatives of concerned Central Ministries/ Departments
- (ii) Two Meetings with representatives of Ministry of Finance
- (iii) Consultations with NGOs and Experts working in the area of SC and ST development
- (iv) Meeting with Principal Advisors/ Sr. Advisors/ Advisers in-charge of relevant Subject Divisions in the Planning Commission
- (v) Consultations with District level officials regarding implementation of SCSP/TSP at the district/block and village levels during visits of selected Members of the Task Force in one each of SC and ST concentration districts.

4.2 Details of the meetings of the Task Force, and the discussions/ consultations held by its Delhi-based members with various stakeholders are given in **Annexure-V**

5. Recommendations for Implementation of SCSP & TSP from the Financial Year, 2011-12, by Central Ministries/ Departments

The subject being a complex one requires detailed examination and deliberations. Also, there are commonalities as well as differences between implementation of SCSP/TSP at the Central and State levels. Since the problem is more acute at the Central level, the Task Force is, in the first instance, recommending that, from the financial year 2011-12, substantial reforms be introduced in the SCSP/TSP system, for Central Ministries/Departments, which can be further refined from the XII Five Year Plan commencing in 2012-

13. Accordingly, the Task Force makes the following recommendations for immediate implementation.

5.1 Scope

5.1.1 The proposed recommendations are limited to the Central Sector Plan Outlay of Ministries/Departments as indicated in Statement 12 of the Expenditure Budget (Volume I). They do not cover Central Plan Assistance (CPA) for State and UT Plans, as reflected in Statement 16 of the Expenditure Budget (Volume I) because it forms part of State Plans. The Task Force, however, notes that the Heads under which the CPA is reflected in Statement 16 for 2010-11, can be classified in the following two categories:

Category 1: Heads under which central assistance is voted as Transfers to State Governments under Demand No. 35 of the Ministry of Finance

Category II: Heads under which it is voted as central assistance to State Plans under the Demand for Grants of the respective Ministries.

5.1.2 Classification of various Heads under which central assistance is provided in Statement 16 of the Expenditure Budget (Volume I) for 2010-11, in the above two categories is given in Table 1:

Table 1: Classification of Heads for Central Assistance for States Plans

(Amounts in Crore Rs)					
S No	Category I	BE- 2010-11	S No	Category II	BE- 2010-11
1	Normal Central assistance	21728.00	1	SCA for TSP	960.50
2	ACA for EAPs	9551.25	2	Grants under Article 275(1)	1046.00
3	ACA for other Projects	1000	3	SCA to NEC	700.00
4	SCA – Hill Areas	272.00	4	MPLAD Scheme	1580.00
5	SCA- Border Areas	635.00	5	Assistance from NLCPR	800.00
6	Special Plan Assistance	4500.00	6	Bodoland Territorial Council	50.00
7	AIBP and other water resources programme	11500.00	7	Roads and Bridges from CRF	1819.17
8	NSAP including Annapurna	5710.00	8	BRGF – District Component	5050.00
9	National e-Governance Action Plan (NEGAP)	190.00	9	RKVY	6722.00
10	BRGF – State Component	2250.00			
11	JNNURM (five Components)	11619.00			
12	ACA for Drought Mitigation in Bundelkhnad Region	1200.00			
	Total	70155.25			18727.67

5.1.3 Prima facie, earmarking under SCSP/TSP should apply to at least the following of the above mentioned schemes figuring in Statement 16:

1. Accelerated Irrigation Benefit Programme (AIBP) and other Water Resources Programmes
2. Jawaharlal Nehru National Urban Renewal Mission (JNNURM)
3. National Social Assistance Programme (NSAP) including Annapurna
4. Backward Regions Grant Fund (BRGF) – State and District Components
5. MPs Local Area Development (MPLAD)Scheme
6. Rashtriya Krishi Vikas Yojana

However, the Task Force feels that this matter requires further examination, and is therefore, for the present, limiting its recommendations to the Plan outlay figuring in Statement 12 of the Expenditure Budget (Volume I).

5.2 Proposed Criteria for categorizing Plan Expenditure under SCSP & TSP

5.2.1 Plan outlay and expenditure falling under the following two broad categories will be eligible for being classified in SCSP/TSP:-:

- (i) Expenditure on Poverty Alleviation and individual beneficiary oriented schemes, e.g. MNREGA, IAY, NRLM, SGSRY, PMEGP etc., and
- (ii) Expenditure on other schemes which is incurred in:
 - a) SC and ST concentration areas respectively, i.e. in the villages, blocks and districts having more than 40% SC/ST population respectively, and largely benefiting such villages, blocks and districts, and
 - b) in other areas, but which demonstrably benefits SCs/STs respectively

5.2.2 The **extent** to which plan expenditure in the above mentioned categories may be classified under SCSP/TSP may be determined on the basis of:-

- (i) the extent of coverage of SCs/STs respectively, in poverty alleviation and beneficiary-oriented schemes (actual coverage in the case of ongoing schemes, and estimated coverage, in the case of new schemes),
- (ii) (a) all plan expenditure under other schemes in SC/ST concentration areas respectively to the extent its benefits go to such areas only, and
- (b) Plan expenditure in ‘other schemes’ in non-SC/ST concentration areas, to the extent the schemes demonstrably benefit SCs/STs respectively.

Wherever flow of benefits of a scheme to SCs/STs, to some extent, is not in doubt but its quantification, based on hard data, is difficult, the appropriate extent for each such project/institution/scheme may be determined by the Central Tripartite Committee, referred to in para 2.4.

5.2.3 Following from the above broad principles, detailed criteria for categorization of plan expenditure under SCSP/TSP and the extent to which this may be done, with reference to some major schemes, are given in the Statement at **Annexure-VI**.

5.3 Classification of Ministries according to their obligation to earmark their plan outlay/expenditure under SCSP/TSP

5.3.1 Translating the criteria suggested in the preceding Para into practice, the Central Ministries/Departments, according to the extent of their Plan funds which they may be expected to earmark under SCSP and TSP, will fall under the four categories, listed below, in Table 2.

Table 2: Classification of Ministries according to their obligation to earmark their plan outlay/expenditure under SCSP/TSP

Category	Nature of the Ministries/ Departments falling in the category	Extent of Obligation to Earmark Funds under	
		SCSP	TSP
I	Ministries/Departments, which are engaged in regulatory functions, basic scientific research, addressing specific target groups other than SCs (or STs), implementing large infrastructure projects, whose benefits to SCs/STs may be difficult to quantify, or largely engaged in policy making and running central organizations without any significant beneficiary orientation may not be obliged to earmark plan funds under SCSP and TSP. However, they will be encouraged to formulate and implement schemes aimed at benefiting SC/ST, and SC/ST concentration areas.	Nil	Nil
II	Ministries/Departments, which mainly belong to Category I but which also implement some beneficiary oriented schemes, may be expected to earmark less than 15% and 7.5% of their Annual Plan outlay under SCSP and TSP respectively.	0-15%	0-7.5%
III	Ministries/Departments, which mainly implement beneficiary oriented schemes in the	15 - 16.2%	7.5 – 8.2%

	primary sector (agriculture, animal husbandry etc), higher education, skill development etc may be required to earmark 15 to 16.2% of their plan outlay under SCSP and 7.5 to 8.2% under TSP (15% or 7.5% will, for example, apply to plan expenditure on institutions having 15% or 7.5% reservations for SCs and STs respectively)		
IV	Ministries/Departments, which are implementing Poverty Alleviation and Social Sector programmes/schemes of major relevance for the development of SCs/STs, may be required to earmark more than 16.2% of their plan outlay under SCSP and 8.2% under TSP	> 16.2%	> 8.2%

In regard to inclusion of Ministries/Departments implementing large infrastructure projects in Category I, this is not because no benefits of such projects flow to SCs and STs, whatsoever. Nevertheless, these are being recommended for inclusion in Category I because:

- a) Quantification of flow of their benefits to SCs or STs is difficult, and
- b) Even more importantly, the “equalization” objective of the SCSP and TSP strategy, as spelt out in the PM’s address quoted in para 1 above, would imply that unless a Scheme can be seen as directly contributing to that objective, expenditure on it may not be classified under SCSP and TSP.

5.3.2 Applying the criteria given in para 5.2 in a Ministry-wise, scheme-wise manner, classification of Ministries/Departments into the four categories under SCSP and TSP mentioned above as done by the Task Force after detailed examination and consultations, are given in **Annexures-VII** and **VIII** respectively. It is noteworthy that as per the existing guidelines, all Ministries/Departments are required to earmark 16.2 per cent of their plan outlay under SCSP, but in the new system proposed, only 25 Ministries/Departments would be required to earmark varying percentages of their plan outlays under SCSP, so however that, overall, at least 16.2% of the total plan outlay figure in Statement 12 still gets earmarked under SCSP. Similarly, only 28 Ministries/Departments would now be required to earmark varying percentages of their plan outlays under TSP, so however that, overall at least 8.2% of the total plan outlay gets earmarked under TSP.

5.3.3 An abstract of the number of Ministries/Departments falling in above categories, vis-à-vis SCSP and TSP are given in Table 3.

Table 3: An Abstract of the Number of Ministries/Departments falling in Four Categories, vis-à-vis SCSP and TSP and their corresponding Total Plan Outlays, 2010-11

S. No	Category	SCSP		Total Plan Outlay, 2010-11 of the Ministries/Departments in Col 4	TSP		Total Plan Outlay, 2010-11, of the Ministries/Departments in Col 7	
		Extent of Obligation to Earmark	Number of Ministries/Departments		Extent of Obligation to Earmark	Number of Ministries/Departments		
(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	
1	I	Nil	43	79,870.00	Nil	(33 + 7* ⁼) 40	74675.00	
2	II	≤ 15%	10	} 25	≤ 7.5%	13	} 28	44585.00
3	III	15 – 16.2%	09		7.5 – 8.2%	10		49764.00
4	IV	>16.2%	06		>8.2%	05		111576.00
		Total	68	2,80,600.00	Total	68	2,80,600.00	

*These seven Ministries/Departments have suggested no obligation for TSP. A view would need be taken at the time of finalization of their Annual Plans, 2011-12

5.4 Ministry-wise Targets for Earmarking Plan outlay, under SCSP

5.4.1 Applying the general principles laid down in para 5.2 to the schemes of concerned Ministries yields scheme-wise earmarking of funds under SCSP. Based on the scheme-wise exercise and after rounding off their percentages to the nearest integer (in most cases), an abstract of Ministry-wise targets recommended in percentage terms, for earmarking under SCSP from 2011-12 onwards is given in **Annexure IX**.

5.4.2 Total funds attributable to SCSP as per the above criteria, for 2010-11, and an estimate of additional funds required to meet the stipulated 16.2% allocation of plan funds under SCSP in 2011-12 are given below in Table 4:

Table 4: Funds Attributable To SCSP

(Amount in crore Rs)		
S. No.	Plan Outlays	Amount
1	Central Sector Plan Outlay, 2010-11	2,80,600.0
2	Plan Outlay Required to be Earmarked under SCSP at 16.2% of BE, 2010-11{0.162*Total Central Sector Plan Outlay, 2010-11}	45,457.0
3	Corresponding Outlay under SCSP applying the recommended percentages if Central Sector Plan Outlay, 2011-12 were to be the same as BE, 2010-11,	40,137.0
4.	Figures at S. No. 3 as percentage of S. No. 1	14.3%
5.	Additional Funds, which would need to be earmarked under SCSP, as per BE-2010-11, to reach stipulated SCSP figure of 16.2% [S. No (2) – S. No (3)]	5,320.0
6.	Additional funds which would need to be earmarked under SCSP to reach the level of 16.2%, if the central plan outlay in 2011-12 of each Ministry is higher than for 2010-11 to the extent of:-	
	i) 10%	Rs (5,320+532)= 5,852, or, say, Rs 5,900 crore
	ii) 15%	Rs (5,320+ 798)= 6,118, or, say, Rs 6,100 crore

5.4.3 It would thus be seen that in broad terms, the “gap” or the requirement of additional funds under SCSP so as to bring it to the level of 16.2% of total annual plan is of the order of Rs 6000 crore. The above estimated shortfall of Rs 6,000 crore in SCSP in 2011-12 will have to be met by introducing new SC oriented schemes or modifying existing ones. As this may not be possible before

finalization of Annual Plan and Budget for 2011-12, a lump sum provision may be made, to the extent of the shortfall calculated as per the above pattern, under the Demand for Grants of either (i) the Planning Commission, or (ii) the Ministry of Social Justice and Empowerment, in the Plan Budget of 2011-12 so as to attain the minimum stipulated percentage of 16.2%. On the whole, however, the Task Force feels that keeping the lump sum provision under the Planning Commission would be the better alternative, because, (a) allocation of plan funds is its responsibility, and (b) it is better placed to influence the Ministries having a potential to increase their SCSP outlay, to do so. After presentation of the Budget, the Planning Commission may invite proposals from suitable Ministries/Departments, having potential for additional SCSP outlays, for taking up SC oriented schemes against the above lump sum provision, and funds may be voted to the respective Ministries for schemes found appropriate, at the stage of the first Supplementary Grant for 2011-12, against the lump sum provision, initially made in the Planning Commission's budget.

5.4.4 Some of the new/modified schemes which may be considered for being so taken up include:

- (i) A new scheme of giving assistance to States for purchasing private land for allotment to landless SCs.
- (ii) Greater targeting of SCs under
 - a) Vocational Training and Skill Development Scheme of the Ministry of Labor and Employment,
 - b) Integrated Handloom Development Scheme of Ministry of Textiles,
- (iii) Increase in the subsidy under SCA to SCSP Scheme of Ministry of Social Justice and Empowerment, and
- (iv) Enhanced equity support to National Scheduled Castes Finance and Development Corporation (NSFDC),

5.5 Ministry-wise Targets for Earmarking Plan Outlay, under TSP

Suggested earmarking of funds under TSP is enclosed at **Annexure X**. Applying these percentages to BE, 2010-11, of the respective Ministries/Departments, total funds attributable to TSP comes to Rs 24,157 crore (including SCA to TSP shown under Statement 16 of Expenditure Budget, Volume I), which is 8.6% of the sum of {(i) Central Plan outlay, as reflected in Statement 12, and (ii) the figure of SCA to TSP}. Thus, earmarked funds under TSP, as per BE-2010-11, are seen to be slightly higher than the stipulated percentage of 8.2% of central sector plan outlay.

5.6 Placing of Earmarked Funds for SCSP under the Separate Budget Head '789' and for TSP under '796'

The Task Force pursued this matter with the Ministry of Finance, which, consequently, in its Budget Circular for 2011-12 has incorporated the following instructions:

“From 2011-12 Budget, the Planning Commission will be making separate allocations for the SC Sub-Plan/Tribal Sub Plan as part of the Plan allocations, and the same will also be indicated clearly in the Memorandum of Understanding signed between the Planning Commission and the concerned Ministry/Department. The Ministries/Departments for which such allocations are made by the Planning Commission as part of the Plan Agreement in Budget 2011-12, must ensure that the provisions are accurately reflected in the concerned Minor Heads relating to Scheduled Caste Sub-Plan and Tribal Sub Plan in their Detailed Demands for Grants by opening a minor head “Special Component Plan for Scheduled Castes” Code ‘789’ for SCSP and a minor head ‘Tribal Sub Plan’ Code ‘796’ below the functional major/sub-major heads whenever necessary, in terms of the instructions under Para 3.8 of the General Directions to the List of Major and Minor Heads of Accounts.”

5.7 Strengthening of Administrative Arrangements for Planning and Implementation of SCSP/TSP

Administrative mechanism in Central Ministries/Departments will need to be adequately strengthened so that they properly implement SCSP/TSP as per the recommendations outlined in para 5.1 to 5.6 above. The Task Force makes the following recommendations for administrative strengthening:

- (i) Nodal Units, to be headed by a Joint Secretary (Planning) or Economic Adviser should be set up in all Ministries/Departments, which have obligations to earmark under SCSP and TSP, with requisite full time supporting staff.
- (ii) Ministries/Departments having obligation of earmarking more than 16.2% under SCSP and/or more than 8.2% under TSP may have a full time Joint Secretary level officer to head the SCSP/TSP Unit.
- (iii) In the Planning Commission, the Social Justice Division may be headed by a Principal Adviser, with two Advisers to assist him – one each for SCSP and TSP.

- (iv) The Central Tripartite Committee (CTC) must be fully activated, and it must regularly review implementation of SCSP/TSP, as also promptly resolve inter-ministerial issues, if any.

5.8 Next Steps for Implementation of the Recommendations

5.5.1 Planning Commission may take the following immediate steps for implementation of the above recommendations, from the year 2011-12:

- (i) Planning Commission has issued circular dated **8.11.2010** inviting proposals from Central Ministries/Departments for Annual Plan 2011-12. The Task Force, therefore, recommends that the Commission may urgently issue a supplementary circular, incorporating suitable instructions, based on this Task Force's recommendations outlined in para 5.1 to 5.7 above, to Central Ministries/Departments for preparing their Plan proposals under SCSP and TSP, accordingly.
- (ii) While conveying final plan outlays for 2011-12 to Central Ministries/Departments, it should separately convey the figure to be earmarked under SCSP/TSP (as is already being done for the NER)
- (iii) To add requisite columns in the format for Statement of Budget Estimates (SBEs) to show scheme-wise outlays under SCSP/TSP, which must add up to the level communicated as per (ii) above.

5.9 Implementation of Non-lapsability feature

SCSP and TSP funds (shown respectively under the Minor Head 789 and 796 of all Ministries) remaining unutilized at the end of a financial year may be transferred, on the lines of the Non-lapsable Central Pool of Resources (NLCPR) for the North Eastern Region, to two Pools to be named as "Non-lapsable Central Pool of SCSP Funds (NLCPSF)" and "Non-lapsable Central Pool of TSP Funds (NLCPTF)" - two Heads to be created in the Public Account similar to that created for NER. The funds from these non-lapsable pools may be allocated to the Ministry of SJ&E and Ministry of Tribal Affairs respectively for implementing schemes for SCs and STs Development as well as for providing incentives to State Governments for effective implementation of SCSP and TSP, which may form a part of Central Assistance for State Plans.

5.10 Cabinet Approval for the new SCSP/TSP Guidelines for Central Ministries/Departments

5.10.1 The Task Force feels that earmarking of funds and their non-lapsability in the case of NER has seen better compliance because the system has been put in place with the approval of the Cabinet, while SCSP/TSP guidelines have so far been issued only with the approval of the Planning Commission. The Task Force recommends that, with a view to ensuring effective implementation of the new system regarding SCSP/TSP by Central Ministries/Departments, suitably revised SCSP/TSP guidelines, based on these recommendations of the Task Force, may be placed by the Planning Commission for the approval of the Cabinet, followed by a suitable announcement in the Finance Minister's Budget Speech for 2011-12. The National Commission for Scheduled Castes and the National Commission for Scheduled Tribes would also have to be consulted, besides concerned Ministries, before taking the matter to the Cabinet.

5.10.2 Action on recommendations contained in paras 5.1 to 5.8 for 2011-12, should not, however, await Cabinet approval, and may be taken right away, after approval in the Planning Commission. In the process of this refinement, an attempt may be made to quantify the flow of benefits from the large infrastructure projects to SCs and STs, which would be over and above the 16.2% and 8.2% levels to be achieved as per the present recommendations for SCSP and TSP respectively.

5.11 Twelfth Five Year Plan

The Task Force recommends that, based on the experience of implementing these recommendations in 2011-12, the system for implementing SCSP/TSP in Central Ministries/Departments may be further refined in the 12th Five Year Plan.

6. SCSP and TSP in State Plans

The Task Force will submit its recommendations in this regard, separately, as soon as possible, after detailed consultations with all concerned State Governments.

Dr. Chandrapal
Principal Adviser
(SCSP&TSP/MLP/SP-E/LEM)&
Secretary

26.12.2006

Strategies of the Scheduled Caste Sub Plan for the Scheduled Castes (SCs) and Tribal Sub-Plan for the Scheduled Tribes (STs) were introduced in the Sixth Plan and Fifth Plan for channelising to these categories of people their due share of plan benefits and outlays. The strategies of Scheduled Caste Sub Plan (SCSP) and Tribal Sub Plan (TSP) envisage to channelise the flow of outlays and benefits from all the sectors of development in the Annual Plans of States/UTs and Central Ministries at least in proportion to their population both in physical and financial terms. Implementation of SCSP and TSP was not being done uniformly in all States/UTs and Central Ministries/Departments. Different States have adopted different mechanisms without exploring effective mechanism for the planning, implementation and monitoring of SCSP and TSP. The State Governments/Ministries exercise their quantification as 'Divisible' and 'Non-Divisible' components. Quantification is made only from the 'Divisible' component scheme wise. As a result of this, the actual earmarking of SCSP and TSP from the total State Plan becomes much lesser than what should have been as per the percentage of the population of SCs and STs to the total population of the State. Some Ministries/Departments are allegedly regulatory and are being non-divisible in nature, SCSP and TSP was not earmarked as such.

Despite the fact that the strategies of SCSP and TSP have been in operation for more than 20 years, they could not influence all the concerned in its right perspective. Further, lack of effective monitoring to ensure that all the Ministries/Departments both at Central and State levels earmark funds under SCP and TSP and the funds received under SCA are utilized effectively and purposefully, is another area of concern. In view of this, the model being adopted by the Uttar Pradesh State Government when I was the Planning Secretary for the implementation of the SCSP need to be adopted by other States/U.Ts and Central Ministries/Depts.. These issues were discussed in the Internal Planning Commission's meeting and it was resolved to establish a dedicated SCSP and TSP Division under my charge. Due to the continuous efforts put in by the the division's endeavour, guidelines for implementing the SCSP and TSP by the States/U.Ts were issued by the Planning Commission by way of reiterating the existing guidelines. Later on for the first time,

guidelines for Central Ministries/Departments have also been issued. The guidelines issued has resulted in giving a new thrust to implement the new strategies of SCSP and TSP by the States/U.Ts for the first time in the Annual Plan 2006-07.

The guidelines issued for the implementation of SCSP and TSP by the Planning Commission for the States/U.Ts and also for the Central Ministries/Departments are appended in this book-let. I hope this book-let which gives a brief overview of the Scheduled Castes development over a period of time, their socio-economic status, SCSP strategy adopted so far and the new strategy envisaged for the forthcoming years will help the planners, bureaucrats, academicians and the social activists. I take this opportunity to express my gratitude to the immense support extended by Dr.B.L.Mungekar, Hon'ble Member, Planning Commission and the help rendered by Dr. S.M.Sirajuddin, Deputy Adviser, Smt. Roohi Siddiqui, SRO and Shri C.A.Tirkey, SRO of SCSP and TSP Division in giving shape to this book-let.

Dr.Chandrapal

Guidelines for formulation, implementation and monitoring of Scheduled Caste Sub Plan (SCSP) for Scheduled Castes and Tribal Sub-Plan (TSP) for Scheduled Tribes

Detailed guidelines relating to the Scheduled Caste Sub Plan (SCSP) for Scheduled Castes (SCs) and the Tribal Sub-Plan (TSP) for the Scheduled Tribes (STs) have been issued by the concerned departments of the Central Government from time to time.

The basic objective of both these Sub-Plans is to channelise the flow of outlays and benefits from the general sectors in the Central Ministries/Departments for the development of Scheduled Castes and Scheduled Tribes at least in proportion to their population, both in physical and financial terms. The Mid Term Appraisal of the Tenth Plan has noted that several Central Ministries/Departments have not earmarked adequate funds to SCSP and TSP, proportionate to the share of SCs and STs in the population.

The importance of the SCSP and TSP has been emphasized by the Hon'ble Prime Minister while addressing the 51st Meeting of the National Development Council held on 27th June, 2005 and on subsequent occasions. In this context, the following guidelines with respect to SCSP and TSP are once again reiterated so that the same may be followed strictly in the preparation of the Annual Plans for 2007-08.

Objectives: The following should be the broad objectives of the SCP and TSP

- Ensuring that the share of resources spent for the benefit of the SCs and STs is at least in proportion to their share in population of the country.
- Substantial reduction in poverty and unemployment among the SCs and STs.
- Creation of productive assets in favour of the Scheduled Castes and Scheduled Tribes.

- Human resource development of the Scheduled Castes and Scheduled Tribes through specifically providing adequate educational and health services, and
- Provision of physical and financial security against all types of exploitation and oppression.

Action Plan: To fulfill the above objectives the following points may be taken into account while formulating SCSP and TSP:

1. Earmarking of funds under SCSP/TSP from the Central Ministry/Department Plan outlay at least in the proportion of SC and ST population to the total population of the country. Non-earmarking of funds under SCSP and TSP may result in non-approval of Plans of the Central Ministries/Departments.
2. Scheduled Caste Sub Plan and Tribal Sub-Plan funds should be non-divertible.
3. A dedicated unit may be constituted in every Central Ministry/ Department for the welfare and development of SCs and STs as nodal unit for formulation and implementation of SCSP and TSP.
4. The nodal dedicated unit should be responsible for ensuring that the funds will be allocated to the sectoral units in the departments to implement schemes directly relevant to SC and ST development.
5. Placing the funds earmarked for SCSP/TSP under separate budget head/sub-head for each central Ministry/department for implementing SCSP and TSP. In this connection it may be noted that the List of Major and Minor Heads of Account of Union and States as issued by the Controller General of Accounts provides that Tribal Sub Plan (code 796) and Scheduled Caste Sub Plan (789) may be opened as Minor Head below the functional Major Head/Sub Major Head wherever necessary.

GUIDELINES FOR IMPLEMENTATION

Components of SCSP and TSP

1. Only those schemes should be included under SCSP/TSP that ensure direct benefits to individuals or families belonging to the Scheduled Castes or the Scheduled Tribes.
2. Outlay for area-oriented schemes directly benefiting Scheduled Castes hamlets/villages having a majority of Scheduled Castes population/tribal hamlets and villages shall be included in SCSP and TSP.
3. Among the various programmes for the benefit of the SCs and STs, priority should be given for providing basic minimum services like primary education, health, drinking water, nutrition, rural housing, rural electrification and rural link road.
4. Schemes to develop agriculture and allied activities like irrigation, animal husbandry, dairy development, vocational training, etc. that provide a source of livelihood to the SC and ST population should be included.
5. Innovative projects that draw upon institutional finance to supplement plan allocations may be drawn up.

Creation of general awareness about SCSP and TSP schemes

Central Ministries/Departments should take initiative to generate awareness among the general public about the schemes to be implemented/being implemented for the development of SCs and STs by the different Central ministries/ departments through electronic and print media.

Monitoring of SCSP and TSP

1. Central Ministries/Departments will be responsible for monitoring compliance with SCSP/TSP

component of Centrally Sponsored Schemes. Appropriate arrangements should be made with State governments to ensure accurate and timely flow of information.

2. The Planning Commission shall monitor the progress of SCSP and TSP at the time of the half yearly and annual performance reviews of the Ministries/Depts.
3. The nodal dedicated unit should ensure that funds are released to the concerned implementing agency in a timely fashion and should ensure immediate release of funds to their field level implementing agencies. Any lapse on the part of field level implementing agencies in timely utilization of funds and proper implementation of the schemes may be viewed seriously.
4. Ministries of Social Justice & Empowerment and Tribal Affairs may be involved in the process of finalization of Annual Plans of the Central Ministries/Departments.
5. Evaluation of the impact of various development schemes implemented under SCSP and TSP, on the socio-economic conditions of SCs and STs should be conducted by the Central Ministries/ Departments on regular basis. Dissemination of information of SCs and STs in the country about the schemes/programmes available for their development will be the responsibility of the nodal dedicated unit of SC and ST in the Ministry. The dedicated unit of SC and ST may also ensure the follow up of the schemes implemented and maintenance of proper records on assets created under SCSP and TSP in the Ministry.

(259)
Annexure - II

F.No.M-13052/G/99-BC
Government of India
Planning Commission
(SCP & TSP Unit)

Dr. No. Secy. (S&E), SCP
Dated... 2.2.06
J. S. (SCD & CVO)/O
Dy. No. 432
Dated... 7.2.06

Dated: 16-1-2006

OFFICE ORDER

Sub : Constitution of a Central Tripartite Committee to monitor the implementation of the strategies of the Special Component Plan (SCP) for SCs and the Tribal Sub Plan (TSP) for STs - Reg.

It has been decided to constitute a Central Tripartite Committee to review the implementation of the Special Strategies of Special Component Plan (SCP) for Scheduled Castes (SCs) and the Tribal Sub Plan (TSP) for Scheduled Tribes (STs) and to resolve various policy-related issues there to in respect of Central Ministries/Departments as well as State/U.T. Governments.

Dr. No. 521 AS (S&E)
Dated... 6/2/06

The Composition of the Tripartite Committee will be as given below :

- i) Dr. B.L. Mungekar
Member
I/C of BCW Division
Planning Commission
New Delhi-110001
..... Chairperson
- ii) Secretary
Ministry of Social Justice
and Empowerment
Shastri Bhavan
New Delhi-110001
..... Member
- iii) Secretary
Ministry of Tribal Affairs
Shastri Bhavan
New Delhi-110001
..... Member
- iv) Secretary
National Commission for SCs
Lok Nayak Bhavan
New Delhi-110003
..... Member
- v) Secretary
National Commission for STs
Lok Nayak Bhavan
New Delhi-110003
..... Member

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260)

vi) Secretary
(Concerned Min./Deptt.
(or)
Chief Secretary *
(Concerned State / UT Member

vii) Adviser
I/C of SCP & TSP Unit
Planning Commission
New Delhi-110001 Member-Secretary

(* When the arrangements in State Plan are under consideration)

3. The terms of reference of the Committee will be as under :

- i) To review the implementation of SCP and TSP by States/U.Ts and Central Ministries/Departments since its inception.
- ii) To guide States/U.Ts and Central Ministries/Departments in the implementation of SCP and TSP guidelines issued by Planning Commission and to suggest specific measures for their compliance.
- iii) To look into the problems, if any, associated with the earmarking of funds, implementation, monitoring of SCP and TSP schemes/programmes of Central Ministries/Departments and States/UTs.
- iv) To identify specific schemes which would benefit SCs and STs under various developmental sectors, their prioritization, implementation and monitoring along with earmarking of funds for them (as per Annexure-1).
- v) To review the process of implementation, monitoring and impact assessment of SCP and TSP and utilization of Special Central Assistance (SCA) to SCP and TSP and the Grant-in-Aid (GIA) under Article 275(1) and advise the Planning Commission and Prime Minister on measures which would serve the interests of these Communities more effectively.
- vi) To suggest institutional and advocacy arrangements for participation of beneficiary groups in preparation and implementation of schemes under SCP and TSP and Central allocations referred to above, taking into account, among others, priorities of 73rd and 74th Amendments and other Legislative measures flowing therefrom.

R. Sridharan
(R. Sridharan)
Joint Secretary (Admn.)

No.M-13052/G/99-BC

New Delhi, the 16th January, 2006

-17-

(261

- I.
1. All Members of the Committee.
2. The Cabinet Secretariat, Rashtrapati Bhavan, N.Delhi.
3. Secretary, PMO, South Block, New Delhi.
4. All the Chief Secretaries of States/UTs.
5. Secretary Incharge, of SC/ST Department of the States/UTs.
6. Adviser (SCP & TSP/MLP/SP-E), Planning Commission.
7. Adviser (SJ), Planning Commission.
8. Director, Tribal Research Institute (15-TRI).
9. Sr. PPS to Member Secretary, Planning Commission.
10. PS to Deputy Chairman, Planning Commission.
11. PS to Member (BM), Planning Commission.


(R. Sridharan)
Joint Secretary (Admn.)

मुकुल वासनिक
MUKUL WASNIK



Annexure - II
D.O.No. 11014/3/2007-SCD-II

मंत्री
सामाजिक न्याय और अधिकारिता
भारत सरकार
MINISTER
SOCIAL JUSTICE AND EMPOWERMENT
GOVERNMENT OF INDIA

Dear Shri Montek Singh Ahluwaliaji, 14th November, 2009

As you may kindly be aware that the Special Component Plan for Scheduled Castes was initiated by the Planning Commission during the Sixth Five Year Plan. In April, 2006, its name was changed to "Scheduled Castes Sub-Plan (SCSP)", and the Planning Commission issued revised guidelines relating to SCSP (and TSP) to State Governments and Central Ministries, in October 2005 and December 2006, respectively.

2. While compliance of the above guidelines by State Governments has improved considerably over the years, their compliance by Central Ministries has not yet made much headway. We have been repeatedly drawing the attention of the Planning Commission to this issue vide D.O. letters of even number dated 19.9.08 from the then Minister(SJ&E) to the Deputy Chairman, and letters dated 16.12.08, 16.9.09, & 16.10.09 from Secy(SJ&E), to Secy, Planning Commission and have been requesting to be apprised of outlays earmarked by various Ministries under SCSP. However, concrete response from the Commission is awaited. As per the available information, very few Ministries are earmarking funds under SCSP. Even those doing so are not reflecting them under the minor head "789", designated for the purpose, as per the Commission's guidelines of December, 2006. This matter has been taken up with the Ministry of Finance also.

The result of all this, however is that we are still in no position to say what the Central Government's (Ministry-wise) SCSP is, for any given year. As the earmarking is not taking place at the allocative/budgetary stage, it is not possible to quantify the expenditure being incurred for Scheduled Castes by various Ministries.

3. The Election Manifesto of the Indian National Congress during the General Elections to the Lok Sabha, 2009 has given a commitment that steps will be taken to ensure that allocations under the Scheduled Castes Sub-Plan are made in accordance with their proportion in the population.

- 19 -

स्त्री भवन, डा०. राजेन्द्र प्रसाद रोड, नई दिल्ली-110 115, Shastri Bhawan, Dr. Rajender Prasad Road, New Delhi-110115
फोन/Tel.: 91-11-23381001, 23381390 फैक्स/Fax: 91-11-23381902 ई-मेल/E-mail: ---

4. I am sure you would agree with me that there is an urgent need for a major overhaul of the planning and budgetary processes pertaining to SCSP and accordingly I would suggest that the following steps may kindly be considered with immediate effect or at least starting with the Annual Plan for the next financial year, 2010-11:-

01

- (i) - Funds under SCSP should be earmarked from the GBS component of the total Central Annual Plan Outlay, in proportion to the SC population of the country, right at the stage when the Planning Commission conveys tentative as well as final annual plan allocations to the Ministries;
- (ii) Instead of expecting every Ministry to uniformly earmark 16.2% of its plan outlay under SCSP, Planning Commission may, in consultation with the Ministries, urgently issue revised guidelines in this behalf, with a suitably differentiated approach vis-à-vis various groups of Ministries. In other words, depending on the nature of their work, Ministries may be asked to earmark less or more than 16.2%, such that, over-all, earmarking of 16.2% of the GBS Plan outlay, under SCSP is ensured;
- (iii) Guidelines also need to clearly spell out how plan outlay on programmes, facilities and infrastructure, which are meant for all (e.g. educational institutions, hospitals/health facilities, roads, bridges, railways, etc.) should be treated in relation to SCSP;
- (iv) Ministries may be asked to prepare their Annual Plan proposals in such a way that for each scheme, outlays under SCSP, TSP, and the rest, are shown distinctly;
- (v) Ministries may also be asked to necessarily show their SCSP allocation under the designated minor head '789' in their budget, from 2010-11 onwards;
- (vi) Suitable instructions and proformae pertaining to SCSP (and TSP) should be made an integral part of the (i) Planning Commission's annual circular inviting annual plan proposals, and (ii) Finance Ministry's annual budget circular;
- (vii) Central Government's Annual Plan document, prepared by the Planning Commission, should have a separate section showing Ministry-wise, scheme-wise outlays under SCSP, from 2010-11; and

मुकुल वासनिक
MUKUL WASNIK

- 3 -

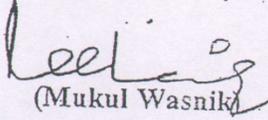
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CONTINUATION SHEET

(viii) Since the Five Year Plan is the principal medium-term exercise on which Annual Plans are based, the Five Year Plan document should also comprise a separate volume on SCSP, showing overall, as well as Ministry-wise, strategy and allocations under SCSP. Since the exercise to prepare the XII Five Year Plan, 2012-17, will start in the near future, it is necessary that a decision in this behalf is taken right away and implemented in respect of the XII Plan.

5. I would be grateful if you could kindly initiate urgent action on the above suggestions. If you consider necessary, I would be happy to discuss them with you, on a mutually convenient date.

With regards,

Yours sincerely,


(Mukul Wasnik)

Shri Montek Singh Ahluwalia,
Dy. Chairman,
Planning Commission,
Yojana Bhawan,
New Delhi.

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M-11012/2/2010-SCSP/TSP
Government of India
Planning Commission

Yojana Bhawan, Sansad Marg
New Delhi
Dated:04.06.2010

OFFICE ORDER

Sub:- Task Force to re-examine and revise the extant Guidelines of the Planning Commission for implementation of Scheduled Caste Sub-Plan(SCSP) and Tribal Sub-Plan (TSP)

1. In pursuance of the decision taken in the Meeting of the Full Planning Commission held on 23rd March, 2010, a Task Force comprising the following is constituted:

- | | | |
|--|---|----------|
| I. Dr. Narendra Jadhav, Member, Planning Commission | - | Chairman |
| II. Secretary, Ministry of Social Justice and Empowerment | - | Member |
| III. Secretary, Ministry of Tribal Affairs | - | Member |
| IV. Pr. Secretary, Department of Social Justice,
Cultural Affairs & Special Assistance
Government of Maharashtra,
R..No. 137 Mantralay Annexe,
Mumbai-400032 | - | Member |
| V. Pr. Secretary, Department of SCs & STs Welfare
Mantralaya, Balabh Bhawan, Bhopal,
State Government of Madhya Pradesh | - | Member |
| VI. Pr. Secretary, Department of Social Justice
Block No. 5, New Sachivalaya, Gandhi Nagar, Gujrat, | - | Member |
| VII, Pr. Secretary, Adi Dravidar & Tribal Welfare Department,
Secretariat,
Government of Tamil Nadu
Chennai-600009 | - | Member |

VIII. Adviser, J & E, Planning Commission

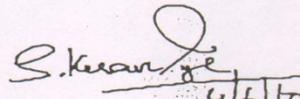
- Member Secretary

2. Terms of reference of the Task Force shall be:

- (i) To re-examine and revise the extant Guidelines issued by the Planning Commission for implementation of SCSP and TSP:
- (ii) to understand the operational difficulties in consultation with implementing Ministries and suggest remedial action so that SCSP and TSP can be implemented effectively in future.

3. The Task Force shall submit their Report within three months from the date of notification order. It will have the power to co-opt any other person as a special invitee.

4. The expenditure of the official members for attending the meetings of the Task Force will be borne by the respective parent Department/ Ministry as per the rules applicable to them. The expenditure regarding TA/DA of non-official Members will be borne by the Planning Commission according to the existing instruction on the subject.


4/6/70

(S. Kesava Iyer)

Under Secretary to the Government of India

To:

Copy to:

1. PS to Deputy Chairman
2. PS to Member (NJ)
3. PS to Member Secretary
4. PS to Adviser (SJ)
5. Under Secretary, Account -1

F.No.M-11012/2/2010-SCSP/TSP
Government of India
Planning Commission

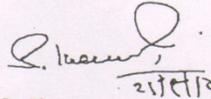
Yojana Bhavan, Sansad Marg,
New Delhi, Dated: 25th August, 2010

OFFICE ORDER

Sub: Task Force to re-examine and revise the extant Guidelines of the Planning Commission for implementation of Scheduled Caste Sub Plan (SCSP) and Tribal Sub Plan (TSP)

In continuation of Office Order of even number dated 4.6.2010 on the above subject, it has been decided to Co-opt the following Officers as Special Invitees:

Secretary
Ministry of Statistics and Programme
Implementation or his nominee
Sardar Patel Bhavan
Sansad Marg
New Delhi - 110 001


(S. Kesava Iyer)

Under Secretary to the Government of India

To:

Copy to:

1. PS to Deputy Chairman
2. PS to Member (NJ)
3. PS to Member Secretary
4. PS to Adviser (SJ)
5. Under Secretary, Account-I

F.No.M-11012/2/2010-SCSP/TSP
Government of India
Planning Commission

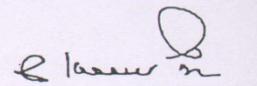
Yojana Bhavan, Sansad Marg,
New Delhi, Dated: 4th August, 2010

OFFICE ORDER

Sub: Task Force to re-examine and revise the extant Guidelines of the Planning Commission for implementation of Scheduled Caste Sub Plan (SCSP) and Tribal Sub Plan (TSP)

In continuation of Office Order of even number dated 4.6.2010 on the above subject, it has been decided to Co-opt the following Officers as Special Invitees:

- i) Secretary
Ministry of Finance, or his nominee
Department of Expenditure
North Block
New Delhi - 110 001
- ii) Shri K. Raju
Joint Secretary
National Advisory Council (NAC)
2, Motilal Nehru Place
New Delhi - 110 011


(S. Kesava Iyer) 4/8/10

Under Secretary to the Government of India

To:

Copy to: 5. Under Secretary, Account-I

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Details of the Consultative Process Followed by the Task Force

Meeting	Date	Agenda
Meetings of the Task Force		
First Meeting	7-7-2010	To chalk out the plan of action for revision of SCSP/TSP guidelines.
First Meeting with representatives of concerned Central Ministries/ Departments	21-9-2010	To discuss categorization of Ministries/Departments, based on their obligations to earmark plan outlays under SCSP/TSP
Second Meeting	8.11.2010	To consider draft Recommendations on Implementation of SCSP and TSP by Central Ministries/ Departments and consider inputs relating to TSP.
Informal Meetings of Delhi-based Members of the Task Force		
Meeting with representatives of Ministry of Finance.	16.8.2010	To discuss (i) operational requirements for placing funds earmarked for SCSP/TSP under the relevant budget heads, and (ii) necessary modifications in the Annual Budget Circular for 2011-12
	7.10.2010	To discuss the criteria for classifying plan expenditure under SCSP/TSP by Central Ministries/Departments
Consultation Meetings of Delhi-based members with NGOs and Concerned central Ministries		
Meeting with NGOs and Experts working in the area of SC and ST development	2-9-2010	To ascertain their views on the working of SCSP/TSP and also on ground realities and the problems faced in the implementation of SCSP/TSP.
Meeting with Principal Advisors/ Sr. Advisors/ Advisers in-charge of relevant Subject Divisions in the Planning Commission	26-10-2010	To discuss Scheme-wise/Ministry-wise proposed earmarking of Plan Outlays under SCSP.
Second Meeting with representatives of concerned Central Ministries/ Departments	27-10-2010	To discuss Scheme-wise/Ministry-wise proposed earmarking of Plan Outlays under SCSP/TSP.

Meeting	Date	Agenda
Meeting with 11 Additional Ministries/Departments in respect of TSP	01.11.2010	To discuss Ministry and Scheme-wise proposed earmarking of Outlays under TSP
Field Visit undertaken by Selected Members of the Task Force		
Visit to Kanchipuram, Tamil Nadu (SC concentration district)	14-9-2010	To discuss issues involved in implementation of SCSP at the district/ block and village levels with District level officials.
Visit to Koraput, Orissa (ST concentration district)	16-9-2010	To discuss issues involved in implementation of TSP at the district/ block and village levels with District officials

Detailed Criteria for Classification of Plan Expenditure under SCSP & TSP,

With reference to some Major Schemes:

Sl. No.	Category of Expenditure	Extent to which Expenditure may be classified under SCSP
I.	Expenditure on Poverty Alleviation and Individual Beneficiary- oriented Schemes (e.g. MNREGA, IAY, NRDWP, NRLM, SGSRY, PMEGP, etc.).	To the extent the beneficiaries are SCs & STs: <ul style="list-style-type: none"> As per data of last 3 years, in case of ongoing Schemes. <p style="text-align: center;">or</p> <ul style="list-style-type: none"> As determined by a Committee* in case of newly-introduced Schemes.
II.	Expenditure on Schemes which are not beneficiary oriented.	
	II.1 In SC & ST Concentration Areas	
	Expenditure on all Plan Schemes to the extent it is incurred in areas with > 40% SC/ST population	All expenditure incurred in such areas, except on institutions and infrastructure projects which may be located in such areas but benefit population of a much larger area (e.g. a large infrastructure project or an institution like an IIT, NIT, etc.), in which case, II.2 (ii), (iii) or (iv) below, as the case may be, would apply.
	II.2 In Other Areas	
	(i) Expenditure on Social Sector Programmes (e.g. SSA, MDM, RMSA, ICDS, NRHM, SDIS).	In proportion to the % of SCs/STs among their Beneficiaries.

Sl. No.	Category of Expenditure	Extent to which Expenditure may be classified under SCSP
	(ii) Expenditure on Institutions providing Services like Health, Education, Training, etc. (e.g. KVs, NVs, IITs, NITs, IIMs, ITIs, Hospitals, etc.).	<p>i) In case there is reservation for SCs/STs in admission to such Institutions (e.g. in IITs, NITs, IIMs, KVs, NVs, ITIs, etc.)</p> <p>ii) In case of other institutions (e.g. Hospitals etc.)</p> <p>To the extent of the provision included for the reservation for SCs/STs or actual %age of seats utilized by them,</p> <p>The extent* to which such institutions are:-</p> <ul style="list-style-type: none"> • Demonstrated (based on past data) <p style="text-align: center;">or</p>
	(iv) Expenditure on Institutions engaged in R&D.	Only to the extent* the expenditure directly benefits SCs/STs.

*Appropriate extent for each such category of project/institution/scheme to be determined by a Central Tripartite Committee already constituted by the Planning Commission under Member, In-charge of BC and SW Division.

Note: - Relevant provisions of Planning Commission's existing SCSP Guidelines are given on the reverse.

Categorization of Central Ministries according to the extent of their Plan funds which they may be expected to earmark under SCSP

Proposed obligation to earmark under SCSP	Category	List of Ministries in the category	No of Min/Dept
1.	2.	4	5
I. No obligation	I-A: Regulatory Ministries/ Departments	Ministries Home Affairs, External Affairs; Personnel, Public Grievances and Pension; Law and Justice; Corporate Affairs; Civil Aviation; Coal; Steel; Petroleum & Natural Gas; Mines; and Departments of Chemicals and Petro Chemicals; Pharmaceuticals; Consumer Affairs; Economic Affairs, Financial Services, Expenditure, Heavy Industries; Public Enterprises; Fertilizers	19
	I-B: Those addressing specific target groups other than SCs	Ministries of Minority Affairs and Tribal Affairs	2
	I-C: Those engaged in basic scientific research	Ministry of Earth Sciences and Departments of Health Research; Scientific and Industrial Research; Atomic Energy; Space; Agricultural Research and Education	6
	I-D: Implementing large Infrastructure Projects, whose benefits to SCs are difficult to quantify	Ministries of Railways, Water Resources ¹ and Departments of Road Transport and Highways, Shipping, Telecommunications	5
	I-E: Largely Engaged in Policy Making and manning central organizations without any significant beneficiary oriented Schemes	Ministries of Culture; Information and Broadcasting, Planning; Statistics and Programme Implementation; Tourism; Urban Development, and Departments of Industrial Policy and Promotion; Biotechnology; Food & Public	11

¹ Ministry of Water Resources is included in the category of 'No obligation to earmark Funds under SCSP', because funds allocated for irrigation projects under AIBP, shown as central assistance to States/UTs in Statement 16 of Exp Budget.

Proposed obligation to earmark under SCSP	Category	List of Ministries in the category	No of Min/Dept
1.	2.	4	5
		Distribution, Food Processing Industries and Posts.	
		Sub-Total-Category-I	43
II. Earmarking Less than 15% of Plan outlays	II-A: Implementing Large Infrastructure but also some beneficiary oriented schemes	Power	01
	II-B. Those largely engaged in policy making or running Central Organizations but also implementing significant beneficiary oriented scheme.	Ministries New and Renewable Energy, Development of North East Region; Environment & Forest, Micro, Small and Medium Enterprises, Textiles, and Departments of AYUSH, Commerce, Information Technology and Science & Technology.	09
		Sub-Total - Category-II	10
III. Earmarking plan outlays between 15 to 16.2% of Plan outlays	Ministries/Departments in the primary sector, skill development etc	Ministries of Labour and Employment and Panchayati Raj; and Departments of Agriculture & Cooperation; Animal Husbandry, Dairying and Fisheries; Health and Family Welfare, Higher Education; Land Resources; Youth Affairs and Sports	09
IV. Earmarking More than 16.2% of Plan outlays	Ministries/ Departments implementing poverty alleviation and social sector programmes	Ministries of Housing and Urban Poverty Alleviation; Woman and Child Development; Social Justice & Empowerment, and Departments of School Education & Literacy, Rural Development, and Drinking Water Supply	06
		Total	68

Categorization of Central Ministries according to the extent of their Plan funds which they may be expected to earmark under TSP

Proposed obligation to earmark under TSP	List of Ministries in the category	No of Min/Dept
1.	2	3
<p>I. No Obligation (Mainly engaged in regulatory, targeting specific group or engaged in basic scientific research/policy matters)</p>	<p>Ministries Home Affairs, External Affairs; Personnel, Public Grievances and Pension; Law and Justice; Corporate Affairs; Civil Aviation; Steel; Petroleum & Natural Gas; Social Justice and Empowerment ; Minority Affairs, Earth Sciences, Shipping; Information and Broadcasting, Planning; Statistics and Programme Implementation; Urban Development, DONER and Departments of Chemicals and Petro Chemicals; Pharmaceuticals; Atomic Energy; Space; Consumer Affairs; Economic Affairs, Financial Services, Expenditure, Heavy Industries; Public Enterprises; Fertilizers; Health Research; Scientific and Industrial Research; Industrial Policy and Promotion; Biotechnology; and Posts</p>	<p align="center">33</p>
	<p>Ministries of Railways*, Food Processing Industries*; Power*, Environment and Forests*, New and Renewable Energy* and Departments of Animal Husbandry, Dairying and Fisheries*, Commerce*.</p>	<p align="center">07</p>
<p>II. Earmarking Less than 7.5% of Plan outlays</p>	<p>Ministries of HUPA, Mines, Road Transport and Highways, Tourism, Culture; Water Resources, Textiles, Departments of Science and Technology, AYUSH, , Agriculture Research and Education, Telecommunication, Information Technology,</p>	<p align="center">13</p>

Proposed obligation to earmark under TSP	List of Ministries in the category	No of Min/Dept
1.	2	3
	Agriculture and Cooperation and Food & Public Distribution	
III. Earmarking plan outlays between 7.5 to 8.2% of Plan outlays	Ministries Panchayati Raj, Micro, Small and Medium Enterprises, Coal, Labor and Employment, Women and Child Development; Departments Health and Family Welfare, Higher Education, Youth Affairs and Sports,	10
IV. Earmarking More than 8.2% of Plan outlays	Ministry of Tribal Affairs, Departments of School Education and Literacy, Rural development, Drinking Water Supply, and Land Resources.	05
	Total	68
*These seven Ministries/Departments have suggested no obligation for TSP. A view should be taken at the time of finalization of their Annual Plans, 2011-12		

Annexure-IX

Ministry/Scheme-wise Proposed Earmarking of Plan Outlays under SCSP for 2011-12		
S. No.	Ministry/Department	Earmarking of Funds under SCSP Recommended for the Ministry (In Per cent)
1	2	3
Category I	Ministries/Departments with no obligation for Earmarking Funds under SCSP	
I-A	Regulatory Ministreis/Departments (19 Departments)	0.00
I-B	Ministreis/Departments Addressing Specific Target Groups (2 Ministries)	0.00
I-C	Ministreis/Departments Engaged in Basic Scientific Research (6 Departments)	0.00
I-D	Ministreis/Departments Implementing large Infrastructure Projectes, the benefits of which are Indivisible (5 Departments)	0.00
I-E	Ministries/Departments largely Engaged in Policy Making without any beneficiary oriented Schemes (11 Min/Departments)	0.00
Category II	Ministries/Departments Required to do Partial Earmarking (less than 15%)	
II-A	Ministries/Departments implementing Infrastructure projects along with specific beneficiary oriented schemes	
1	Ministry of Power	8.30
II-B	Ministries/Departments largely Engaged in Policy making but also implementing some Developmental Schemes	
1	Ministry of MSME	12.00
2	Ministry of Textiles	5.00
3	Ministry of AYUSH	5.00
4	Department of Commerce	4.50
5	Ministry of Environment and Forests	2.20
6	Ministry of DONER	2.00
7	Ministry of New & Renewable Energy	3.50
8	Department of Information Technology	2.00
9	Department of Science and Technology	2.50
Category III	Ministries/Departments which will be required to Earmark between 15 to 16.2% of their Plan Outlays	
1	Department of Agriculture & Cooperation	16.20

2	Department of Animal Husbandry & Dairying	16.20
3	Department of Higher Education	15.00
4	Ministry of Labor and Employment	16.20
5	Department of Land Resources	16.20
6	Ministry of Panchayati Raj	16.20
7	Department of Youth Affairs	16.20
8	Department of Health and Family Welfare	15.20
9	Department of Sports	15.00
Category IV	Ministries/Departments Which will be required to Earmark more than 16.2% of their Plan Outlays under SCSP	
1	Department of Drinking Water Supply	22.00
3	Ministry of HUPA	22.50
4	Department of School Education & Literacy	20.00
5	Department of Rural Development	25.00
6	Ministry of Social Justice and Empowerment	72.50
7	Ministry of Women and Child Development	20.00
	Applying these percentages to respective Ministries/ Departments' BE -2010-11, the average BE in percentage terms expected to be earmarked under SCSP	14.30

Annexure -X

Ministry/Scheme-wise Proposed Earmarking of Plan Outlays under TSP for 2011-12		
S. No.	Ministry/Department	Earmarking of Funds under TSP Recommended for the Ministry (In Per cent)
1	2	3
Category I	Ministries/Departments with no obligation for Earmarking Funds under TSP	0.0
Category II	Ministries/Departments Required to do Partial Earmarking (less than 7.5% of their Plan Outlays)	
1	Department of Telecommunications	0.25
2	Ministry of Textiles	1.20
3	Ministry of Water Resources	1.30
4	Department of Food and Public Distribution	1.40
5	Ministry of Culture	2.00
6	Department of AYUSH	2.00
7	Ministry of HUPA	2.40
8	Ministry of Tourism	2.50
9	Department of Science & Technology	2.50
10	Ministry of Road Transport & Highways	3.50
11	Department of Agriculture Research & Education	3.60
12	Ministry of Mines	4.00
13	Department of Information Technology	6.70
Category III	Ministries/Departments which will be required to Earmark between 7.5 to 8.2% of their Plan Outlays	
1	Department of Higher Education	7.50
2	Department of Agriculture & Cooperation	8.00
3	Ministry of MSME	8.20
4	Ministry of Coal	8.20
5	Department of Youth Affairs	8.20
6	Ministry of Labor and Employment	8.20
7	Ministry of Panchayati Raj	8.20
8	Department of Sports	8.20
9	Ministry of Women & Child Development	8.20
10	Department of Health & Family Welfare	8.20
Category IV	Ministries/Departments Which will be required to Earmark more than 8.2% of their Plan Outlays under	

	TSP	
1	Department of Land Resources	10.00
2	Department of Drinking Water and Sanitation	10.00
3	Department of School Education & Literacy	10.70
4	Department of Rural Development	17.50
5	Ministry of Tribal Affairs	100.00
	Applying these percentages to respective Ministries/ Departments' BE -2010-11, the average BE in percentage terms expected to be earmarked under TSP	8.26#
#Exclusive of SCA to TSP and Grants under Proviso to Article 275(1) of the constitution, as the outlays under these Heads are shown in Statement 16 of Expenditure Budget (Volume I), which provides Central Assistance to State Plans. Including SCA to TSP (Rs 960 crore), this figures increases to 8.6%		